

REPORT TO CONGRESS ON THE PREVENTION AND REDUCTION OF UNDERAGE DRINKING

Volume I

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FOREWORD

Foreword

As the Principal Deputy Administrator of the Substance Abuse and Mental Health Services Administration and Chair of the Interagency Coordinating Committee on the Prevention of Underage Drinking (ICCPUD), I am proud to present the 2016 Report to Congress on the Prevention and Reduction of Underage Drinking. This is the eighth Report to Congress, which is mandated by the Sober Truth on Preventing Underage Drinking Act of 2006 (P.L. 109-422) and represents the contributions of many federal agencies and all 50 states and the District of Columbia. The Report highlights the activities to reduce underage drinking undertaken by the federal agencies that participate in the ICCPUD. It also includes survey results from the states describing their underage drinking prevention programs, enforcement efforts, and expenditures on underage drinking prevention.

Underage drinking is one of our nation's significant public health problems, leading to thousands of deaths every year through motor vehicle crashes, violence, alcohol poisoning, and other causes. Every day an estimated 2,100 children ages 12 through 14 begin using alcohol. Among 12- to 20-year-olds, 23 percent reported using alcohol in the last month. These young people face a number of harmful potential consequences, including death or injury, impaired brain function, decreased academic performance, and increased risk of developing an alcohol use disorder later in life.

Despite these troubling data, the overall trend is encouraging. Since 2004, past-month alcohol use by underage drinkers has declined by 21 percent, and past-month binge drinking (the consumption of four drinks in a row for a female or five for a male) has decreased by 30 percent. This trend is promising and suggests that policy changes at the local, state, and federal levels as described in this Report to Congress may be having an effect.

One area of concern that stands out against the general trend of improvement is binge drinking among college students. More than 29 percent of 18- to 20-year-olds engaged in binge drinking in the past 30 days. College students binge drink at higher rates than their same-age peers who are not attending college, suggesting that aspects of the college environment influence drinking practices.

The progress that has been made in preventing and reducing underage drinking, and the problems that remain, make clear the need for continued efforts to address underage drinking and protect our young people from its harms. The most effective approach will be sustained cooperation at all levels of government, and in our universities, schools, communities, and families, to implement strategies that have proven to be effective. It is my hope that this annual Report to Congress on the Prevention and Reduction of Underage Drinking will provide critical information for all concerned Americans about the scope of the problem and meaningful solutions to address it.

Kana Enomoto

Principal Deputy Administrator

Substance Abuse and Mental Health Services Administration

EXECUTIVE SUMMARY

Introduction

Underage drinking and its associated problems have profound negative consequences not just for underage drinkers, but also for their families, their communities, and society as a whole. Underage drinking contributes to a wide range of costly health and social problems, including motor vehicle crashes (the greatest single mortality risk for underage drinkers), suicide, interpersonal violence (e.g., homicides, assaults, rapes), unintentional injuries (e.g., burns, falls, drowning), brain impairment, alcohol dependence, risky sexual activity, academic problems, and alcohol and drug poisoning. Annually, alcohol is a factor in the deaths of approximately 4,300 youths in the United States, shortening their lives by an average of 60 years (Stahre, Roeber, Kanny, Brewer, & Zhang, 2014).

National data show meaningful reductions in underage drinking, particularly among younger age groups. From 2004 to 2014, young people ages 12 to 20 showed statistically significant declines in both past-month alcohol use and binge alcohol use.¹ These encouraging results were most significant in the 12- to 17-year-old age group, where past-month alcohol use declined by 34.7 percent and past-month binge drinking declined by 45.0 percent (Center for Behavioral Health Statistics and Quality [CBHSQ], 2015a).

But there is still cause for concern. For example, in 2014, 34.6 percent of 20-year-olds reported binge drinking, which substantially increases the risk of injury or death, in the past 30 days; 10.3 percent of 20-year-olds had, in those 30 days, binged five or more times. Furthermore, although overall consumption of alcohol is lower at younger ages, patterns of consumption across the age spectrum pose significant threats to health and well-being. Particularly troubling is the erosion of the traditional gap between underage males and females in binge drinking. This gap is disappearing as females' drinking practices converge with those of males; female binge-drinking rates have declined more slowly than male binge-drinking rates (Miech, Johnston, O'Malley, Bachman, & Schulenberg, 2015).

Still, there is reason for optimism and hope for continued progress. As discussed in Chapters 3 and 4 of this report, states are increasingly adopting comprehensive policies and practices to alter the individual and environmental factors that contribute to underage drinking and its consequences; these can be expected to reduce alcohol-related death and disability and associated healthcare costs. These efforts can potentially further reduce underage drinking and its consequences and change the norms that support underage drinking in American communities.

¹ Binge drinking is broadly defined as the consumption of a large amount of alcohol over a relatively short period of time. No common terminology has been established to describe different drinking patterns. Specific definitions of binge drinking differ across various studies and surveys (e.g., see Courtney & Polich, 2009). In SAMHSA's National Survey on Drug Use and Health (NSDUH) data, a primary data source for this report, "binge drinking" is defined as five or more drinks on one occasion on at least 1 day in the past 30 days. Appendix B discusses this issue in more detail.

Characteristics of Underage Drinking in America

Alcohol Is the Most Widely Used Substance of Abuse Among American Youth

Alcohol continues to be the most widely used substance of abuse among America's youth, and a higher proportion use alcohol than use tobacco or drugs. For example, according to the 2014 Monitoring the Future (MTF) study, 23.5 percent of 10th graders reported using alcohol in the past 30 days, 16.6 percent reported marijuana use in the past 30 days, and 7.2 percent reported cigarette use in the same period (Miech et al., 2015).²

Youth Start Drinking at an Early Age

As discussed below, early initiation to alcohol use increases the risk for a variety of developmental problems during adolescence and for problems later in life. Early initiation is often an important indicator of future substance use (Buchmann et al., 2009; Grant & Dawson, 1998; Hawkins et al., 1997; Liang & Chikritzhs, 2015; Robins & Przybeck, 1985). Accordingly, delaying the onset of alcohol initiation may significantly improve later health. Although the peak years of initiation to alcohol are 7th to 11th grades, 10 percent of 9- to 10-year-olds have already started drinking (Donovan et al., 2004), and almost one fifth of underage drinkers begin before they are 13 years old (Kann et al., 2014). About 783,000 people reported initiating alcohol use between the ages of 12 and 14. This translates to approximately 2,144 youths (ages 12 to 14) per day in 2014 who initiated alcohol (CBHSQ, 2015c).

Binge Drinking

Binge drinking is the most common underage consumption pattern. High blood alcohol concentrations (BACs) and impairment levels associated with binge drinking place binge drinkers and those around them at substantially elevated risk for negative consequences, such as motor vehicle crashes, injuries, unsafe sexual practices, and sexual victimization. Accordingly, reducing binge drinking has become a primary public health priority (SAMHSA, 2014a).

Binge rates increase rapidly with age (Exhibit E.1). In 2014, approximately 5.3 million youths 12 to 20 years old (13.8 percent) reported binge drinking in the past month (CBHSQ, 2015a). Although, in comparison with adults, youths generally consume alcohol less frequently and consume less alcohol overall, they are much more likely to binge drink (Exhibit E.2).

Accordingly, most youth alcohol consumption occurs in binge-drinking episodes. A significant proportion of underage drinkers consume substantially more than the five-drink binge criterion. For example, averaged 2013 and 2014 data show that 9.1 percent of underage drinkers had nine or more drinks during their last drinking occasion (CBHSQ, 2015b). It is important to note that very young adolescents, because of their smaller size, reach binge-drinking BACs with fewer drinks (three to four drinks for people ages 12 to 15) than do older adolescents (e.g., age 18 or older) (Donovan, 2009).

² For comparability with data from the 2014 NSDUH and 2013 Youth Risk Behavior Survey (YRBS), the latest MTF data included in this report are also from 2014. The 2015 MTF data, available in December 2015, will be included in the next report.

Exhibit E.1: Current and Binge Alcohol Use Among People Ages 12–20 by Age: 2014 (CBHSQ, 2015a)

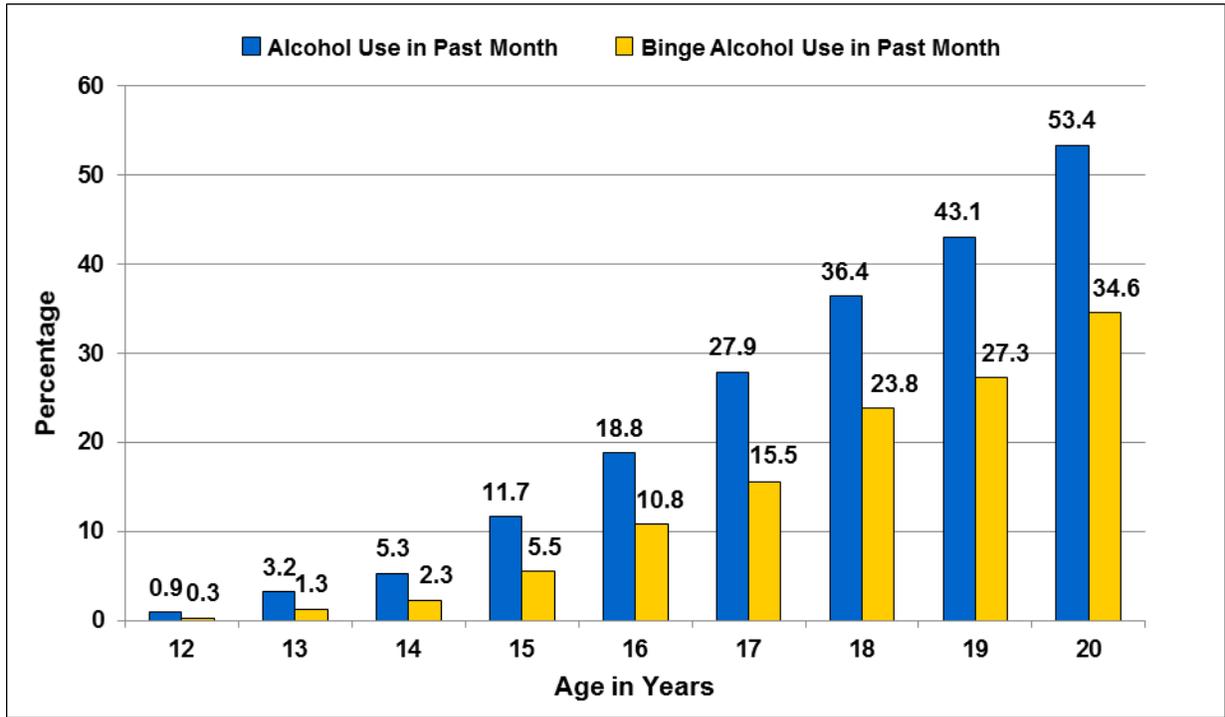
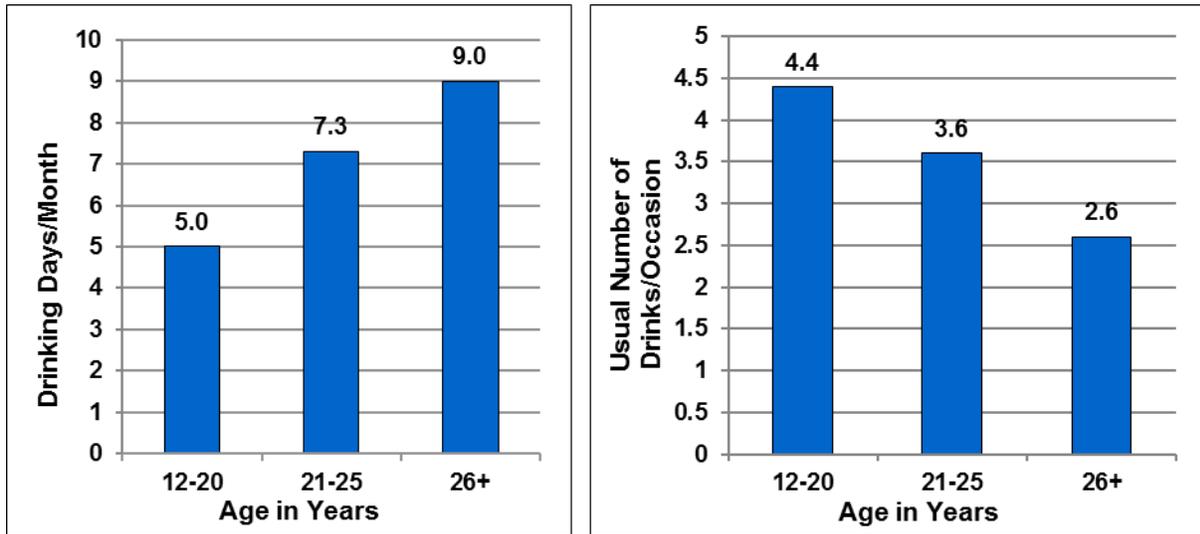


Exhibit E.2: Number of Drinking Days per Month and Usual Number of Drinks per Occasion for Youth (12–20), Young Adults (21–25), and Adults (≥26): 2014 (CBHSQ, 2015c)



A troubling subset of binge drinking is very high-intensity binge drinking, or consumption of 10 or 15 or more drinks on a single occasion. According to MTF data for 2014, 7.1 percent of 12th graders consumed 10+ drinks in a row and 4.1 percent consumed 15+ drinks in a row within the

previous 2 weeks. Although these numbers have declined since 2005, the rate of decline for high-intensity binge drinking has been slower than for all binge drinking (Miech et al., 2015).

There Is a High Prevalence of Alcohol Use Disorders Among Youth

The prevalence of alcohol abuse or dependence among underage drinkers is quite high. Because the *Diagnostic and Statistical Manual of Mental Disorders, Fourth Edition, Text Revision* (DSM-IV-TR) (American Psychiatric Association [APA], 2000) criteria for abuse and dependence were originally developed for use with adults, using them to assess abuse and dependence in adolescents may lead to inconsistencies.

As shown in Exhibit E.3, according to NSDUH combined 2013–2014 data, the prevalence of alcohol use disorders, defined as alcohol abuse and dependence by the DSM-IV-TR (APA, 2000), is about 1 in 10 (10.4 percent) among 18- to 20-year-olds. This prevalence is only slightly less than that for 21- to 24-year-olds (14.2 percent), who have the highest prevalence of alcohol use disorders. In addition, it is estimated that 0.7 percent of 12- to 14-year-olds and 4.7 percent of 15- to 17-year-olds met criteria for alcohol use disorder (CBHSQ, 2015c).

Female Youth Drinking Rates Are Converging With Male Youth Rates

Although underage males and females tend to start drinking at about the same age and have approximately the same prevalence of any past-month alcohol use, males are more likely to drink with greater frequency and to engage in binge and heavy drinking. Since 1991, rates of binge drinking have been *decreasing* for college, 12th-, 10th-, and 8th-grade males and females, and the gap between male and female binge rates has been steadily declining (Johnston, O'Malley, Miech, Bachman, & Schulenberg, 2014d; Miech et al., 2015) (Exhibit E.4).

Exhibit E.3: Prevalence of Past-Year DSM-IV-TR Alcohol Dependence or Abuse by Age: 2013–2014 (CBHSQ, 2015b, c)

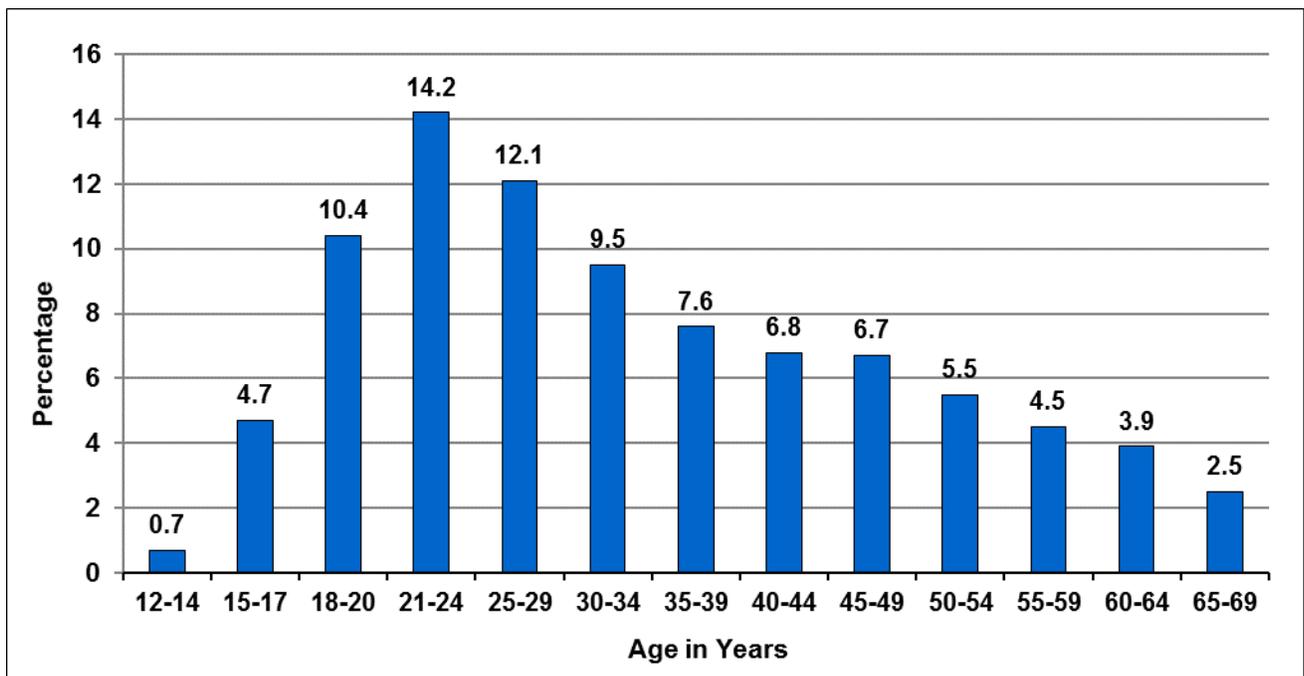
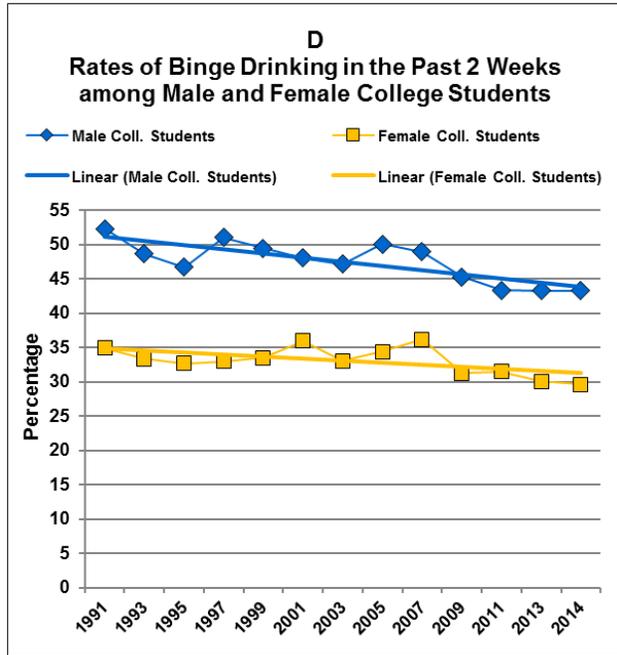
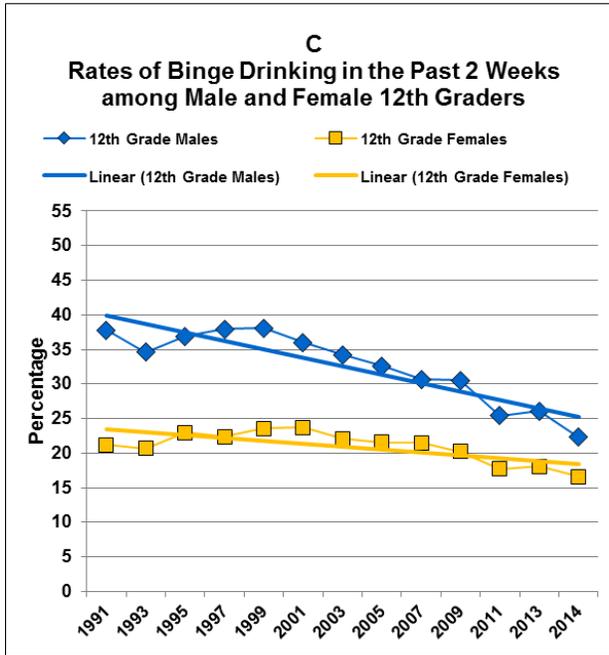
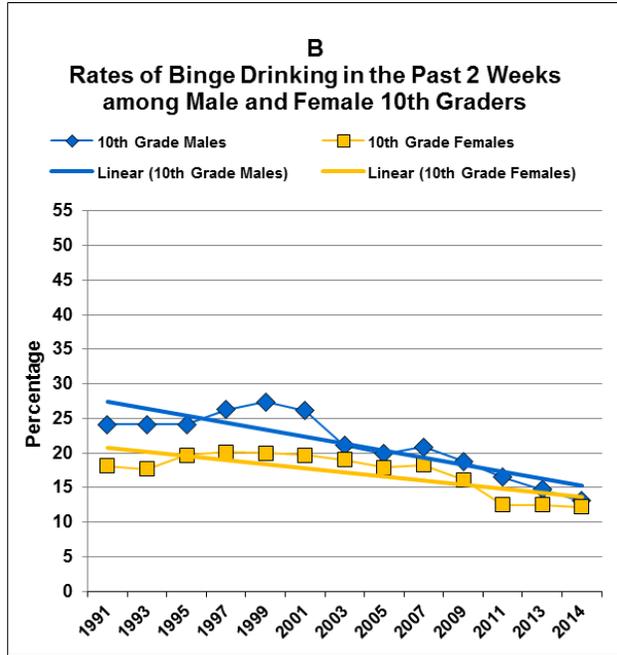
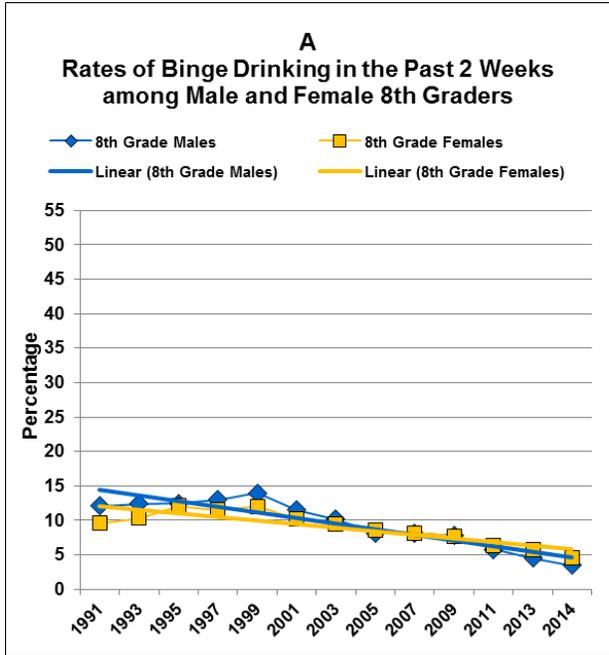


Exhibit E.4: Rates of Binge Drinking in the Past 2 Weeks Among Male and Female 8th, 10th, and 12th Graders and College Students, 1991–2014
 (Johnston, O’Malley, Bachmann, et al., 2015b; Johnston, O’Malley, Miech, et al., 2015a)



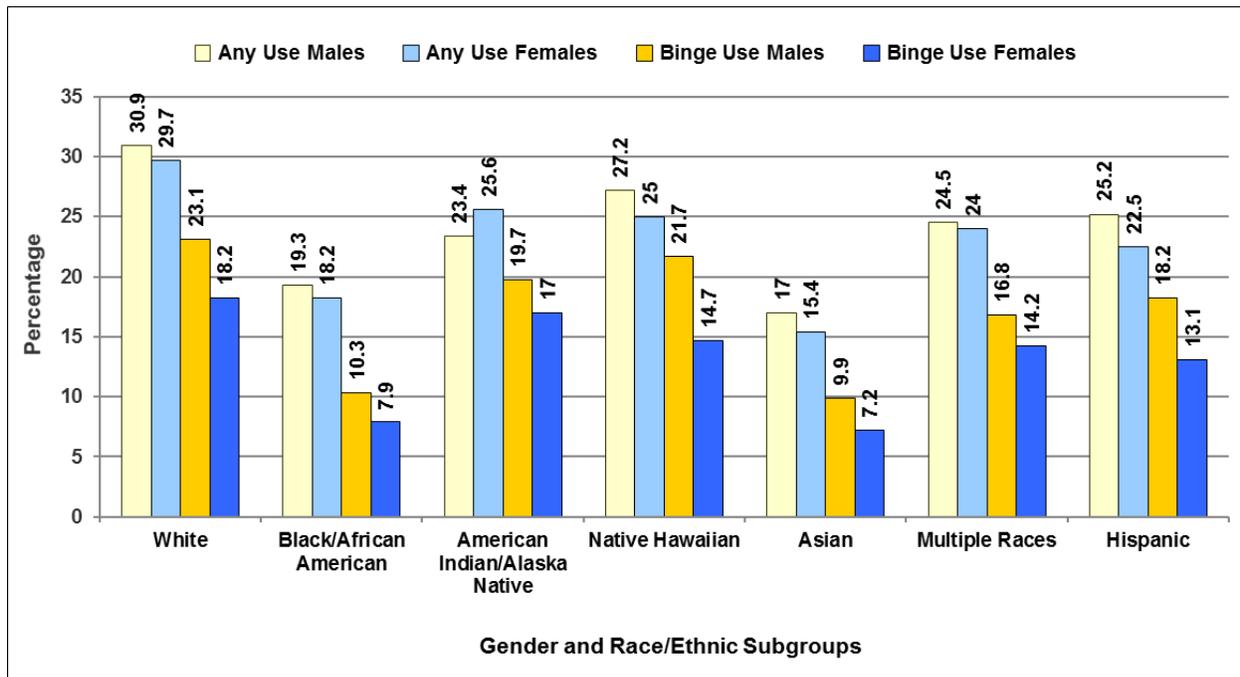
Although females report less alcohol consumption than males, differences in body composition (e.g., more body fat, less muscle mass, and subsequently less body water, in females) result in a greater BAC in females compared with males consuming the same amount of alcohol. These physiological differences suggest that females will experience alcohol-related problems at lower doses of alcohol. On the other hand, males tend to have a lower reactivity (perceived effects of alcohol as a function of amount consumed), putting them at greater risk for binge and heavy drinking (Schulte, Ramo, & Brown, 2009).

Drinking Rates Vary by Race and Ethnicity

White youths who are 12 to 20 years old are slightly more likely than any other racial or ethnic group to report current alcohol use. Asian youths had the lowest rates (Exhibit E.5) (CBHSQ, 2015c); however, data indicate that the prevalence of drinking before age 13 is higher among Black and Hispanic youths than among White youths (Kann et al., 2014).

These ethnic and racial differences must be viewed with caution. As Caetano, Clark, and Tam (1998) noted, there are important differences in alcohol use and related problems among ethnic and racial subgroups of Whites, Blacks, Hispanics, Asians, and Native Americans/Alaska Natives. Moreover, the authors stressed that the patterns of consumption for any group or subgroup represent a complex interaction of psychological, historical, cultural, and social factors that are not adequately captured by a limited set of labels. With these cautions in mind, the data in Exhibit E.5 highlight the importance of considering race and ethnicity in planning underage drinking countermeasures in specific communities.

Exhibit E.5: Alcohol Use and Binge Drinking in the Past Month Among People Ages 12–20 by Race/Ethnicity and Gender, Annual Average Estimates Based on 2002–2014 Data (CBHSQ, 2015c)



Social Context of Alcohol Use

Underage alcohol use is strongly affected by the context in which drinking occurs, including the number of people present and the location where drinking takes place. Of particular concern is underage drinking at large parties.

Number of People Present at Drinking Event

Most people ages 12 to 20 (77.2 percent) who consumed alcohol in the past month were with two or more people the last time they drank, 16.6 percent were with one other person, and 6.2 percent were alone.³

Underage people who drank with two or more other people on the last occasion in the past month had more drinks on average (4.4 drinks) than did those who drank with one other person (3.0 drinks) or drank alone (2.4 drinks) (CBHSQ, 2015c).

Location of Alcohol Use

Location of alcohol use varies greatly by age (as described in more detail in Chapter 2). Most underage drinkers reported last using alcohol in someone else's home (52.8 percent, averaging 4.4 drinks) or in their own home (33.8 percent, averaging 3.4 drinks).⁴ The next most popular drinking locations were at a restaurant, bar, or club (6.9 percent, averaging 4.2 drinks); at a park, on a beach, or in a parking lot (4.0 percent, averaging 4.9 drinks); or in a car or other vehicle (3.5 percent, averaging 5.6 drinks). Thus, most young people drink in social contexts that appear to promote heavy consumption and where people other than the drinker may be harmed by the drinker's behavior (CBHSQ, 2015c).

Underage Drinking Parties

Of particular concern are parties at which large numbers of youth are present. Drinking parties attract those 21 and over as well as significant numbers of underage drinkers (Wells, Graham, Speechley, & Koval, 2005). For this reason, parties are a common environment in which young drinkers are introduced to heavy drinking by older and more experienced drinkers (Wagoner et al., 2012).

Parties are settings for binge drinking and other consumption patterns leading to high BACs (Demers et al., 2002; Clapp, Reed, Holmes, Lange, & Voas, 2006; Clapp, Min, Shillington, Reed, & Ketchie Croff, 2008; Mayer, Forster, Murray, & Wagenaar, 1998; Paschall & Saltz, 2007; Usdan, Moore, Schumacher, & Talbott, 2005; Wagoner et al., 2012). Factors that increase the risk of high BACs include the size of the party and the number of people drinking (Wagoner et al., 2012), drinking games (Clapp et al., 2006, 2008), "bring your own booze" policies (Clapp et al., 2006), parties sponsored by fraternities (Paschall & Saltz, 2007), and parties where illicit drugs are available (Clapp et al., 2006). Demers and colleagues (2002) suggested that large parties have a greater facilitative effect on men's drinking than on women's.

Several studies suggest that drinking parties are settings for aggression, including serious arguments, pushing, fights, and sexual assault (Wagoner et al., 2012). Because large numbers

³ The discussion in this section combines data for 2013 and 2014.

⁴ For the analyses in this section, 2012 and 2013 NSDUH data are combined to provide sufficient sample sizes.

of youth are drinking outside their own homes, drinking parties may significantly increase the risk of driving after drinking (Pacific Institute for Research and Evaluation [PIRE], 2000).

Drinking parties pose serious problems for law enforcement officers. For information on party-related enforcement practices states are implementing, see Chapter 4. For information on relevant state legal policies, see “Hosting Underage Drinking Parties” and “Keg Registration” in Chapter 4.

Types of Alcohol Consumed by Underage Drinkers

Different alcohol beverage types may be associated with different patterns of underage consumption. Ease of concealment, palatability, alcohol content, marketing strategies, media portrayals, parent modeling, and economic and physical availability of different types of alcohol may affect how much young people consume of that product and where they consume it. In addition, policies and enforcement practices sometimes vary by beverage type (e.g., in some states, distilled spirits are sold only in state-run stores [CDC, 2007]). Tracking beverage preferences among young people is therefore an important aspect of prevention policy.

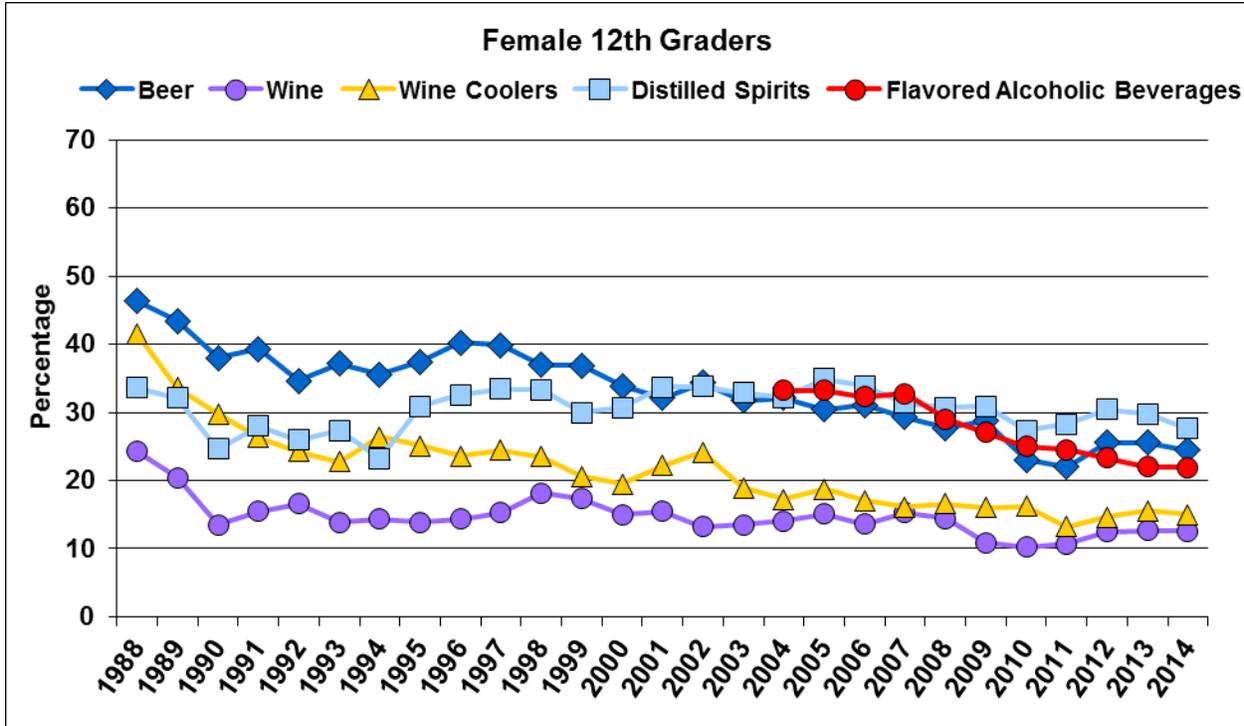
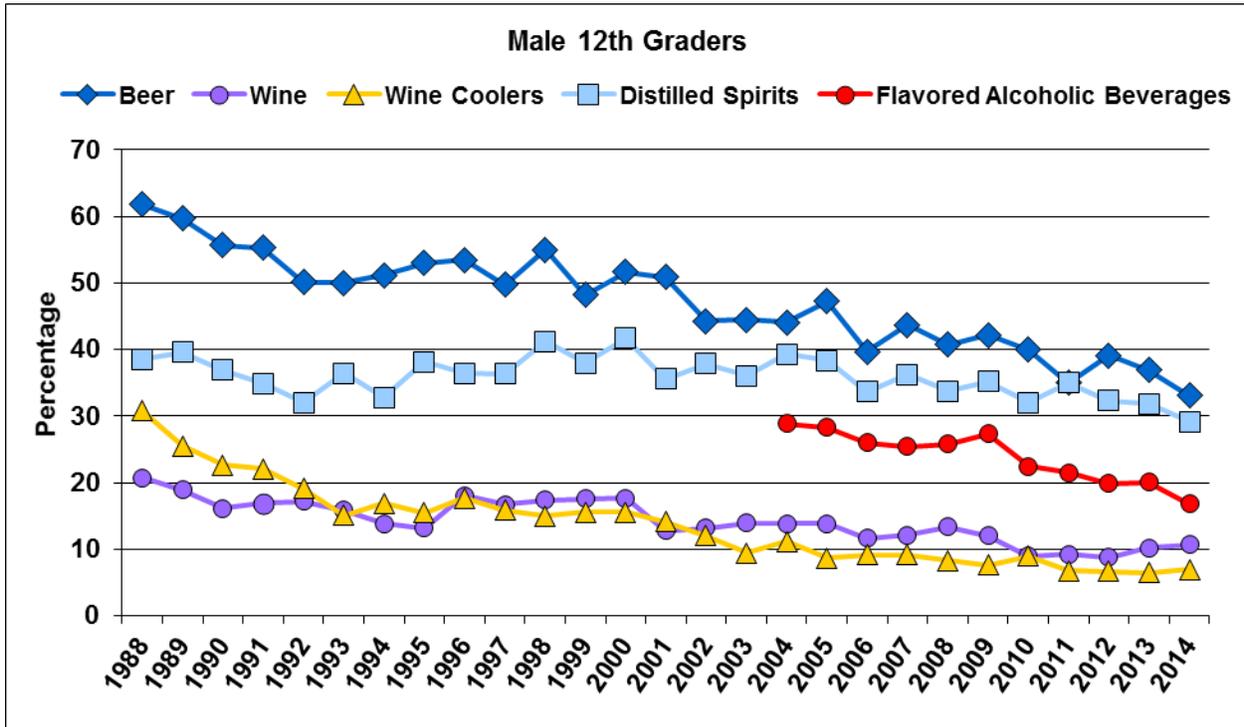
Since 1988, there have been marked shifts in beverage preferences among both male and female 12th graders (Exhibit E.6). Wine is currently preferred by 13 percent or fewer of underage drinkers and is therefore not discussed here.

In 1988, beer was the preferred beverage for both sexes by a large margin. By 2011, however, preference for beer had declined and preference for distilled spirits had increased, such that the two were equally preferred by males that year; preference for beer slightly exceeded preference for spirits in subsequent years. A similar change in preference occurred earlier (in 2005) for females, who continue to prefer distilled spirits over beer by a slight margin. In 2004 (the first year flavored alcoholic beverages were included in the survey), females’ preference was about the same for beer, distilled spirits, and flavored alcoholic beverages. Their preference for flavored alcoholic beverages has declined steadily since then. Males’ preference for these beverages, which has not been as high as females’ preference, also declined during this period. Data from eight states indicate that, among students in 9th through 12th grades who reported binge drinking, spirits are the most prevalent beverage type (Siegel, Naimi, Cremeens, & Nelson, 2011).

Although reported market share among youth is 0.7 percent, of considerable recent concern is the retail availability of high-potency grain alcohol. These products range in strength from 151 to 190 proof (compared with the 80–101 proof of most spirits). Accordingly, high-potency grain alcohol provides a relatively inexpensive way for underage drinkers to become intoxicated.

Epidemiologic data on the use of high-potency grain alcohol is currently limited. Siegel and colleagues (2013) found that according to an internet panel of youth ages 13 to 20, 5.8 percent of all youth reported consuming high-alcohol-content grain alcohol beverages in the past 30 days. Naimi, Siegel, DeJong, O’Doherty, and Jernigan (2015) reported that when underage drinkers consume grain alcohol, they are significantly more likely to binge drink. Improved data on grain alcohol consumption, including underage use and related injury, would help policymakers evaluate appropriate responses.

Exhibit E.6: Trends in the Percentage of Male and Female 12th Graders Using Alcoholic Beverages in the Past 30 Days by Beverage Type, 1988–2014 (Miech et al., 2015)



Young People Perceive Alcohol to Be Readily Available

Since 1993, youth have reported declines in alcohol availability. However, the number of young people who report that alcohol is fairly easy or very easy to obtain remains high. For example, in 2014, 87.6 percent of 12th graders reported that it was easy or very easy to obtain (Miech et al., 2015). The typical sources of alcohol vary by age. Very young drinkers are most likely to obtain alcohol at home from parents or siblings or drink alcoholic beverages stored in the home. For older underage drinkers, the most common sources are other underage individuals or unrelated persons age 21 or older who either purchase alcohol for the underage user or provide it for free. (Please note that some states allow parents, guardians, and spouses to provide alcohol to minors [see Chapter 4]). In addition, other sources for alcohol may also prove problematic, including illegal direct sales by retail establishments, and less commonly, interstate shipping of alcohol (Williams & Ribisl, 2012; see Chapter 4 for data on state policies and enforcement aimed at stopping such sales.)

Youth Drinking Is Correlated With Adult Drinking Practices

Generational transmission has been widely hypothesized as one factor shaping the alcohol consumption patterns of young people. Whether through genetics, social learning, or cultural values and community norms, researchers have repeatedly found a correlation between youth drinking and the drinking practices of parents (Pemberton, Colliver, Robbins, & Gfroerer, 2008). Nelson, Naimi, Brewer, and Nelson (2009) demonstrated this relationship at the population (state) level. State estimates of youth and adult current and binge drinking from 1993 through 2005 were significantly correlated when pooled across years.

Xuan and colleagues (2013), analyzing Youth Risk Behavior Survey (YRBS) data from 1999 to 2009, found a positive correlation between state-level adult binge drinking and youth binge drinking. A 5 percentage point increase in binge-drinking prevalence among adults was associated with a 12 percent relative increase in the odds of alcohol use among youth. Paschall, Lipperman-Kreda, and Grube (2014) examined relationships between characteristics of the local alcohol environment and adolescent alcohol use and beliefs in 50 California cities. They observed a greater increase in past-year alcohol use and heavy drinking over time among adolescents living in cities with higher levels of adult drinking. These results suggest that some policies that primarily affect adult drinkers (e.g., pricing and taxation, hours of sale, on-premises drink promotions) may also affect underage drinkers. For corroborating evidence, see Fell, Fisher, Voas, Blackman, and Tippetts (2009). Also, Norberg, Bierut, & Grucza (2009) reported that people who grew up in states where they could drink legally before age 21 were more likely as adults to meet alcohol and drug abuse and dependence criteria (see also Xuan et al., 2013; Paschall, Lipperman-Kreda, & Grube, 2014; Fell et al., 2009).

Consequences and Risks of Underage Drinking

Driving After Drinking

The greatest mortality risk for underage drinkers is motor vehicle crashes. In 2014, of the 1,717 drivers ages 15 to 20 who were killed in motor vehicle traffic crashes, 451 (26 percent) had a BAC of 0.01 or higher.⁵

Relative to adults, young people who drive after drinking have an increased risk of alcohol-related crashes because of their increased impairment from a given amount of alcohol and perhaps because of their relative inexperience behind the wheel. In a classic paper, Zador (1991) reported that among 16- to 20-year-olds, a BAC of 0.08 grams per deciliter (g/dL) rendered male drivers 52 times more likely and female drivers 94 times more likely than sober gender-matched drivers the same age to die in a single-vehicle fatal crash. However, the risk of a fatal crash increases as alcohol intake increases, starting at 0.01 g/dL.

O'Malley and Johnston (2013) reported longitudinal data for high school seniors (previous 2 weeks) on driving after drinking any alcohol and after five or more drinks and on being a passenger when the driver has had any alcohol and has had five or more drinks (Exhibit E.7). As shown in the exhibit, all four of these behaviors have declined in the last decade, but they remain unacceptably high, especially given the risks associated with driving after even small amounts of alcohol (see above). Males were about twice as likely as females to report driving after drinking, a finding replicated in other studies (Kann et al., 2014; Quinn & Fromme, 2012). Very high percentages of high school seniors who drove after drinking five or more drinks experienced consequences. O'Malley and Johnston (2013) reported that 43.2 percent received a ticket or warning and 30.2 percent were involved in a crash.

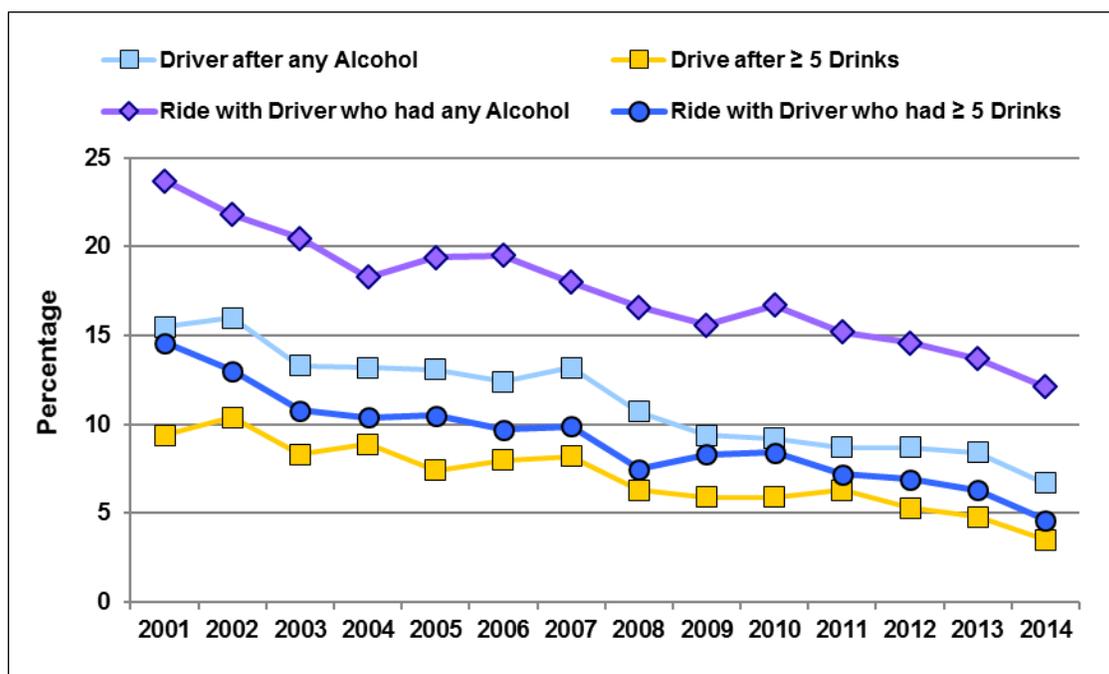
Not surprisingly, drinking practices are strongly correlated with driving after drinking. Based on YRBS data, CDC (2012) reported that 84.6 percent of students who reported drinking and driving also reported binge drinking, compared with 26.4 percent of all students. Two studies found that normative beliefs affect driving after drinking, with higher rates of driving after drinking reported by students who perceived more favorable norms concerning driving after drinking for close friends and typical students (LaBrie, Kenney, Mirza, & Lac, 2011; LaBrie, Napper, & Ghaidarov, 2012).

It is an obvious but underappreciated fact that access to cars is a prerequisite for this behavior (see Klitzner, Vegega, & Gruenewald, 1988). O'Malley and Johnston's (2013) data addressed this effect directly: high school seniors who drove more frequently were more likely to engage in driving after drinking.

A number of policy approaches (see Chapter 4) have been shown to reduce driving after drinking and associated mortality and morbidity among youth. Chief among these is the age 21 minimum legal drinking age, even though the law is imperfectly enforced and widely disobeyed and implementation varies across states (DeJong & Blanchette, 2014; Fell et al., 2009; McCartt, Hellinga, & Kirley, 2010). Fell, Fisher, Voas, Blackman, and Tippetts (2008) examined the

⁵ Special data analysis provided by the National Highway Traffic Safety Administration (NHTSA) for this report (L. Daniels, personal communication, December 22, 2015).

Exhibit E.7: Trends in Percentage of 12th Graders Reporting Driving After Alcohol Use or Riding After Alcohol Use by the Driver (O'Malley & Johnston, 2013)⁶



effects of a wide variety of laws designed to reduce driving after drinking. They found significant effects of underage purchase and consumption laws and laws related to the production and use of false identification. Cavazos-Rehg and colleagues (2012) used 1999–2009 YRBS data to examine the impact of graduated drivers licensing (GDL) and “use/lose” laws on drinking and driving behaviors of youth ages 16 to 17. Restrictive GDL laws and “use/lose” laws were associated with decreased driving after drinking any alcohol and riding in a car with a driver who had been drinking alcohol.

Other Unintentional Injuries Such as Burns, Falls, and Drowning

In addition to motor vehicle crashes, underage drinking contributes to all major causes of fatal and nonfatal trauma experienced by young people. In 2013, 2,105 youths ages 12 to 20 died from unintentional injuries from causes other than motor vehicle crashes, such as poisoning, drowning, falls, and burns (CDC, 2015b). Research shows that about 40 percent of these deaths were attributable to alcohol (Smith, Branas, & Miller, 1999).

Suicide, Homicide, and Violence

Data from 17 states show that among people who died by suicide who were ages 10 to 19 (all of whom were under the legal drinking age in the United States) and were tested, 12 percent had BACs greater than 0.08 g/dL (CDC, 2009). One study (Smith et al., 1999) estimated that, for the population as a whole, 31.5 percent of homicides and 22.7 percent of suicides were related to

⁶ Data from 2012 through 2014 came from special data analysis by one of the authors (P. O'Malley, personal communication, October 5, 2015).

alcohol (i.e., involved a deceased person with a BAC of 0.10 g/dL or greater). Another study on youth suicide estimated that 9.1 percent of suicide-related hospital admissions of those under age 21 involved alcohol and that 72 percent of these cases were attributable to alcohol (Miller, Levy, Spicer, & Taylor, 2006).

Years of Potential Life Lost Due to Alcohol

People under age 21 who die as a result of alcohol use lose an average of 60 years of potential life (CDC, 2015a). By comparison, each person who dies from cancer loses an average of 15 years of life, and each person who dies from heart disease loses an average of 11 years of life (Ries et al., 2003), because these are primarily diseases of older adults.

Potential Brain Impairment

Adverse effects on normal brain development are a potential long-term risk of underage alcohol consumption. Neurobiological research suggests that adolescence may be a period of unique vulnerability to the effects of alcohol. For example, early heavy alcohol use may have negative effects on the actual physical development of the brain structure of adolescents (Brown & Tapert, 2004) as well as on brain functioning. Negative effects indicated by neuropsychological studies include decreased ability in planning, executive functioning, memory, spatial operations, and attention, all of which play important roles in academic performance and future levels of functioning (Brown, Tapert, Granholm, & Dellis, 2000; Giancola & Mezzich, 2000; Tapert & Brown, 1999; Tapert et al., 2001; Winward, Hanson, Bekman, Tapert, & Brown, 2014). As Brown and colleagues (2000) noted, these deficits may put alcohol-dependent adolescents at risk for falling further behind in school, putting them at an even greater disadvantage relative to nonusers. Some of these cross-sectional findings are supported by longitudinal analyses (Squeglia, Jacobus, & Tapert, 2009). In a 10-year prospective study, Hanson, Medina, Padula, Tapert, & Brown (2011) found that having a history of heavy alcohol or other substance use during adolescence appears to be more important in determining cognitive deficits than whether individuals continued to have substance-related problems into their mid-twenties.

Risky Sexual Activity

According to the 2007 *Surgeon General's (SG's) Call to Action to Prevent and Reduce Underage Drinking*, underage drinking plays a significant role in risky sexual behavior, including unwanted, unintended, and unprotected sexual activity as well as sex with multiple partners. Such behavior increases the risk for unplanned pregnancy and for contracting sexually transmitted diseases, including infection with HIV, the virus that causes AIDS (Cooper & Orcutt, 1997). When pregnancies occur, underage drinking may result in fetal alcohol spectrum disorders, including fetal alcohol syndrome, which remains a leading cause of intellectual disabilities (Jones, Smith, Ulleland, & Streissguth, 1973; Stratton, Howe, & Battaglia, 1996; Warren & Bast, 1988). A review article by Nolen-Hoeksema cited a number of studies suggesting that underage drinking by both victim and assailant increases the risk of physical and sexual assault (Abbey, 2011; Nolen-Hoeksema, 2004).

Increased Risk of Developing an Alcohol Use Disorder Later in Life

Early-onset alcohol use, alone and in combination with escalated drinking in adolescence, has been noted as a risk factor for development of alcohol-related problems in later life (Agrawal

et al., 2009; Dawson, Goldstein, Chou, Ruan, & Grant, 2008; Hingson, Heeren, & Winter, 2006; Hingson & Zha, 2009; Pitkänen, Lyyra, & Pulkkinen, 2005; York, Welte, Hirsch, Hoffman, & Barnes, 2004). Grant and Dawson (1997) found that more than 40 percent of people who initiated drinking before age 13 met diagnostic criteria for alcohol dependence at some time in their lives.⁷ By contrast, alcohol dependence rates among those who started drinking at ages 17 and 18 were 24.5 percent and 16.6 percent, respectively (Exhibit E.8). Data from the 2009–2011 NSDUH survey suggested a similar relationship between age of initiation and development of alcohol-related problems. Only 10 to 11 percent of people who started at age 21 or older met the criteria.

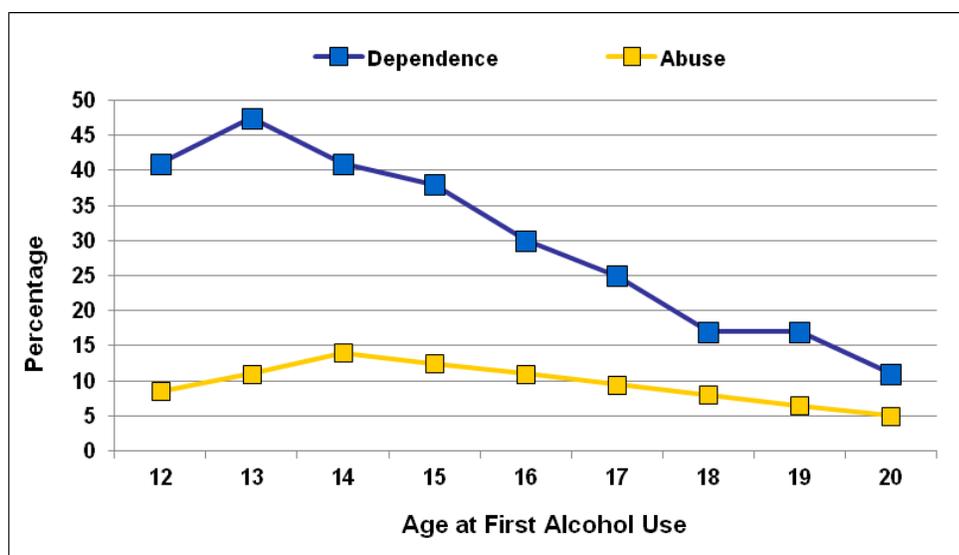
The onset of alcohol consumption in childhood or early adolescence is a marker for later use of drugs, drug dependence, and drug-related crash involvement (Hermos, Winter, Heeren, & Hingson, 2008; Hingson, Heeren, & Edwards, 2008). Moss, Chena, and Yi (2014) found that use of both alcohol and marijuana or a combination of alcohol, marijuana, and cigarettes before age 16 was associated with a spectrum of young adult substance use problems, as well as substance use disorder diagnoses.

Adults who started drinking at age 14 were three times more likely to report driving after drinking too much ever in their lives than were those who began drinking after age 21. Crashes were four times as likely for those who began drinking at age 14 as for those who began drinking after age 21 (Hingson, Heeren, Levenson, Jamanka, & Voas, 2001).

Impaired Academic Performance

In general, cross-sectional studies have found that students who do poorly in school drink more than students whose school performance is better (Bryant, Schulenberg, O'Malley, Bachman, &

Exhibit E.8: Ages of Initiation and Levels of DSM Diagnoses for Abuse and Dependence (Grant & Dawson, 1997)



⁷ The new criteria for alcohol-related disorders in the DSM-V (APA, 2013) do not specifically address adolescents.

Johnston, 2003). For example, Miller, Naimi, Brewer, and Jones (2007) found that students who reported binge drinking were three times more likely to report earning mostly Ds and Fs on their report cards, compared with non-binge drinkers.

However, the evidence from longitudinal studies is less clear-cut. Using data from the Youth Development Study (Mortimer, 2003), Owens, Shippee, and Hensel (2008) tracked a panel of youth from their freshman to senior years in high school. They failed to find a significant link across the high school years between increased drinking and diminishing academic performance. In a 1-year longitudinal analysis of middle school and high school students (using the National Longitudinal Study of Adolescent Health), Crosnoe, Muller, and Frank (2004) found that, independent of consumption levels, students who drank experienced modest declines (one tenth of a letter grade) in academic achievement. Using a similar design, Crosnoe (2006) found a stronger association between number of classes failed and later alcohol use than between alcohol use and academic performance. Renna (2008) tracked educational attainment and alcohol use at ages 19 and 25 among two cohorts of 18-year-olds in 1982 and 1983. Binge drinking in the senior year of high school reduced the probability of receiving a high school diploma and increased the probability of graduating later in life with a GED (and hence realizing lower earning potential).

Underage Drinking Among College Students

In its landmark 2002 report, *A Call to Action: Changing the Culture of Drinking at U.S. Colleges* (henceforth referred to as the National Institute on Alcohol Abuse and Alcoholism [NIAAA] *Call to Action*), NIAAA noted the following:

The tradition of drinking has developed into a kind of culture—beliefs and customs—entrenched in every level of college students’ environments. Customs handed down through generations of college drinkers reinforce students’ expectation that alcohol is a necessary ingredient for social success. These beliefs and the expectations they engender exert a powerful influence over students’ behavior toward alcohol.⁸

Campus drinking culture persists 13 years later (Johnston, O’Malley, Bachman, Schulenberg, & Miech, 2015a).

Extent of the Problem

Overall rates of college student drinking and binge drinking exceed those of same-age peers who do not attend college (Johnston, O’Malley, Bachman, et al., 2015a). Of college students, 79.4 percent drank and 35.4 percent reported drinking five or more drinks on an occasion in the past 2 weeks. Unlike high school students and same-age peers not in college, binge-drinking rates among college students have shown little decline since 1993 (Johnston et al., 2014c). Considering binge-drinking trends only for 12th graders with college plans and college students, the slopes of the two trend lines are diverging noticeably. Students currently in college are now drinking more than 12th graders who plan to go to college, suggesting that the impact of the college transition may be increasing over time.

Underage college students drink about 48 percent of the alcohol consumed by students at 4-year colleges (Wechsler, Lee, Nelson, & Kuo, 2002). Some college students far exceed the binge

⁸ For many students, alcohol use is not a tradition. Students who drink the least attend 2-year institutions, religious schools, commuter schools, and historically Black colleges and universities (Meilman et al., 1994, 1995, 1999; Presley et al., 1996a, b).

criterion of five drinks per occasion (Wechsler, Molnar, Davenport, & Baer, 1999; Wechsler & Nelson, 2008).

Adverse Consequences of College Drinking

The consequences of underage drinking in college are widespread and serious (White & Hingson, 2013). A study of roughly 5,500 college women on two campuses revealed that nearly 20 percent experienced some form of sexual assault while at college (Krebs, Lindquist, Warner, Fisher, & Martin, 2009). A review by Abbey (2011) concluded that approximately half of all reported and unreported sexual assaults involve alcohol consumption by the perpetrator, victim, or both. Abbey further reported that typically, if the victim consumes alcohol, the perpetrator does as well.

Hingson and Zha (2009) estimated that annually more than 696,000 college students were assaulted or hit by another student who had been drinking; another 599,000 were unintentionally injured while under the influence of alcohol. In addition, the authors estimated that roughly 474,000 students ages 18 to 24 have had unprotected sex while under the influence of alcohol, and each year more than 100,000 students ages 18 to 24 report having had sexual intercourse when so intoxicated they were unable to consent. Estimates are that more than 97,000 students were victims of alcohol-related sexual assault. However, the incidence of college sexual assault is difficult to measure and different studies report different rates (DeMatteo & Galloway, 2015). About 25 percent of college students report academic consequences as a result of their drinking, including missing class, falling behind, doing poorly on exams or papers, and receiving lower grades overall (White & Hingson, 2013).

College Drinking Prevention Best Practices

For many years, NIAAA has invested substantial resources in supporting studies on individual and environmental interventions to address college drinking. As a result, knowledge about best practices continues to grow.

CollegeAIM

In 2015, NIAAA launched a major new resource, CollegeAIM (College Alcohol Intervention Matrix), to help college officials address harmful and underage student drinking. The centerpiece of CollegeAIM is a comprehensive, easy-to-use, matrix-based tool that helps inform college staff about potential alcohol interventions and guides them to evidence-based interventions. Although college officials have numerous options for alcohol interventions, these are not all equally effective. CollegeAIM is designed to help schools make informed choices among available strategies, thereby increasing the chances for success and helping to improve student health and safety. CollegeAIM compares and rates nearly 60 types of interventions on effectiveness, anticipated costs and barriers to implementation, public health research, and research amount and quality. The matrix interventions are classified as either environmental-level strategies or individual-level strategies (Exhibits E.9 and E.10). Environmental-level strategies target the campus community and student population as a whole; individual-level strategies focus on individual students, including those in higher risk groups such as first-year students, student-athletes, and members of Greek organizations. The strategies are described in more detail at <http://stopalcoholabuse.gov>; go to Report to Congress, Supplemental Information, Individual-Level Strategies and Environmental-Level Strategies Summary Tables.

Exhibit E.9: NIAAA College Alcohol Intervention Matrix, Individual-Level Strategies (Source: NIAAA)

INDIVIDUAL-LEVEL STRATEGIES:

Estimated Relative Effectiveness, Costs, and Barriers; Public Health Reach; Research Amount; and Primary Modality¹



COSTS: Combined program and staff costs for adoption/implementation and maintenance				
		Lower costs \$	Mid-range costs \$\$	Higher costs \$\$\$
EFFECTIVENESS: Success in achieving targeted outcomes	Higher effectiveness ★★★	IND-3 Normative re-education: Electronic/mailed personalized normative feedback (PNF)—Generic/other ² [#], B, ●●●, online/offsite IND-10 Skills training, alcohol focus: Self-monitoring/self-assessment <i>alone</i> ³ [#], F, ●●●, online/offsite IND-21 Personalized feedback intervention (PFI): eCHECKUP TO GO (formerly, e-CHUG) ² [#], B, ●●●, online]	IND-9 Skills training, alcohol focus: Goal/intention-setting <i>alone</i> ² [#], F, ●●, IPI IND-12 Skills training, alcohol plus general life skills: Alcohol Skills Training Program (ASTP) ² [#], F, ●●●, IPG IND-16 Brief motivational intervention (BMI): In-person—Individual (e.g., BASICS) [#], F, ●●●●, IPI IND-22 Personalized feedback intervention (PFI): Generic/other ² [#], B, ●●●●, online]	IND-17 Multi-component education-focused program (MCEFP): AlcoholEdu [®] for College ² [#], B, ●●, online] Interventions Delivered by Health Care Professionals Strategies in which health care professionals identify and help students whose drinking patterns put them at risk for harm, or who are already experiencing alcohol-related problems: IND-23 Screening and behavioral treatments IND-24 Medications for alcohol use disorder These approaches can reduce harmful drinking, according to studies conducted mainly in general adult populations (ages 18–65). <i>The differences in research populations, along with wide variations in costs and barriers across campuses, precluded ratings relative to other strategies. See page 18 for more information.</i>
	Moderate effectiveness ★★		IND-8 Skills training, alcohol focus: Expectancy challenge interventions (ECI)—Experiential [#], F, ●●●, IPG IND-13 Skills training, alcohol plus general life skills—Parent-based alcohol communication training [#], F, ●●, offsite IND-14 Skills training, alcohol plus general life skills or general life skills only: Generic/other ² [#], F, ●●●●, IPG IND-15 Brief motivational intervention (BMI): In-person—Group [#], F, ●●, IPG]	Legend
	Lower effectiveness ★	IND-2 Normative re-education: Electronic/mailed personalized normative feedback (PNF) Event-specific prevention (21st birthday cards) [#], B, ●●, online/offsite]	IND-4 Normative re-education: In-person norms clarification <i>alone</i> ³ [#], F, ●●, IPG]	Effectiveness rating, based on percentage of studies reporting any positive effect: ●●● = 75% or more ●● = 50% to 74% ● = 25% to 49% X = Less than 25%
	Not effective X	IND-7 Skills training, alcohol focus: Expectancy challenge intervention (ECI)—By proxy/didactic/discussion <i>alone</i> ³ [#], F, ●●, IPG]	IND-1 Information/knowledge/education <i>alone</i> ³ [#], B, ●●●●, IPG] IND-5 Values clarification <i>alone</i> ³ [#], F, ●●, IPG]	Public health reach: B = Broad F = Focused Research amount: ●●●● = 11+ studies ●●● = 7 to 10 studies ●● = 4 to 6 studies ● = 3 or fewer studies
	Too few studies to rate effectiveness ?	IND-11 Skills training, alcohol plus general life skills: Alcohol 101 Plus™ ² [#], B, ●, online] IND-19 Personalized feedback intervention (PFI): CheckYourDrinking (beta 1.0 version) ² [#], B, ●, online] IND-20 Personalized feedback intervention (PFI): College Drinker's Check-up ² [#], B, ●, online]	IND-6 Skills training, alcohol focus: Blood alcohol concentration feedback <i>alone</i> ³ [#], F, ●, IPI IND-18 Multi-component education-focused programs (MCEFP): Miscellaneous ² [#], B, ●, online]	Barriers: ### = Higher ## = Moderate # = Lower Primary modality: IPI = In-person individual IPG = In-person group Online Offsite

See brief descriptions and additional ratings for each individual-level strategy on the summary table beginning on page 13.

¹ **Effectiveness** ratings are based on the percentage of studies reporting any positive outcomes (see legend). Strategies with three or fewer studies were not rated for effectiveness due to the limited data on which to base a conclusion. **Cost** ratings are based on the relative program and staff costs for adoption, implementation, and maintenance of a strategy. Actual costs will vary by institution, depending on size, existing programs, and other campus and community factors. **Barriers** to implementing a strategy include cost and opposition, among other factors. **Public health reach** refers to the number of students that a strategy affects. Strategies with a broad reach affect all students or a large group of students (e.g., all underage students); strategies with a focused reach affect individuals or small groups of students (e.g., sanctioned students). **Research amount** refers to the number of randomized controlled trials (RCT) of a strategy (see legend).

² Strategies are listed by **brand name** (e.g., CheckYourDrinking) if they were evaluated by at least two RCTs; strategies labeled **generic/other** have similar components and were not identified by name in the research or were evaluated by only one RCT; strategies labeled **miscellaneous** have the same approach but very different components.

³ Although this approach is a component of larger, effective programs such as BASICS and ASTP, it is evaluated here as a stand-alone intervention.

With CollegeAIM, officials can learn how their current strategies compare to other alternatives; discover possible new strategies to consider; and select a combination of approaches that best meets the particular needs of their students and campuses. Further information about CollegeAIM, including a detailed FAQ section and a strategy planning worksheet for college prevention staff, is available at <http://www.collegedrinkingprevention.gov/collegeaim>.

Federal and State Actions Regarding Powdered Alcohol

On March 10, 2015, the U.S. Alcohol and Tobacco Tax and Trade Bureau (TTB), which approves alcohol labeling, issued label approvals for Palcohol, a powdered product. A container of Palcohol contains 1 ounce of powder, which, when mixed as directed with 200 milliliters of water, results in a beverage with 10 percent alcohol by volume. Public health professionals and state government officials raised concerns that, because powdered alcohol could be easily concealed and transported, it would have particular appeal to underage drinkers. As of November 2015, 27 states have enacted a permanent or temporary ban on powdered alcohol. Four states have expanded the statutory definition of alcohol so that powdered alcohol can be regulated under their existing alcohol statutes. Bills have also been introduced in 11 state legislatures and the District of Columbia to ban the sale of powdered alcohol.

Exhibit E.10: NIAAA College Alcohol Intervention Matrix, Environmental Strategies (Source: NIAAA)

ENVIRONMENTAL-LEVEL STRATEGIES:

Estimated Relative Effectiveness, Costs, and Barriers; Public Health Reach; and Research Amount/Quality¹



COSTS: Combined program and staff costs for adoption/implementation and maintenance			
Lower costs \$		Mid-range costs \$\$	Higher costs \$\$\$
EFFECTIVENESS: Success in achieving targeted outcomes	Higher effectiveness ★★★	ENV-16 Restrict happy hours/price promotions [###, B, ●●●] ENV-21 Retain ban on Sunday sales (where applicable) [##, B, ●●●●] ENV-22 Retain age-21 drinking age [##, B, ●●●●]	ENV-11 Enforce age-21 drinking age (e.g., compliance checks) [##, B, ●●●●] ENV-23 Increase alcohol tax [###, B, ●●●●]
	Moderate effectiveness ★★	ENV-17 Retain or enact restrictions on hours of alcohol sales [##, B, ●●●●] ENV-34 Enact social host provision laws [##, B, ●●●]	ENV-3 Prohibit alcohol use/sales at campus sporting events [##, F, ●●●●] ENV-25 Enact dram shop liability laws: Sales to intoxicated [##, B, ●●●●] ENV-26 Enact dram shop liability laws: Sales to underage [##, B, ●●●] ENV-30 Limit number/density of alcohol establishments [###, B, ●●●●] ENV-35 Retain state-run alcohol retail stores (where applicable) [###, B, ●●●●]
	Lower effectiveness ★		ENV-1 Establish an alcohol-free campus [###, B, ●●●] ENV-7 Conduct campus-wide social norms campaign ² [#, B, ●●●●]
	Too few robust studies to rate effectiveness—or mixed results ?	ENV-4 Prohibit alcohol use/service at campus social events [##, B, 0] ENV-5 Establish amnesty policies ² [#, F, ●●●] ENV-8 Require Friday morning classes ² [#, B, ●●] ENV-9 Establish standards for alcohol service at campus social events [#, B, ●●●] ENV-10 Establish substance-free residence halls ² [#, F, ●●] ENV-13 Prohibit beer kegs [C = #, S/L = ###, B, ●●●] ENV-18 Establish minimum age requirements to serve/sell alcohol [##, B, ●●●●] ENV-19 Implement party patrols [##, B, ●●●] ENV-24 Increase cost of alcohol license [##, B, 0] ENV-27 Prohibit home delivery of alcohol [##, B, ●●] ENV-29 Enact noisy assembly laws [##, B, 0]	ENV-6 Implement bystander interventions ² [#, F, 0] ENV-2 Require alcohol-free programming ² [#, F, ●●] ENV-20 Implement safe-rides program ² [##, F, ●●] ENV-32 Conduct shoulder tap campaigns [##, B, ●●] ENV-33 Enact social host property laws [##, B, 0] ENV-36 Require unique design for state ID cards for age < 21 [##, B, 0]
Legend Barriers: ## = Higher, # = Moderate, # = Lower C = Barriers at college level, S/L = Barriers at the state/local level Public health reach: B = Broad, F = Focused Research amount/quality: ●●●● = 5 or more longitudinal studies, ●●● = 5 or more cross-sectional studies or 1 to 4 longitudinal studies, ●● = 2 to 4 studies but no longitudinal studies, ● = 1 study that is not longitudinal 0 = No studies			

See brief descriptions and additional ratings for each environmental-level strategy on the summary table beginning on page 19.

¹ Effectiveness ratings are based on estimated success in achieving targeted outcomes. Cost ratings are based on a consensus among research team members of the relative program and staff costs for adoption, implementation, and maintenance of a strategy. Actual costs will vary by institution, depending on size, existing programs, and other campus and community factors. Barriers to implementing a strategy include cost and opposition, among other factors. Public health reach refers to the number of students that a strategy affects. Strategies with a broad reach affect all students or a large group of students (e.g., all underage students); strategies with a focused reach affect individuals or small groups of students (e.g., sanctioned students). Research amount/quality refers to the number and design of studies (see legend).

² Strategy does not seek to reduce alcohol availability, one of the most effective ways to decrease alcohol use and its consequences.

Additionally, two control states—Massachusetts and Pennsylvania—will not sell powdered alcohol in their state stores. As of February 2016, powdered alcohol was not available for sale in the United States.

The National Effort To Reduce Underage Drinking

Underage drinking has been recognized as a public health problem for many years. Over the past 20 years, a comprehensive national effort to address underage drinking was initiated and subsequently intensified, as the multidimensional consequences associated with underage drinking have become more apparent. Substantial progress has been made through strengthening federal policy, implementing a national media campaign, increasing and supporting the involvement of the community through grants and other mechanisms, and collaborating with private agencies, such as the Robert Wood Johnson Foundation. A brief summary of key milestones over the last two decades follows:

- 1992—Congress created SAMHSA to “focus attention, programs, and funding on improving the lives of people with or at risk for mental and substance abuse disorders.”
- 1998—Congress mandated that the U.S. Department of Justice, through the Office of Justice Programs’ Office of Juvenile Justice and Delinquency Prevention, establish and implement

the Enforcing the Underage Drinking Laws program, a state- and community-based initiative.⁹

- 2004—Congress directed the Secretary of the U.S. Department of Health and Human Services (HHS) to establish the Interagency Coordinating Committee on the Prevention of Drinking (ICCPUD) and to issue an annual report summarizing all federal agency activities related to the problem.
- 2006—Congress passed the Sober Truth on Preventing (STOP) Underage Drinking Act, Public Law 109-422, popularly known as the STOP Act. The act states, “A multi-faceted effort is needed to more successfully address the problem of underage drinking in the United States. A coordinated approach to prevention, intervention, treatment, enforcement, and research is key to making progress. This Act recognizes the need for a focused national effort, and addresses particulars of the Federal portion of that effort as well as Federal support for state activities.” The STOP Act also calls for three annual reports to Congress from the HHS Secretary: (1) a report on underage drinking nationally; (2) a report on state underage drinking prevention and enforcement activities; and (3) a report on the Underage Drinking Prevention National Media Campaign. Chapters 1–3 of this document constitute the national report; Chapter 4 with the individual state reports constitutes the state report; and Chapter 5 is the report on the national media campaign. Together, they fulfill the STOP Act mandate and are designed to build on the efforts that precede it.
- 2007—The *Surgeon General’s (SG’s) Call to Action to Prevent and Reduce Underage Drinking* (HHS, 2007), the first on that subject, was issued. Based on the latest and most authoritative research at the time, particularly on underage drinking as a developmental issue, the *SG’s Call to Action* outlines a comprehensive national effort to prevent and reduce underage alcohol consumption. The strategies for implementing the goals of the *SG’s Call to Action* are presented in the full *SG’s Call to Action*, which is available at <http://www.ncbi.nlm.nih.gov/books/NBK44360>.

The STOP Act requires the HHS Secretary to report to Congress on “the extent of progress in preventing and reducing underage drinking nationally.” Data presented in Chapter 1 of this report demonstrate that meaningful progress has been made in reducing underage drinking prevalence. The factors that have contributed to this progress are varied and complex, with one clear factor having been the increased attention to this issue at all levels of society. Federal initiatives have raised underage drinking to a prominent place on the national public health agenda, created a policy climate in which significant legislation has been passed by states and localities, raised awareness of the importance of aggressive enforcement, and stimulated coordinated citizen action. These changes are mutually reinforcing and have provided a framework for a sustained national commitment to reducing underage drinking.

Nevertheless, the rates of underage drinking are still unacceptably high, resulting in preventable and tragic health and safety consequences for the nation’s youth, families, communities, and society as a whole. Therefore, ICCPUD remains committed to an ongoing, comprehensive approach to preventing and reducing underage drinking. This document, with its yearly updates to state reports and survey responses, is part of that sustained effort to reduce underage drinking in America.

⁹ Funding for this program was terminated after FY 2011.

Report on State Programs and Policies Addressing Underage Drinking

Recognizing the importance of state programs and policies in preventing underage drinking, the STOP Act directs HHS and ICCPUD to provide an annual report on state underage drinking prevention activities. It defines specific categories of prevention programs, policies, and enforcement activities related to those policies, and describes associated state expenditures to guide the report's development. The annual State Report (Chapter 4) provides the following information for the 50 states and the District of Columbia (henceforth referred to as "states"):

1. Information on 26 underage drinking prevention policies focused on reducing youth access to alcohol and youth involvement in drinking and driving
2. Data from a survey addressing underage drinking enforcement programs; programs targeted to youth, parents, and caregivers; collaborations, planning, and reports; and state expenditures on the prevention of underage drinking

The 26 policies included in Chapter 4 can be grouped under four general headings:

- Laws Addressing Minors in Possession of Alcohol
- Laws Targeting Underage Drinking and Driving
- Laws Targeting Alcohol Suppliers
- Alcohol Pricing Policies

Laws Addressing Minors in Possession of Alcohol

1. Underage possession
2. Underage consumption
3. Internal possession by minors
4. Underage purchase and attempted purchase
5. False identification

Laws and the penalties associated with them are designed to raise the costs to underage people of obtaining and consuming alcohol. Such laws provide a primary deterrent (preventing underage drinking among nondrinkers) and a secondary deterrent (reducing the probability that adjudicated youth will drink again before reaching age 21). In addition, laws addressing internal possession facilitate enforcement, and laws regarding false identification for obtaining alcohol make obtaining alcohol more difficult.

Laws Targeting Underage Drinking and Driving

6. Youth blood alcohol concentration limits (underage operators of noncommercial motor vehicles)
7. Loss of driving privileges for alcohol violations by minors ("use/lose" laws)
8. Graduated drivers licenses (GDLs)

Similar to laws addressing minors in possession of alcohol, these laws seek to deter underage driving after drinking by raising the cost of this behavior. In addition, GDLs restrict driving privileges to reduce the incidence of a variety of risky driving behaviors, including driving while intoxicated.

Laws Targeting Alcohol Suppliers

9. Furnishing alcohol to minors
10. Compliance check protocols
11. Penalty guidelines for sales to minors
12. Responsible beverage service
13. Minimum ages for off-premises sellers
14. Minimum ages for on-premises servers and bartenders
15. Outlet siting near schools
16. Dram shop liability
17. Social host liability
18. Hosting underage drinking parties
19. Retailer interstate shipments of alcohol
20. Direct sales/shipments
21. Keg registration
22. Home delivery
23. High-proof grain alcoholic beverages

These laws serve to reduce alcohol availability to minors and hence reduce underage drinking. Some of the laws increase the costs to adults and thus deter furnishing alcohol to minors (e.g., compliance checks, and social host and dram shop liability). Other laws directly impede the furnishing of alcohol (e.g., responsible beverage service, minimum age for servers and sellers, restrictions on direct shipment, and home delivery).

Alcohol Pricing Policies

24. Alcohol taxes
25. Drink specials
26. Wholesaler pricing

These policies serve to decrease the “economic availability” of alcoholic beverages through increases in retail price and thus decrease underage drinking and a wide variety of related consequences. The effects of these policies may be direct (e.g., increased taxes, minimum wholesale prices, banning reduced-price drink specials) or indirect (e.g., limiting serving size).

Chapter 4 includes a description of each policy’s key components, the status of the policy across states, and trends over time. Summaries are followed by a state-by-state analysis of each policy. For more information on these state policies, see the individual state reports and policy summaries in Chapter 4.

State Survey

This section of Chapter 4 provides both the complete responses of the states to the 2015 State Survey (state summaries), and the Cross-State Report. This is the fourth wave of data collection for the State Survey (which was initiated in 2011). Comparisons for selected enforcement activities are presented among data collected between 2011 and 2015.

The survey content was derived directly from the STOP Act, covering topics and using terminology from the act. The survey questions were structured to allow states maximum

flexibility in deciding which initiatives to describe and how to describe them. Open-ended questions were used whenever possible to allow states to “speak with their own voices.” As noted earlier, the survey addressed four main areas:

1. Enforcement programs to promote compliance with underage drinking laws and regulations
2. Programs targeted to youth, parents, and caregivers to deter underage drinking
3. State interagency collaboration to implement prevention programs, state best-practice standards, and collaborations with tribal governments
4. The amount that each state invests on the prevention of underage drinking

The Cross-State Report presents data about variables amenable to quantitative analysis. Overall, the 2015 data reveal a wide range of activity in the areas studied, although these vary in scope and intensity from state to state. A key conclusion to be drawn from the STOP Act State Survey is that the states have demonstrated a commitment to the reduction of underage drinking and its consequences. This commitment is evident in the fact that all states and the District of Columbia completed the 90-question survey; reported numerous program activities; and, in many cases, provided substantial detail about those activities. Some of the variability found in the data may be due as much to data unavailability as to whether the activities were actually conducted. For example, only a limited number of states collect data on local enforcement efforts. Given that much of the enforcement of laws pertaining to furnishing minors and minors in possession occurs at the local level, it is likely that the enforcement statistics reported here actually underestimate the total amount of underage drinking enforcement occurring in the states. Regular and complete collection of both state and local data is critical to building an accurate picture of the national effort to prevent underage drinking.

Data collection and reporting vary greatly from year to year among the states, so it is not possible to compare all states over these 5 years. Fewer than half of the states provided information in all 5 years for eight of the enforcement data categories selected for comparison in the Cross-State Report. Therefore, caution should be used in interpreting these data. Only 24 percent of the states provided minors in possession data, and 59 percent provided state compliance check data, for all 5 years. Eighty-three percent of the states that reported data for all 5 years reported a smaller number of minor in possession arrests in 2015 compared with 2011, and 60 percent of the states reported an increased number of compliance checks between 2011 and 2015. Only 12 percent of the states reported on local compliance checks in all 5 years. In most penalty categories, larger percentages of the states reported reduced use of these penalties between 2011 and 2015 than reported increased use.

Enforcement

A significant component of the STOP Act mission is to collect data and report on each state’s performance in enforcing policies designed to prevent or reduce underage drinking. This year’s report provides in-depth background on enforcement to provide context for these data.

Discussions are provided of:

- The mechanisms by which enforcement supports policy effectiveness
- Factors that affect the impact of enforcement on policy compliance
- How enforcement is measured
- Empirical studies of enforcement practices

Research suggests that enforcement can result in greater compliance and better public health outcomes (Preusser, Ulmer, & Preusser, 1992). However, enforcement of underage drinking policies is often uneven, inconsistent, and sporadic, and outcomes generally diminish over time (Ferguson, Fields, & Voas, 2000; Forster et al., 1994; Montgomery, Foley, & Wolfson, 2006; Mosher, Toomey, Good, Harwood, & Wagenaar, 2002; Preusser et al., 1992; Voas, Lange, & Tippetts, 1998; Wagenaar & Wolfson, 1995; Wolfson, Wagenaar, & Hornseth, 1995). One study found that a compliance check intervention resulted in an immediate 17 percent reduction in underage sales (Wagenaar, Toomey, & Erickson, 2005). Over a 3-month period, these effects decayed completely for off-sale premises and by half for on-sale premises.

Three studies have shown that when community-based interventions to prevent underage drinking or other alcohol-related harms include a media campaign, this may increase the public's perception of the likelihood that the law will be enforced and violators sanctioned (Grube, 1997; Hingson et al., 1996; Holder et al., 2000; see also McCartt, Hellinga, & Wells [2009] and Wagenaar et al. [2000]). This increased awareness appears to lead to increased compliance with alcohol-related laws.

A key determinant of enforcement effectiveness is the resources devoted to enforcement actions. A study that examined the relationship among underage alcohol policies in 50 California cities, enforcement of these policies, and adolescent alcohol use identified an inverse relationship between the funding of enforcement of underage drinking laws and frequency of past-year underage alcohol use (Paschall et al., 2014). Similarly, a study of binge drinking among college students found a significant association between binge-drinking rates and state ratings for resources devoted to enforcement (Nelson, Naimi, Brewer, & Wechsler, 2005).

Conclusion

Data in this report demonstrate that meaningful progress has been made in reducing underage drinking prevalence. The factors contributing to this progress are varied and complex, with one clear factor being increased attention to this issue at all levels of society. Federal initiatives, together with efforts by the national media, state and local governments, and interested private organizations, have raised underage drinking to a prominent place on the national public health agenda, created a policy climate in which significant legislation has been passed by states and localities, raised awareness of the importance of aggressive enforcement, and stimulated coordinated citizen action. These changes are mutually reinforcing and have provided a framework for a sustained national commitment to reducing underage drinking.

Nevertheless, the rates of underage drinking are still unacceptably high, resulting in preventable and tragic health and safety consequences for the nation's youth, families, communities, and society as a whole. Therefore, ICCPUD remains committed to an ongoing, comprehensive approach to preventing and reducing underage drinking.

CHAPTER 1

Preventing and Reducing Underage

Drinking: An Overview

Introduction

Alcohol remains the most widely used substance of abuse among America's youth. According to the Substance Abuse and Mental Health Services Administration (SAMHSA), Center for Behavioral Health Statistics and Quality (CBHSQ), through a special analysis based on 2014 data, a higher percentage of youth who are 12 to 20 years old used alcohol in the past month (22.8 percent) than tobacco (15.3 percent) or illicit drugs (14.0 percent) (CBHSQ, 2015c). The extent of alcohol consumption by those younger than the legal drinking age of 21 constitutes a serious threat to both public health and public safety. In response, governments at the federal, state, and local levels have sought to develop effective approaches to reduce underage drinking and its associated costs and consequences. The actions of government alone, however, cannot solve this serious problem. Only a broad, committed collaboration among governments, parents of underage youth, other adults, caregivers (people who provide services to youth, such as teachers, coaches, health and mental health care providers, human services workers, and juvenile justice workers), prevention professionals, youth, and private-sector organizations and institutions can reach an effective solution to this national challenge.

Underage drinking is a complex and challenging social problem that has defied an easy solution. Although selling alcohol to youth under age 21 is illegal in all 50 states and the District of Columbia, some states make it legal to provide (but not sell) alcohol to youth under special circumstances, such as at religious ceremonies, in private residences, or in the presence of a parent or guardian. Despite broad restrictions, underage youth find it relatively easy to acquire alcohol, often from adults. Alcohol use often begins at a young age; the average age of first use for youths who initiated before age 21 is about 16.2 years old, and 10 percent of 9- to 10-year-olds have already started drinking (Donovan et al., 2004; CBHSQ, 2015a). Alcohol use increases with each additional year of age, and by age 20, more than half (51.7 percent) of youths report having had one or more drinks in the past 30 days (CBHSQ, 2015b). Underage drinkers are much more likely than adults to drink heavily and recklessly. Studies consistently indicate that about 78 percent of college students—of whom 48 percent are underage—drink alcohol, and about 35 percent of all college students engage in binge drinking (i.e., when men consume five or more drinks in a row and women consume four or more drinks in a row; National Institute on Alcohol Abuse and Alcoholism [NIAAA], 2002).¹⁰

Scientific research over the past decade has broadened our understanding of the ways and extent to which underage alcohol use threatens the immediate and long-term development, well-being, and future mental development of young people. Alcohol is a leading contributor to fatal injuries and a major cause of death for people younger than 21. The potential consequences of underage drinking include alcohol-related traffic crashes and fatalities, other unintentional injuries (such as burns and drowning), increased risk of suicide and homicide, physical and sexual assault, academic and social problems, inappropriate and risky sexual activity, and adverse effects on the developing brain (NIAAA, 2005a). The consequences of underage alcohol use extend beyond underage drinkers: society also pays. For example, in 2014, 51 percent of all deaths in traffic crashes involving a 15- to 20-year-old driver with a blood alcohol concentration of 0.08 or higher

¹⁰ Binge drinking is broadly defined as consumption of a large amount of alcohol over a relatively short period of time. No common terminology has been established to describe different drinking patterns. Specific definitions of binge drinking differ across various studies and surveys (e.g., see Courtney & Polich, 2009). In SAMHSA's National Survey on Drug Use and Health (NSDUH) data, a primary data source for this report, "binge drinking" is defined as five or more drinks on one occasion on at least 1 day in the past 30 days. Appendix B discusses this issue in more detail.

were people other than the drinking driver (e.g., passengers, occupants of other vehicles.¹¹ In 2006, almost \$27 billion (about 12 percent) of the total \$223.5 billion economic costs of excessive alcohol consumption were related to underage drinking (Bouchery, Harwood, Sacks, Simon, & Brewer, 2011).

As noted below, the problems associated with college drinking, in addition to traffic crashes and injury-related deaths, include sexual assault or date rape; violent crime on college campuses; and academic consequences, including missing class, falling behind, doing poorly on exams or papers, and receiving lower grades overall. Campus alcohol use also affects the academic performance of nondrinkers by contributing to a noisy and disruptive environment that is not conducive to studying.

The National Effort to Reduce Underage Drinking

Underage drinking has been recognized as a public health problem for many years. Over the past 20 years, a comprehensive national effort to address underage drinking has been initiated and subsequently intensified, as the multidimensional consequences associated with underage drinking have become more apparent. Substantial progress has been made through strengthening federal policy, implementing a national media campaign, increasing and supporting the involvement of the community through grants and other mechanisms, and collaborating with private agencies, such as the Robert Wood Johnson Foundation.

After Prohibition ended in 1933, states assumed authority for alcohol control, including the enactment of laws restricting youth access to alcohol. The majority of states designated 21 as the minimum legal drinking age (MLDA) for the “purchase or public possession” of alcohol. But beyond setting a minimum drinking age, the nation’s alcohol problems were largely ignored through the 1960s (NIAAA, 2005b). However, on December 31, 1970, Congress established NIAAA to “provide leadership in the national effort to reduce alcohol problems through research.”

Between 1970 and 1976, 29 states lowered their MLDA to 18, 19, or 20 years old, in part because the voting age had been lowered (Wagenaar, 1981). However, studies conducted in the 1970s found that motor vehicle crashes increased significantly among teens, resulting in more traffic injuries and fatalities (Cucchiario, Ferreira, & Sicherman, 1974; Douglass, Filkins, & Clark, 1974; Wagenaar, 1983, 1993; Whitehead, 1977; Whitehead et al., 1975; Williams, Rich, Zador, & Robertson, 1974). As a result, 24 of the 29 states raised their MLDA between 1976 and 1984, although to different minimum ages. Some placed restrictions on the types of alcohol that could be consumed by people younger than 21. Only 22 states set an MLDA of 21. In response, the Federal Government enacted the National Minimum Drinking Age Act of 1984, which mandated reduced federal highway funds to states that did not raise their MLDA to 21. By 1987, all remaining states had raised their MLDA to 21 in response to the federal legislation.

In 1992, Congress created SAMHSA to “focus attention, programs, and funding on improving the lives of people with or at risk for mental and substance abuse disorders.” In 1998, Congress mandated that the Department of Justice, through the Office of Justice Programs’ Office of

¹¹ Special data analysis provided by the National Center for Health and Statistics, National Highway Traffic Safety Administration (NHTSA) for this report (L. Daniels, personal communication, December 22, 2015).

Juvenile Justice and Delinquency Prevention (OJJDP), establish and implement the Enforcing the Underage Drinking Laws (EUDL) program, a state- and community-based initiative.

As national concern about underage drinking grew, in part because of advances in science that increasingly revealed adverse consequences, Congress appropriated funds for a study by the National Academies to examine the relevant literature to “review existing Federal, state, and nongovernmental programs, including media-based programs, designed to change the attitudes and health behaviors of youth.” The National Research Council (NRC) and the Institute of Medicine (IOM) issued the report *Reducing Underage Drinking: A Collective Responsibility* in 2004 (NRC & IOM, 2004). Since then, a number of programs aimed at preventing and reducing underage drinking have been initiated at the federal, state, and local levels. Chapter 3 describes major programs at the federal level; Chapter 4 describes initiatives at the state level.

The conference report accompanying H.R. 2673, the “Consolidated Appropriations Act of 2004,” directed the Secretary of the U.S. Department of Health and Human Services (HHS) to establish the Interagency Coordinating Committee on the Prevention of Underage Drinking (ICCPUD) and to issue an annual report summarizing all federal agency activities related to the problem. The HHS Secretary directed the SAMHSA Administrator to convene ICCPUD in 2004. ICCPUD includes representatives from HHS’s Office of the Surgeon General (OSG), Centers for Disease Control and Prevention (CDC), Administration for Children and Families, Office of the Assistant Secretary for Planning and Evaluation, and National Institutes of Health, including NIAAA and the National Institute on Drug Abuse; U.S. Department of Justice, OJJDP; Office of Safe and Healthy Students; Department of Transportation, National Highway Traffic Safety Administration; White House Office of National Drug Control Policy; Department of the Treasury; U.S. Department of Defense; and Federal Trade Commission (FTC).

ICCPUD coordinates federal efforts to reduce underage drinking and served as a resource for the development of *A Comprehensive Plan for Preventing and Reducing Underage Drinking*, for which Congress called in 2004. ICCPUD received input from experts and organizations representing a wide range of parties, including public health advocacy groups, the alcohol industry, ICCPUD member agencies, and the U.S. Congress. The latest research available at the time was analyzed and incorporated into the plan, which HHS reported to Congress in January 2006. It included three goals, a series of federal action steps, and three measurable performance targets for evaluating national progress in preventing and reducing underage drinking.

In December 2006, Congress passed the Sober Truth on Preventing (STOP) Underage Drinking Act, Public Law 109-422, popularly known as the STOP Act. The Act states, “A multi-faceted effort is needed to more successfully address the problem of underage drinking in the United States. A coordinated approach to prevention, intervention, treatment, enforcement, and research is key to making progress. This Act recognizes the need for a focused national effort, and addresses particulars of the Federal portion of that effort, as well as Federal support for state activities.” The STOP Act requires the HHS Secretary, in collaboration with other federal officials enumerated in the Act, to “formally establish and enhance the efforts of the interagency coordinating committee (ICCPUD) that began operating in 2004.”

The STOP Act also calls for three annual reports:

1. A report to Congress from the HHS Secretary that includes:
 - A description of all programs and policies of federal agencies designed to prevent and

- reduce underage drinking.
 - The extent of progress in preventing and reducing underage drinking nationally.
 - Information related to patterns and consequences of underage drinking.
 - Measures of the exposure of underage populations to messages regarding alcohol in advertising and the entertainment media, as reported by the FTC.
 - Surveillance data, including information about the onset and prevalence of underage drinking, consumption patterns, and the means of underage access, and certain other data included in the report.
 - Such other information regarding underage drinking as the Secretary determines to be appropriate.
2. A report on state underage drinking-prevention and enforcement activities that includes:
 - A set of measures to be used in preparing the report on best practices.
 - Categories of underage-drinking-prevention policies, enforcement practices, and programs (see Chapter 4 for a list of specific categories).
 - Additional information on state efforts or programs not specifically included in the Act.
 3. A report on the national media campaign mandated by the STOP Act, including the production, broadcasting and evaluation of the campaign, and the effectiveness of the campaign.

Chapters 1 through 3 of this document constitute the report to Congress on underage drinking; Chapter 4 and the individual state reports at the end of the document constitute the State Report. Chapter 5 constitutes the Report to Congress on the National Media Campaign to prevent underage drinking. Together, these reports fulfill the STOP Act mandate and are designed to build on the efforts that precede it. For example, the State Report provides data that provide a substantial resource for state and local coalitions and policymakers. It reports on comprehensive assessments of state underage drinking laws, policies, and programs in individual state reports. This is critical information for states as a foundation for enhancing their underage drinking prevention efforts.

In fall 2005, ICCPUD sponsored a national meeting of the states to prevent and reduce underage alcohol use. At the meeting, the Surgeon General announced his intent to issue a *Call to Action* on the prevention and reduction of underage drinking. Subsequently, OSG worked closely with SAMHSA and NIAAA to develop the report. In 2007, the *Surgeon General's Call to Action to Prevent and Reduce Underage Drinking*, the first on that subject, was issued (Office of the Surgeon General, 2007). Based on the latest and most authoritative research, particularly on underage drinking as a developmental issue, the *SG's Call to Action* outlines a comprehensive national effort to prevent and reduce underage alcohol consumption. It includes six goals and describes the rationale, challenges, and strategies of each goal, including specific actions for parents and other caregivers, communities, schools, colleges and universities, the criminal and juvenile justice systems, law enforcement, the alcohol industry, and the entertainment and media industries.

ICCPUD agencies collaborated to provide information and data for the *SG's Call to Action*. The 2006 Federal Comprehensive Plan set forth three general goals:

1. Strengthening a national commitment to address underage drinking

2. Reducing demand for, availability of, and access to alcohol by people younger than 21 years
3. Using research, evaluation, and scientific surveillance to improve the effectiveness of policies and programs designed to prevent and reduce underage drinking

The six specific goals and associated strategies in the *SG's Call to Action* for the nation build on these three general goals.

As the nation's leading medical spokesperson, the Surgeon General is in a unique position to call attention to national health problems. By issuing the *SG's Call to Action*, the Surgeon General sought to raise public awareness and foster changes in American society—goals similar to those described to Congress in the Comprehensive Plan. The *SG's Call to Action* has incorporated—and, therefore, superseded—the Comprehensive Plan.

As with the Comprehensive Plan, ICCPUD agencies are implementing a variety of federal programs to support the *SG's Call to Action's* goals. For example, SAMHSA and NIAAA worked with OSG to support rollouts of the *SG's Call to Action* in 13 states; SAMHSA collaborated with ICCPUD to support more than 7,000 town hall meetings, using the *SG's Call to Action's Guide to Action for Communities* (Office of the Surgeon General, 2007) as a primary resource; and SAMHSA asked community coalitions funded under the STOP Act to implement strategies contained in the *SG's Call to Action*. These and other programs are described in more detail in Chapter 3.

Principles and Goals of the *SG's Call to Action*

The national effort to prevent and reduce underage drinking outlined in the *SG's Call to Action* is based on the following principles from which its goals were derived:

- *Underage alcohol use is a phenomenon directly related to human development.* Because of the nature of adolescence, alcohol poses a powerful attraction to adolescents and can have unpredictable outcomes that put every child at risk.
- *Factors that protect adolescents from alcohol use, as well as put them at greater risk, change during the course of adolescence.* Individual characteristics, developmental issues, and shifting factors in adolescents' environments all play a role.
- *Protecting adolescents from alcohol use requires a comprehensive, developmentally based approach* that is initiated prior to puberty and continues throughout adolescence with support from families, schools, colleges, communities, the healthcare system, and government.
- *Prevention and reduction of underage drinking is the collective responsibility of the nation.* "Scaffolding the nation's youth"¹² is the responsibility of all people in all of the social systems with which adolescents interact: family, schools, communities, healthcare systems, religious institutions, criminal and juvenile justice systems, all levels of government, and society as a whole. Each social system has a potential effect on the adolescent, and the active involvement of all systems is necessary to fully maximize existing resources to prevent

¹² "Scaffolding the nation's youth" is the Surgeon General's term for a structured process through which parents and society facilitate positive adolescent development and minimize risk by protecting against adolescents' natural risk-taking, sensation-seeking tendencies. It is a fitting metaphor for the support and protection that parents and society provide children and youth to help them function in a more mature way until they are ready to function without that extra support. This external support system—or scaffold—around the adolescent promotes healthy development and protects against alcohol use and other risky behaviors by facilitating good decisionmaking, mitigating risk factors, and buffering the potentially destructive outside influences that draw adolescents to use alcohol.

underage drinking and its related problems. When all of the social systems work together toward the common goal of preventing and reducing underage drinking, they create a powerful synergy that is critical to realizing the vision.

- *Underage alcohol use is not inevitable, and parents and society are not helpless to prevent it.* The *SG's Call to Action* proposes a vision for the future wherein each child is free to develop to his or her potential without the impairment of alcohol's negative consequences. The fulfillment of that vision rests on the achievement of six goals that the *SG's Call to Action* sets for the nation:
 - **Goal 1:** Foster changes in American society that facilitate healthy adolescent development and help prevent and reduce underage drinking.
 - **Goal 2:** Engage parents and other caregivers, schools, communities, all levels of government, all social systems that interface with youth, and youth themselves in a coordinated national effort to prevent and reduce underage drinking and its consequences.
 - **Goal 3:** Promote an understanding of underage alcohol consumption in the context of human development and maturation that takes into account individual adolescent characteristics as well as ethnic, cultural, and gender differences.
 - **Goal 4:** Conduct additional research on adolescent alcohol use and its relationship to development.
 - **Goal 5:** Work to improve public health surveillance on underage drinking and on population-based risk factors for this behavior.
 - **Goal 6:** Work to ensure that laws and policies at all levels are consistent with the national goal of preventing and reducing underage alcohol consumption.

The strategies for implementing these goals for parents and other caregivers, communities, schools, colleges and universities, businesses, the healthcare system, juvenile justice and law enforcement, and the alcohol and entertainment industries are included in the full *SG's Call to Action*, at <http://www.surgeongeneral.gov/topics/underagedrinking/calltoaction.pdf>.

Underage Drinking Among College Students

In its landmark 2002 report, *A Call to Action: Changing the Culture of Drinking at U.S. Colleges* (henceforth referred to as the *NIAAA Call to Action*), NIAAA noted the following:

The tradition of drinking has developed into a kind of culture—beliefs and customs—entrenched in every level of college students' environments. Customs handed down through generations of college drinkers reinforce students' expectation that alcohol is a necessary ingredient for social success. These beliefs and the expectations they engender exert a powerful influence over students' behavior toward alcohol.¹³

Campus drinking culture persists 13 years later (Johnston, O'Malley, Bachman, Schulenberg, & Miech, 2015a).

Extent of the Problem

Although colleges and universities vary widely in their student binge-drinking rates, overall rates of college student drinking and binge drinking exceed those of same-age peers who do not attend college (Johnston, O'Malley, Bachman, et al., 2015a). Of college students, 79.4 percent drink, and 35.4 percent report drinking five or more drinks on an occasion in the past 2 weeks. Binge-

¹³ For many students, alcohol use is not a tradition. Students who drink the least attend 2-year institutions, religious schools, commuter schools, and historically Black colleges and universities (Meilman et al., 1994, 1995, 1999; Presley et al., 1996a, b).

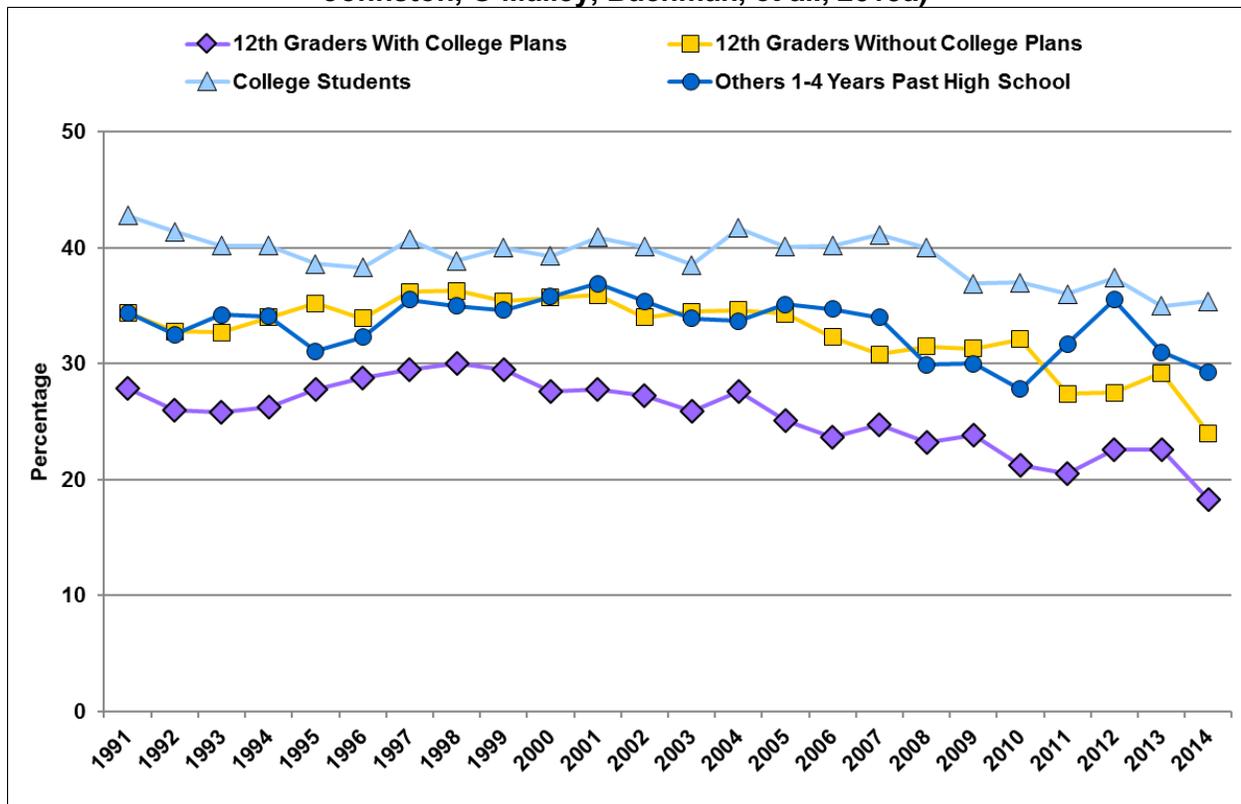
drinking rates among college students have shown little decline since 1993 (Johnston, O’Malley, Bachman, et al., 2015a). Although college-bound 12th graders are consistently less likely than non-college-bound counterparts to report heavy drinking, college students report higher rates of binge drinking than college-age youth who are not attending college (Exhibit 1.1; Johnston, O’Malley, Bachman, et al., 2015a).

This finding suggests that college environments influence drinking practices (Hingson, Heeren, Levenson, Jamanka, & Voas, 2002; Kuo, Wechsler, Greenberg, & Lee, 2003; see also LaBrie, Grant, & Hummer, 2011). Underage college students drink about 48 percent of the alcohol consumed by students at 4-year colleges (Wechsler, Lee, Nelson, & Kuo, 2002). Some college students far exceed the binge criterion of five drinks per occasion (Wechsler, Molnar, Davenport, & Baer, 1999; Wechsler & Nelson, 2008).

Adverse Consequences of College Drinking

The consequences of underage drinking in college are widespread and serious (White & Hingson, 2014). A study of roughly 5,500 college women on two campuses revealed that nearly 20 percent experienced some form of sexual assault while at college (Krebs, Lindquist, Warner, Fisher, & Martin, 2009). Estimates are that more than 97,000 students were victims of alcohol-related sexual assault. However, the incidence of college sexual assaults is difficult to measure and different studies report different rates (DeMatteo & Galloway, 2015).

Exhibit 1.1: Prevalence of Binge Drinking in the Past 2 Weeks by 12th Graders With and Without College Plans, College Students, and Others 1 to 4 Years Past High School: 1991–2014 (Miech, Johnston, O’Malley, Bachman, & Schulenberg, 2015; Johnston, O’Malley, Bachman, et al., 2015a)

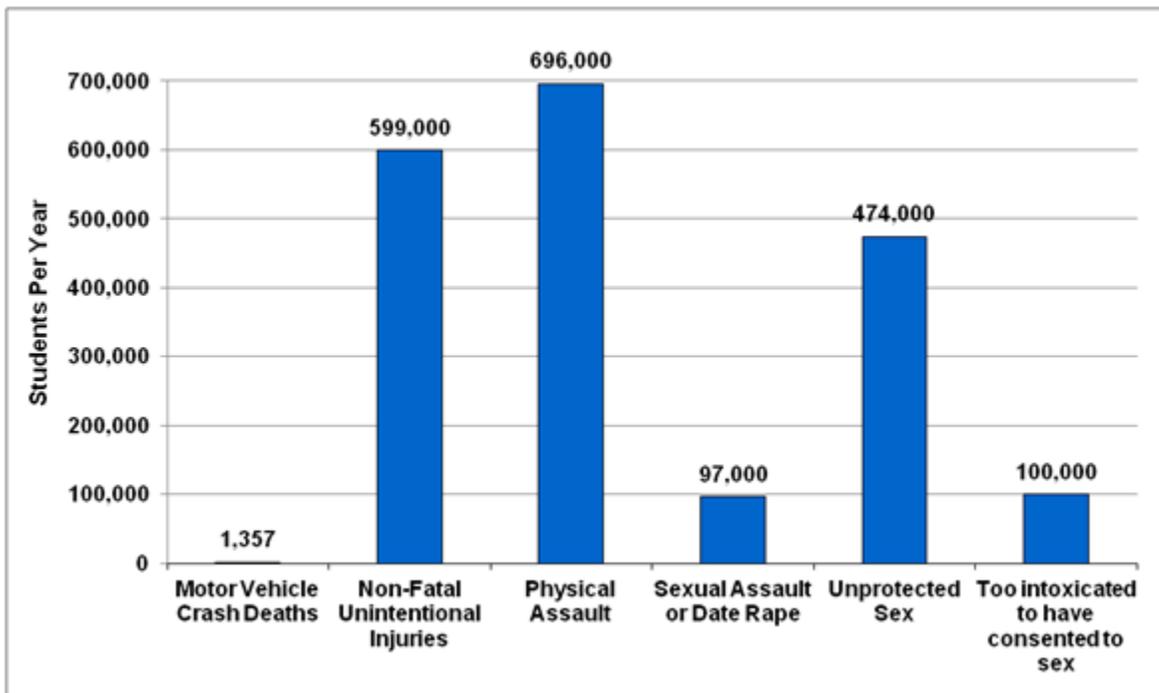


A review by Abbey (2011) of three relevant studies concluded that approximately half of all reported and unreported sexual assaults involve alcohol consumption by the perpetrator, victim, or both (Abbey, Zawacki, Buck, Clinton, & McAuslan, 2004; Seto & Barbaree, 1995; Testa, 2002). Abbey and colleagues further reported that typically, if the victim consumes alcohol, the perpetrator does as well. Estimates of perpetrators' intoxication during the incident ranged from 30 percent to 75 percent.

Many other adverse social consequences are linked with college alcohol consumption. Hingson, Zha, and Weitzman (2009) estimated that annually, more than 696,000 college students were assaulted or hit by another student who had been drinking; another 599,000 were unintentionally injured while under the influence of alcohol. In addition, they estimated that roughly 474,000 students ages 18 to 24 have had unprotected sex while under the influence of alcohol, and each year more than 100,000 students ages 18 to 24 report having had sexual intercourse when so intoxicated they were unable to consent (Hingson et al., 2009; Exhibit 1.2).

About 25 percent of college students report academic consequences as a result of their drinking, including missing class, falling behind, doing poorly on exams or papers, and receiving lower grades overall (White & Hingson, 2013). About 11 percent of college student drinkers report having damaged property while under the influence of alcohol (Hingson, Heeren, Winter, & Wechsler, 2005).

Exhibit 1.2: Prevalence of Alcohol-Related Morbidity and Mortality Among College Students Ages 18–24 (calculated using methods of Hingson et al., 2005, 2009)



College Drinking Prevention Best Practices

For many years, NIAAA has invested substantial resources in supporting studies on individual and environmental interventions to address college drinking. As a result, knowledge about best practices continues to grow.

NIAAA's CollegeAIM

In 2015, NIAAA launched a major new resource, CollegeAIM (the College Alcohol Intervention Matrix) to help college officials address harmful and underage student drinking. The centerpiece of CollegeAIM is a comprehensive, easy-to-use, matrix-based tool that helps inform college staff about potential alcohol interventions and guides them to evidence-based interventions. Although college officials have numerous options for alcohol interventions, these are not all equally effective. CollegeAIM is designed help schools make informed choices among available strategies, thereby increasing the schools' chances for success and helping to improve student health and safety.

CollegeAIM compares and rates nearly 60 types of interventions on effectiveness, anticipated costs and barriers to implementation, public health research, and research amount and quality. The matrix interventions are classified as either environmental-level strategies or individual-level strategies (Exhibits 1.3 and 1.4). Environmental-level strategies target the campus community and student population as a whole. Individual-level strategies focus on individual students, including those in higher risk groups such as first-year students, student-athletes, and members of Greek organizations. See <http://www.stopalcoholabuse.gov> for more detail about the strategies; go to Report to Congress, Supplemental Information, [Individual-Level Strategies and Environmental-Level Strategies Summary Tables].

With CollegeAIM, school officials can learn how their current strategies compare with other alternatives; discover possible new strategies to consider; and select a combination of approaches that best meets the particular needs of their students and campuses. Further information about CollegeAIM, including a detailed FAQ section and a strategy planning worksheet for college prevention staff, is available at <http://www.collegedrinkingprevention.gov/collegeaim>.

Mixing Alcoholic Beverages with Other Drugs: The Case of Caffeinated Alcoholic Beverages

People have for millennia experimented with combining alcohol with other mind-altering substances to intensify alcohol's intoxicating effects. A recent example of this phenomenon popular with young people involves combining alcohol with caffeine. This combination is not new—for example, Irish coffee, a traditional bar drink, combines caffeinated coffee and whisky. However, the popularity of such combinations among young people has increased rapidly in the past 10 years with the increase in availability of energy drinks (which often contain large quantities of caffeine) and the introduction of premixed caffeinated alcoholic beverages (CABs).

Research suggests that mixing alcohol and caffeine poses public health and safety risks, because the caffeine can mask the depressant effects of alcohol without changing the alcohol's intoxicating properties (<http://www.cdc.gov/alcohol/fact-sheets/cab.htm>). This could lead some to believe they are more capable of operating a vehicle, and presents other risks such as encouraging binge drinking, particularly among young drinkers.

Exhibit 1.3: NIAAA College Alcohol Intervention Matrix, Individual-Level Strategies (Source: NIAAA)

INDIVIDUAL-LEVEL STRATEGIES:

Estimated Relative Effectiveness, Costs, and Barriers; Public Health Reach; Research Amount; and Primary Modality¹



COSTS: Combined program and staff costs for adoption/implementation and maintenance				
		Lower costs \$	Mid-range costs \$\$	Higher costs \$\$\$
EFFECTIVENESS: Success in achieving targeted outcomes	Higher effectiveness ★★★	IND-3 Normative re-education: Electronic/mailed personalized normative feedback (PNF)—Generic/other ² [#], B, ●●●, online/offsite IND-10 Skills training, alcohol focus: Self-monitoring/self-assessment <i>alone</i> ³ [#], F, ●●, online/offsite IND-21 Personalized feedback intervention (PFI): eCHECKUP TO GO (formerly, e-CHUG) ² [#], B, ●●●, online]	IND-9 Skills training, alcohol focus: Goal/intention-setting <i>alone</i> ² [#], F, ●●, IPI IND-12 Skills training, alcohol plus general life skills: Alcohol Skills Training Program (ASTP) ² [#], F, ●●●, IPG IND-16 Brief motivational intervention (BMI): In-person—Individual (e.g., BASICS) [#], F, ●●●●, IPI IND-22 Personalized feedback intervention (PFI): Generic/other ² [#], B, ●●●●, online]	IND-17 Multi-component education-focused program (MCEFP): AlcoholEdu [®] for College ² [#], B, ●●, online] Interventions Delivered by Health Care Professionals Strategies in which health care professionals identify and help students whose drinking patterns put them at risk for harm, or who are already experiencing alcohol-related problems: IND-23 Screening and behavioral treatments IND-24 Medications for alcohol use disorder These approaches can reduce harmful drinking, according to studies conducted mainly in general adult populations (ages 18–65). <i>The differences in research populations, along with wide variations in costs and barriers across campuses, precluded ratings relative to other strategies. See page 18 for more information.</i>
	Moderate effectiveness ★★		IND-8 Skills training, alcohol focus: Expectancy challenge interventions (ECI)—Experiential [#], F, ●●●, IPG IND-13 Skills training, alcohol plus general life skills—Parent-based alcohol communication training [#], F, ●●, offsite IND-14 Skills training, alcohol plus general life skills or general life skills only: Generic/other ² [#], F, ●●●●, IPG IND-15 Brief motivational intervention (BMI): In-person—Group [#], F, ●●, IPG]	Legend Effectiveness rating, based on percentage of studies reporting any positive effect: ●●● = 75% or more ●● = 50% to 74% ● = 25% to 49% X = Less than 25% Barriers: ### = Higher ## = Moderate # = Lower Public health reach: B = Broad F = Focused Research amount: ●●●● = 11+ studies ●●● = 7 to 10 studies ●● = 4 to 6 studies ● = 3 or fewer studies Primary modality: IPI = In-person individual IPG = In-person group Online Offsite
	Lower effectiveness ★	IND-2 Normative re-education: Electronic/mailed personalized normative feedback (PNF) Event-specific prevention (21st birthday cards) [#], B, ●●, online/offsite]	IND-4 Normative re-education: In-person norms clarification <i>alone</i> ³ [#], F, ●●, IPG]	
	Not effective X	IND-7 Skills training, alcohol focus: Expectancy challenge <i>alone</i> ³ [#], F, ●●, IPG]	IND-1 Information/knowledge/education <i>alone</i> ³ [#], B, ●●●●, IPG] IND-5 Values clarification <i>alone</i> ³ [#], F, ●●, IPG]	
	Too few studies to rate effectiveness ?	IND-11 Skills training, alcohol plus general life skills: Alcohol 101 Plus™ ² [#], B, ●, online] IND-19 Personalized feedback intervention (PFI): CheckYourDrinking (beta 1.0 version) ² [#], B, ●, online] IND-20 Personalized feedback intervention (PFI): College Drinker's Check-up ² [#], B, ●, online]	IND-6 Skills training, alcohol focus: Blood alcohol concentration feedback <i>alone</i> ³ [#], F, ●, IPI IND-18 Multi-component education-focused programs (MCEFP): Miscellaneous ² [#], B, ●, online]	

See brief descriptions and additional ratings for each individual-level strategy on the summary table beginning on page 13.

¹ **Effectiveness** ratings are based on the percentage of studies reporting any positive outcomes (see legend). Strategies with three or fewer studies were not rated for effectiveness due to the limited data on which to base a conclusion. **Cost** ratings are based on the relative program and staff costs for adoption, implementation, and maintenance of a strategy. Actual costs will vary by institution, depending on size, existing programs, and other campus and community factors. **Barriers** to implementing a strategy include cost and opposition, among other factors. **Public health reach** refers to the number of students that a strategy affects. Strategies with a broad reach affect all students or a large group of students (e.g., all underage students); strategies with a focused reach affect individuals or small groups of students (e.g., sanctioned students). **Research amount** refers to the number of randomized controlled trials (RCT) of a strategy (see legend).

² Strategies are listed by brand name (e.g., CheckYourDrinking) if they were evaluated by at least two RCTs; strategies labeled generic/other have similar components and were not identified by name in the research or were evaluated by only one RCT; strategies labeled miscellaneous have the same approach but very different components.

³ Although this approach is a component of larger, effective programs such as BASICS and ASTP, it is evaluated here as a stand-alone intervention.

In 2007, these health and safety risks prompted members of the National Association of Attorneys General / Youth Access to Alcohol Committee to initiate investigations and negotiations with the Anheuser-Busch and MillerCoors Brewing Companies. In 2008, those companies agreed to remove caffeine and other stimulants from their products. In 2009, the U.S. Food and Drug Administration (FDA) initiated an investigation into the marketing and distribution of other CABs. In November 2010, three federal agencies took coordinated action to address these concerns, issuing warning letters to four manufacturers of caffeinated beverages:

- The FDA letters advised that, as used in the products at issue, caffeine was an “unsafe food additive,” rendering the products adulterated under the FDA Act; it warned that further action was possible.
- The Federal Trade Commission’s letters advised that the marketing and sale of caffeinated alcohol could constitute an unfair or deceptive act in violation of the Federal Trade Commission Act; it urged the companies to take “swift and appropriate steps to protect consumers.”
- The Alcohol and Tobacco Tax and Trade Bureau letters warned that adulterated caffeinated malt beverages were mislabeled under the Federal Alcohol Administration Act.

Exhibit 1.4: NIAAA College Alcohol Intervention Matrix, Environmental-Level Strategies (Source: NIAAA)

ENVIRONMENTAL-LEVEL STRATEGIES:

Estimated Relative Effectiveness, Costs, and Barriers; Public Health Reach; and Research Amount/Quality¹



COSTS: Combined program and staff costs for adoption/implementation and maintenance			
Lower costs \$		Mid-range costs \$\$	Higher costs \$\$\$
EFFECTIVENESS: Success in achieving targeted outcomes	Higher effectiveness ★★★	ENV-16 Restrict happy hours/price promotions [##, B, ●●●] ENV-21 Retain ban on Sunday sales (where applicable) [##, B, ●●●●] ENV-22 Retain age-21 drinking age [##, B, ●●●●]	ENV-11 Enforce age-21 drinking age (e.g., compliance checks) [##, B, ●●●●] ENV-23 Increase alcohol tax [##, B, ●●●●]
	Moderate effectiveness ★★	ENV-17 Retain or enact restrictions on hours of alcohol sales [##, B, ●●●●] ENV-34 Enact social host provision laws [##, B, ●●●]	ENV-3 Prohibit alcohol use/sales at campus sporting events [##, F, ●●●●] ENV-25 Enact dram shop liability laws: Sales to intoxicated [##, B, ●●●●] ENV-26 Enact dram shop liability laws: Sales to underage [##, B, ●●●] ENV-30 Limit number/density of alcohol establishments [##, B, ●●●●] ENV-35 Retain state-run alcohol retail stores (where applicable) [##, B, ●●●●]
	Lower effectiveness ★		ENV-1 Establish an alcohol-free campus [##, B, ●●●] ENV-7 Conduct campus-wide social norms campaign ² [##, B, ●●●●]
	Too few robust studies to rate effectiveness—or mixed results ?	ENV-4 Prohibit alcohol use/service at campus social events [##, B, 0] ENV-5 Establish amnesty policies ² [##, F, ●●●] ENV-8 Require Friday morning classes ² [##, B, ●●] ENV-9 Establish standards for alcohol service at campus social events [##, B, ●●●] ENV-10 Establish substance-free residence halls ² [##, F, ●●] ENV-13 Prohibit beer kegs [C = #, S/L = ##, B, ●●●] ENV-18 Establish minimum age requirements to serve/sell alcohol [##, B, ●●●●] ENV-19 Implement party patrols [##, B, ●●●] ENV-24 Increase cost of alcohol license [##, B, 0] ENV-27 Prohibit home delivery of alcohol [##, B, ●●] ENV-29 Enact noisy assembly laws [##, B, 0]	ENV-6 Implement bystander interventions ² [##, F, 0] ENV-12 Restrict alcohol sponsorship and advertising [##, B, ●●●] ENV-14 Implement beverage service training programs: Sales to intoxicated [C = #, S/L = ##, B, ●●●] ENV-15 Implement beverage service training programs: Sales to underage [C = #, S/L = ##, B, ●●●●] ENV-28 Enact keg registration laws [##, B, ●●●]
Legend Barriers: ## = Higher, # = Moderate, # = Lower, C = Barriers at college level, S/L = Barriers at the state/local level, Public health reach: B = Broad, F = Focused Research amount/quality: ●●●● = 5 or more longitudinal studies, ●●● = 5 or more cross-sectional studies or 1 to 4 longitudinal studies, ●● = 2 to 4 studies but no longitudinal studies, ● = 1 study that is not longitudinal, 0 = No studies			

See brief descriptions and additional ratings for each environmental-level strategy on the summary table beginning on page 19.
¹ Effectiveness ratings are based on estimated success in achieving targeted outcomes. Cost ratings are based on a consensus among research team members of the relative program and staff costs for adoption, implementation, and maintenance of a strategy. Actual costs will vary by institution, depending on size, existing programs, and other campus and community factors. Barriers to implementing a strategy include cost and opposition, among other factors. Public health reach refers to the number of students that a strategy affects. Strategies with a broad reach affect all students or a large group of students (e.g., all underage students); strategies with a focused reach affect individuals or small groups of students (e.g., sanctioned students). Research amount/quality refers to the number and design of studies (see legend).
² Strategy does not seek to reduce alcohol availability, one of the most effective ways to decrease alcohol use and its consequences.

The letters stated that further action, including seizure and injunction, was possible.¹⁴ In response, the four companies ceased using added caffeine in their products; by summer 2011, with few (if any) exceptions, malt-based CABs were no longer available in the United States.¹⁵ In parallel with the federal actions against CABs, numerous states enacted statutory or administrative bans on such beverages.

Young people continue to mix alcohol and energy drinks on their own, despite the Federal Government’s removal of CABs from the marketplace. An NIAAA research study assessed the extent of this practice and its public health and safety effects on college students (Patrick & Maggs, 2014). A sample of 508 students reported alcohol and energy drink use on 4,203

¹⁴ See <http://www.fda.gov/ForConsumers/ConsumerUpdates/ucm233987.htm#2>. The FDA investigation and warning letters involved companies that produce malt-based alcoholic beverages and did not include wine- and spirits-based products. The investigation did not address products that contain naturally brewed caffeine (e.g., coffee-based drinks).

¹⁵ For more references and details on health and safety risks associated with caffeinated alcoholic beverages and successful efforts to remove them from the marketplace, see the 2012 Report to Congress on the Prevention and Reduction of Underage Drinking (http://www.stopalcoholabuse.gov/media/ReportToCongress/2012/report_main/report_to_congress_2012.pdf), Appendix E.

days over seven semesters, starting in their freshman year. Of the sample, 30.5 percent reported combined use at least once, and respondents consumed energy drinks on 9.6 percent of the days when they reported drinking alcohol. Heavier drinking, longer times drinking, and increased negative effects occurred when alcohol was combined with energy drinks, compared with drinking occasions without energy drinks. The research suggests that continued attention to this issue is needed among policymakers and educators.

Federal and State Actions Regarding Powdered Alcohol

On March 10, 2015, the TTB, which approves alcohol labeling, issued label approvals for Palcohol, a powdered product. A container of Palcohol contains 1 ounce of powder, which, when mixed as directed with 200 milliliters of water, results in a beverage with 10 percent alcohol by volume. The company has approval to market five versions: vodka, rum, cosmopolitan, lemon drop, and powderita (margarita flavor). Public health professionals and state government officials raised concerns that, because powdered alcohol is easy to conceal and transport, it would appeal to underage drinkers (Naimi & Mosher, 2015). They also argued that the product raises safety issues: drinks made from powdered alcohol could intentionally or unintentionally be made much stronger than standard drinks and could be consumed in other ways that may prove harmful.¹⁶ Two recent studies suggest that underage drinkers would consume powdered alcohol if they had access to it (Stogner, Baldwin, Brown, & Chick, 2015; Vail-Smith, Chaney, Martin, & Chaney, 2016).

The states have authority to determine which alcohol products may be sold within their borders. The sale of powdered alcohol was already illegal in Alaska, dating back to 1995. As of November 2015, 26 other states had enacted a permanent or temporary ban on powdered alcohol. Alabama, Connecticut, Georgia, Hawaii, Illinois, Indiana, Kansas, Louisiana, Maine, Michigan, Nebraska, Nevada, New Jersey, New York, North Carolina, North Dakota, Ohio, Oregon, South Carolina, Tennessee, Utah, Vermont, Virginia, and Washington statutorily prohibit the sale of powdered alcohol. Maryland and Minnesota have enacted temporary 13-month statutory bans. Four states—Colorado, Delaware, Michigan, and New Mexico—have expanded the statutory definition of alcohol so that powdered alcohol can be regulated under their existing alcohol statutes. Bills have also been introduced in 11 state legislatures (Arizona, Florida, Iowa, Massachusetts, Missouri, New Mexico, Oklahoma, Pennsylvania, Rhode Island, Wisconsin, and Wyoming) and the District of Columbia to ban the sale of powdered alcohol, and in Kentucky to expand the statutory definition of alcohol to include powdered alcohol. Additionally, two control states—Massachusetts and Pennsylvania—will not sell powdered alcohol in their state stores. Visit <http://www.stopalcoholabuse.gov> for complete legal citations; go to Report to Congress, Supplemental Information, State Report Citations.

As of February 2016, powdered alcohol products were not available for purchase in the United States.

¹⁶ See <http://www.cbsnews.com/news/palcohol-powdered-alcohol-may-present-serious-health-risks>; <http://www.house.leg.state.mn.us/members/pressrelease.asp?pressid=8577&party=1&memid=10753>

Extent of Progress

The STOP Act requires the HHS Secretary to report to Congress on “the extent of progress in preventing and reducing underage drinking nationally.” An examination of trend data reported in federally sponsored surveys suggests that meaningful progress is being made in reducing the extent of underage drinking. It is generally inadvisable to draw conclusions based on changes from one year to the next because of natural fluctuations; examining trends over a multiyear period is much more informative. Exhibits 1.5, 1.6, and 1.7 provide estimates of past-year alcohol use from 2004 through 2014 based on NSDUH data.¹⁷ All age groups showed a statistically significant decline in both past-month alcohol use and binge alcohol use in 2014 compared with 2004.

As shown in the last columns in Exhibits 1.5 and 1.6, for most age groups the declines have been substantial. Not unexpectedly, changes among 18- to 20-year-olds were smaller but still statistically significant. The large number of 18- to 20-year-olds using alcohol also accounts for the smaller percentage change among 12- to 20-year-olds compared with 12- to 17-year-olds. As shown in Exhibit 1.7, there was a statistically significant increase in average age at first use over the same time period (SAMHSA, 2014b).

Exhibit 1.5: Past-Month Alcohol Use for 12- to 20-Year-Olds, 2004–2014

Age	2004	2005	2006	2007	2008	2009	2010	2011	2012	2013	2014	% Change 2004 to 2014
12-13	4.3%	4.2%	3.9%	3.5%*	3.4%*	3.5%*	3.2%*	2.5%*	2.2%*	2.1%*	2.1%*	-50.8%
14-15	16.4%	15.1%	15.6%	14.7%*	13.3%*	13.1%*	12.4%*	11.3%*	11.1%*	9.5%*	8.5%*	-47.8%
16-17	32.5%	30.1%*	29.8%*	29.2%*	26.3%*	26.5%*	24.6%*	25.3%*	24.8%*	22.7%*	23.3%*	-28.3%
18-20	51.1%	51.1%	51.6%	50.8%	48.6%*	49.5%	48.5%*	46.8%*	45.8%*	48.8%*	44.2%*	-13.6%
12-17	17.6%	16.5%*	16.7%*	16.0%*	14.7%*	14.8%*	13.6%*	13.3%*	12.9%*	11.6%*	11.5%*	-34.4%
12-20	28.7%	28.2%	28.4%	28.0%	26.5%*	27.2%*	26.2%*	25.1%*	24.3%*	22.7%*	22.8%*	-20.6%

*Difference between 2004 estimate and this estimate is statistically significant at the 0.05 level.

Exhibit 1.6: Past-Month Binge Alcohol Use for 12- to 20-Year-Olds, 2004–2014

Age	2004	2005	2006	2007	2008	2009	2010	2011	2012	2013	2014	% Change 2004 to 2014
12-13	2.0%	2.0%	1.5%	1.5%	1.5%	1.6%	1.0%*	1.1%*	0.9%*	0.8%*	0.8%*	-60.4%
14-15	9.1%	8.0%	9.0%	7.8%*	7.0%*	7.0%*	6.7%*	5.7%*	5.4%*	4.5%*	3.9%*	-57.2%
16-17	22.4%	19.7%*	20.1%*	19.5%*	17.2%*	17.1%*	15.3%*	15.0%*	15.0%*	13.1%*	13.1%*	-41.4%
18-20	36.8%	36.1%	36.2%	35.9%	33.9%*	34.9%	33.1%*	31.2%*	30.5%*	29.1%*	28.5%*	-22.4%
12-17	11.1%	9.9%*	10.3%	9.7%*	8.9%*	8.9%*	7.9%*	7.4%*	7.2%*	6.2%*	6.1%*	-45.1%
12-20	19.6%	18.8%	19.0%	18.7%	17.5%*	18.2%*	16.9%*	15.8%	15.3%*	14.2%*	13.8%*	-29.5%

*Difference between 2004 estimate and this estimate is statistically significant at the 0.05 level.

¹⁷ The 2006–2010 estimates are based on data files revised in March 2012.

**Exhibit 1.7: Average Age at First Use Among Past-Year Initiates of Alcohol Use
Who Initiated Before Age 21, 2004–2014**

Year	2004	2005	2006	2007	2008	2009	2010	2011	2012	2013	2014
Average Age at First Use	15.6	15.6	15.8*	15.8*	15.8*	15.9*	16.0*	15.9*	16.0*	16.2*	16.2*

*Difference between 2004 estimate and this estimate is statistically significant at the 0.05 level.

Data from the Monitoring the Future (MTF) survey and YRBS also suggest positive movement.¹⁸ This alignment within and across surveys, even without statistical significance across all three surveys, is a good sign. These data demonstrate that meaningful progress has been made in reducing underage drinking prevalence. The factors that have contributed to this progress are varied and complex; however, one clear factor has been increased attention to this issue at all levels of society. Federal initiatives have raised underage drinking to a prominent place on the national public health agenda, created a policy climate in which significant legislation has been passed by states and localities, raised awareness of the importance of aggressive enforcement, and stimulated coordinated citizen action. These changes are mutually reinforcing and have provided a framework for a sustained national commitment to reducing underage drinking.

Nevertheless, the rates of underage drinking are still unacceptably high, resulting in preventable and tragic health and safety consequences for the nation's youth, families, communities, and society as a whole. Therefore, ICCPUD remains committed to an ongoing, comprehensive approach to preventing and reducing underage drinking. This report, with its yearly updates to state reports and survey responses, is part of that sustained effort to reduce underage drinking in America.

¹⁸For comparability with the 2014 NSDUH data, the latest MTF data included in the report are also from 2014. The 2015 MTF data, which became available in December 2015, will be included in the next report.

CHAPTER 2

The Nature and Extent of Underage

Drinking in America

Introduction

Underage drinking and its associated problems have profound negative consequences not just for underage drinkers themselves, but also for their families, their communities, and society as a whole. Underage drinking contributes to a wide range of costly health and social problems, including motor vehicle crashes (the greatest single mortality risk for underage drinkers), suicide, interpersonal violence (e.g., homicides, assaults, rapes), unintentional injuries (such as burns, falls, and drowning), brain impairment, alcohol dependence, risky sexual activity, academic problems, and alcohol and drug poisoning. Alcohol is a factor related to approximately 4,300 deaths among underage youths in the United States every year, shortening their lives by an average of 60 years (Stahre et al., 2014).

Despite laws against underage drinking in all 50 states, the efforts of federal, state, and local governments spanning decades, and the dedicated work of many private groups and organizations, alcohol is the most widely consumed substance of abuse among America's youth, used more often than tobacco or marijuana. In spite of increasing public recognition of the devastating consequences of underage alcohol use and its personal, economic, and social costs, underage drinking remains a serious problem. In fact, for those under 21 years old, alcohol accounts for more deaths than all other illicit drugs combined.

Still, there is cause for optimism. As discussed in Chapters 3 and 4 of this report, states are increasingly adopting comprehensive policies and practices that can alter the individual and environmental factors that contribute to underage drinking and its consequences and can be expected to reduce alcohol-related deaths and disability and associated healthcare costs.

Federal Surveys Used in This Report

The Federal Government funds three major national surveys that collect data on underage drinking and its consequences: the annual National Survey on Drug Use and Health (NSDUH), formerly called the National Household Survey on Drug Abuse; the annual Monitoring the Future (MTF) survey (conducted pursuant to federal grants);¹⁹ and the biennial Youth Risk Behavior Survey (YRBS). Each makes a unique contribution to an understanding of the nature of alcohol use.

Four additional surveys used by the government to obtain data on underage drinkers ages 18 and older are the Behavioral Risk Factor Surveillance System, National Epidemiologic Survey on Alcohol and Related Conditions, National Health Interview Survey, and Survey of Health Related Behaviors Among Active Duty Military Personnel (formerly called the Worldwide Surveys of Substance Abuse and Health Behaviors Among Military Personnel). A more detailed description of each of these surveys and its unique contribution to research can be found in Appendix B.

¹⁹ Please note that for comparability with the 2014 NSDUH and 2013 YRBS data (the most recent data available), the latest MTF data included in the report are also from 2014. The 2015 MTF data, available in December 2015, will be included in the next report.

Characteristics of Underage Drinking in America

Underage alcohol use in the United States is a public health problem because of the number of children and adolescents who drink, when and how much they drink, and the negative consequences that result from that drinking. Some of the principal findings of governmental surveys and other research related to underage alcohol use in the United States are described in the following paragraphs.

Underage Alcohol Use Is Widespread

Underage alcohol use in the United States is a widespread and serious problem:

- **Current Use:** The 2014 NSDUH reported that approximately 22.8 percent of Americans ages 12 through 20 (about 8.7 million people) reported having at least one drink in the 30 days prior to the survey interview. Of this age group, 13.8 percent (5.3 million) were binge drinkers (five or more drinks on the same occasion, either at the same time or within a couple of hours) on at least 1 day in the past 30 days. Approximately 3.4 percent of this age group (1.3 million) were heavy drinkers (five or more drinks on the same occasion on each of 5 or more days in the past 30 days). By definition, all heavy alcohol users are also binge alcohol users (Center for Behavioral Health Statistics and Quality [CBHSQ], 2015a).
- **Lifetime Use:** The 2014 MTF showed that 66.0 percent of 12th graders, 49.3 percent of 10th graders, and 26.8 percent of 8th graders have had alcohol at some point in their lives²⁰ (Miech, Johnston, O'Malley, Bachman, & Schulenberg, 2015; see Exhibit 2.1).
- **Binge Use:** The 2014 NSDUH showed that 2.3 percent of 14-year-olds, 10.8 percent of 16-year-olds, 23.8 percent of 18-year-olds, and 34.6 percent of 20-year-olds engaged in binge drinking within the past 30 days (CBHSQ, 2015a).
- **Heavy Use:** The 2014 NSDUH data showed that 1.7 percent of 16-year-olds, 5.9 percent of 18-year-olds, and 10.3 percent of 20-year-olds consumed alcohol heavily in the past 30 days (CBHSQ, 2015a).
- **Lifetime Use to Intoxication:** In the 2014 MTF, 49.8 percent of 12th graders, 30.2 percent of 10th graders, and 10.8 percent of 8th graders reported having been drunk²¹ at least once (Miech et al., 2015).

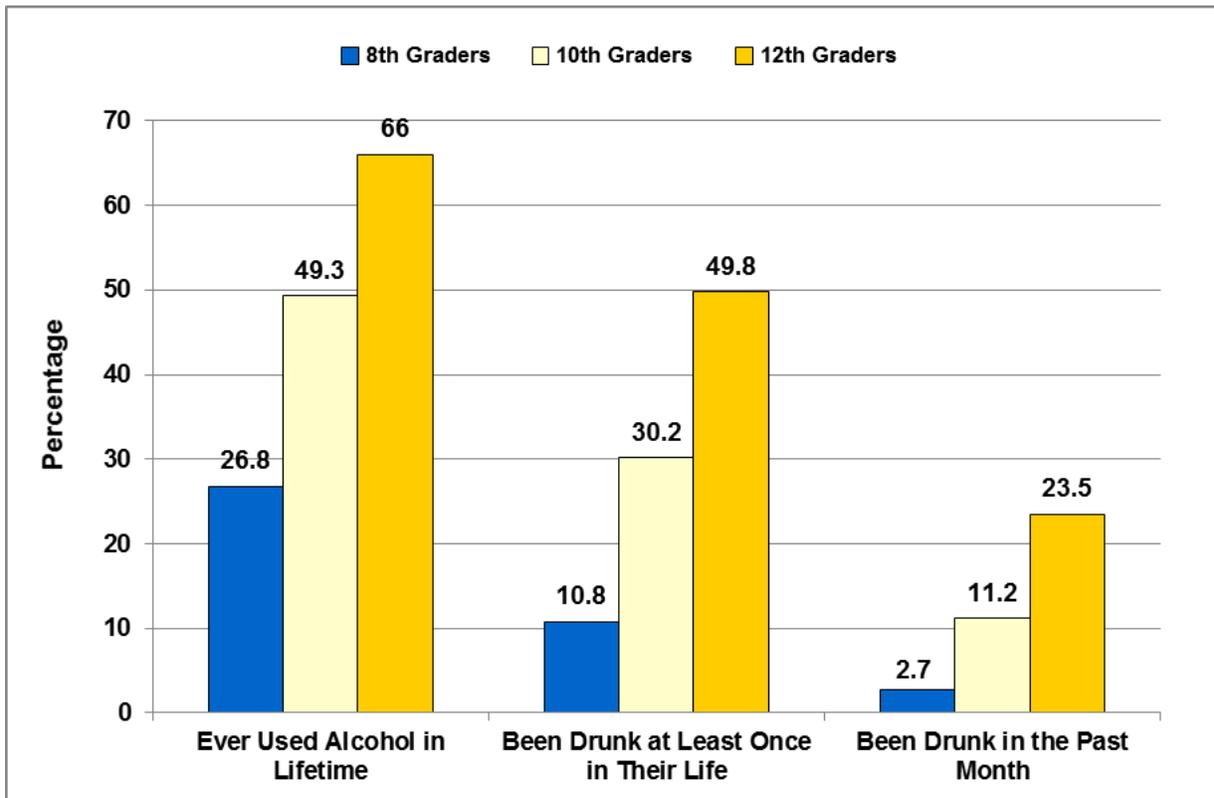
Alcohol Is the Most Widely Used Substance of Abuse among American Youth

As indicated in Exhibit 2.2, a higher percentage of youth in 8th, 10th, and 12th grades used alcohol in the month prior to being surveyed than used marijuana (the illicit drug most commonly used by adolescents) or tobacco (Miech et al., 2015).

²⁰ Lifetime alcohol use in this survey is defined as “having more than a few sips.”

²¹ MTF asks “On how many occasions (if any) have you been drunk or very high during the past 30 days?”

Exhibit 2.1: Lifetime Alcohol Use, Lifetime Use to Intoxication, and Use to Intoxication Within the Past Month among 8th, 10th, and 12th Graders: 2014 (Miech et al., 2015)



Youths Start Drinking at an Early Age

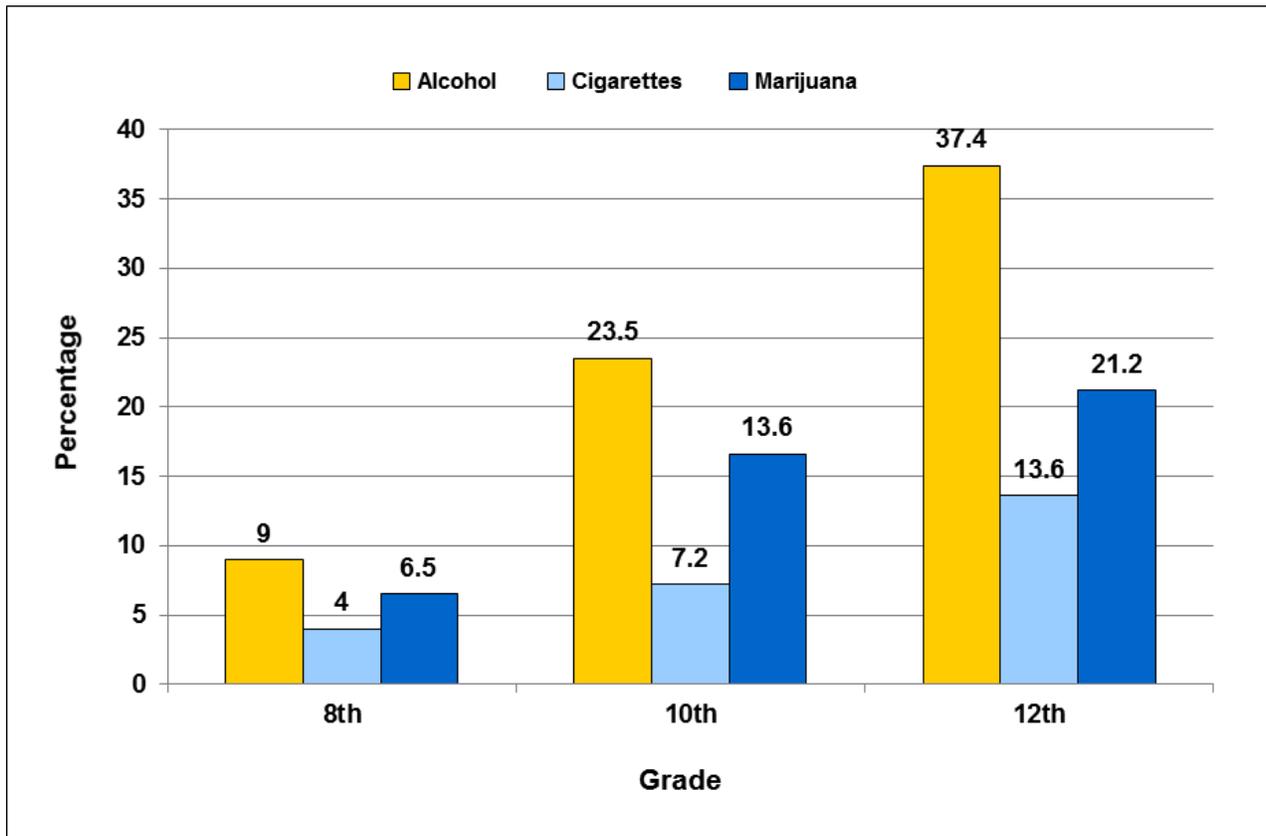
Drinking often begins at very young ages. Surveys indicate that approximately:

- Ten percent of 9- to 10-year-olds have already started drinking (Donovan et al., 2004).²²
- Almost one fifth of underage drinkers begin drinking before age 13 (Kann et al., 2014).
- Peak years of initiation are 7th through 11th grades, based on data from high school seniors (Miech et al., 2015).

Among those who initiated alcohol use in the past year, 783,000 reported being ages 12 to 14 when they initiated. This translates to approximately 2,144 youths ages 12 to 14 who initiated alcohol use per day in 2014 (CBHSQ, 2015b). Youth who report drinking before age 15 are more likely to experience problems, including intentional and unintentional injury to self and others after drinking (Hingson & Zha, 2009; Hingson, Heeren, Jamanka, & Howland, 2000); violent behavior, including predatory violence and dating violence (Blitstein, Murray, Lytle, Birnbaum, & Perry, 2005; Ellickson, Tucker, & Klein, 2003; Ramisetty-Mikler, Caetano, Goebert, & Nishimura, 2004; Ramisetty-Mikler, Goebert, Nishimura, & Caetano, 2006); criminal behavior (Eaton, Davis, Barrios, Brener, & Noonan, 2007); prescription drug misuse (Hermos, Winter, Heeren, & Hingson, 2008); unplanned and unprotected sex (Hingson, Heeren, Winter, & Wechsler, 2003); motor vehicle crashes (Hingson, Heeren, Levenson, Jamanka, &

²² Drinking is defined as having more than a few sips.

Exhibit 2.2: Past-Month Adolescent Alcohol, Cigarette, and Marijuana Use by Grade: 2014 (Miech et al., 2015)



Voas, 2002); and physical fights (Hingson, Heeren, & Zakocs, 2001). Early-onset drinking is thus a marker for future problems, including heavier use of alcohol and drugs during adolescence (Hawkins et al., 1997; Robins & Przybeck, 1985; Buchmann et al., 2009; Liang & Chikritzhs, 2015) and alcohol dependence in adulthood (Grant & Dawson, 1998).

Delaying the age of first alcohol use can ameliorate some of the negative consequences of underage alcohol consumption, which means that trends in age of initiation of alcohol use are important to follow. MTF data show that the proportion of 8th, 10th, and 12th graders who had ever used alcohol and of those who started using alcohol before 7th grade generally declined from 1998 to 2014, suggesting a possible delay in the age at first use (Miech et al., 2015).

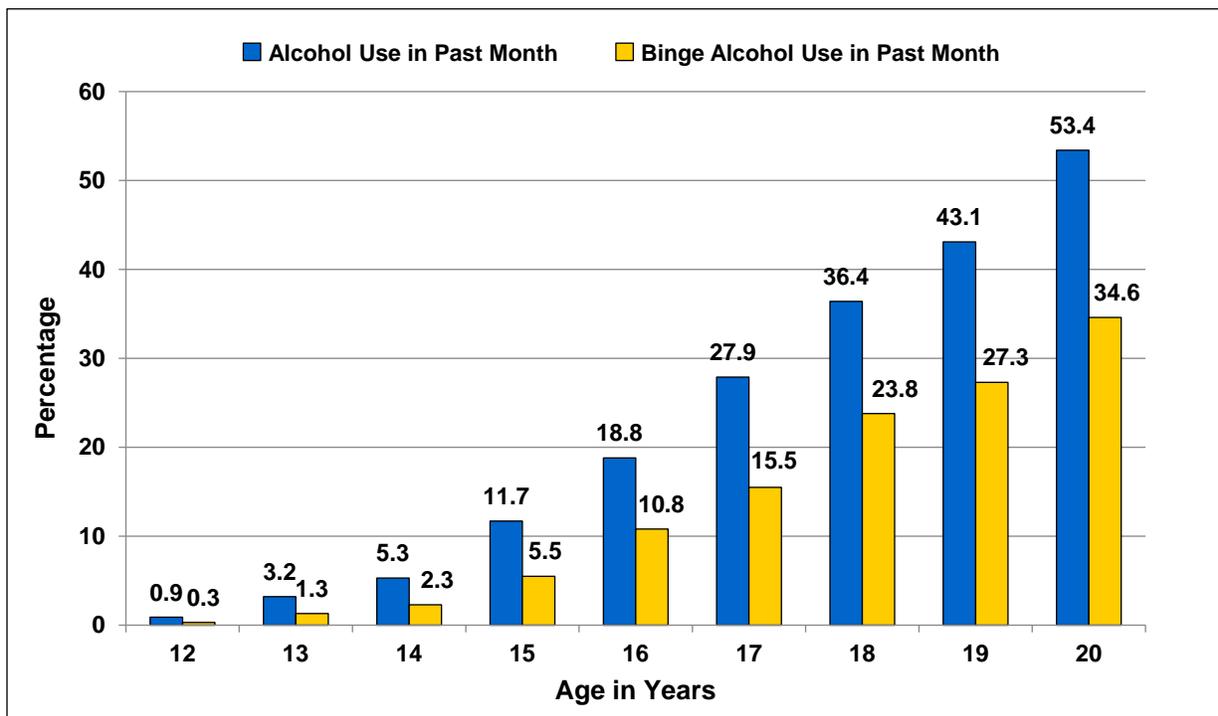
SAMHSA revised its methodology to provide more timely estimates that more accurately assess trends in average age at first use and other measures of initiation, such as incidence rates. Average age of first use is now calculated based on initiation within the past 12 months. By this new method, NSDUH data indicate no difference in the average age of first use (15.6 years) among those who initiated alcohol use before age 21 between 2004 and 2005, but there was a significant increase to 15.8 years in 2006. The average age of first use then remained nearly the same in 2007 (15.8 years), 2008 (15.8 years), and 2009 (15.9 years) before a statistically significant increase in 2010 (16.0 years, which was higher than all estimates from 2004 through 2009). Average age of first use then remained stable in 2011 and 2012 (15.9 years in 2011 and 16.0 years in 2012) before another statistically significant increase in 2013 (16.2 years). Age of

first use remained stable in 2014 at 16.2 years (SAMHSA, 2014b). Average age of first use for all drinkers, including those who started drinking at age 21 or older, was 16.6 in 2006, 17.0 in 2007, 17.6 in 2008, 17.1 in 2009, 18.0 in 2010, 17.3 in 2011, 17.6 in 2012, 17.3 in 2013, and 17.6 in 2014 (CBHSQ, 2015b). Appendix B further discusses methodological issues in measuring age at first use and other indicators of alcohol initiation.

For Underage Drinkers, Alcohol Use and Binge Drinking Increase with Age

Drinking becomes increasingly common through the teenage years (O’Malley, Johnston, & Bachman, 1998). Frequent, heavy use by underage drinkers also increases each year from age 12 to age 20 (Flewelling, Paschall, & Ringwalt, 2004). The 2014 NSDUH reported that underage alcohol consumption in the past month increased with age from 0.9 percent for 12-year-olds to 53.4 percent for 20-year-olds; past-month alcohol consumption across all age groups peaked at 71.2 percent for 21-year-olds (CBHSQ, 2015a). Binge drinking also increased steadily between ages 12 and 20 (Exhibit 2.3), peaked at age 21 (47.1 percent), and then decreased beyond young adulthood (data not shown; CBHSQ, 2015b). Approximately 5.3 million (13.8 percent) of 12- to 20-year-olds reported past-month binge alcohol use (CBHSQ, 2015b).

Exhibit 2.3: Current and Binge Alcohol Use Among People Ages 12–20 by Age: 2014 (CBHSQ, 2015b)



Youth Binge More and Drink More Than Adults When They Drink

Young drinkers tend to drink less often than adults; when they do drink, however, they drink more heavily. Underage drinkers consume, on average, about four and a half drinks per occasion, five times a month, whereas adult drinkers 26 and older average three drinks per occasion, nine times a month (Exhibit 2.4). Youths ages 12 to 15 can theoretically reach the same blood alcohol level (BAC) after consuming three to four drinks within 2 hours as adults ages 18 and older who consume four to five drinks during this same time period (Donovan, 2009).

When asked about the number of drinks consumed on their last occasion of alcohol use in the past month, for 2013 and 2014 combined, 24.5 percent of underage drinkers reported one drink; 18.5 percent, two drinks; 25.1 percent, three or four drinks; 22.7 percent, five to eight drinks; and 9.1 percent, nine or more drinks (CBHSQ, 2015c). The number of drinks consumed differs by gender (Exhibit 2.5): underage females are more likely to report consuming one to four drinks, and underage males, five to nine drinks or more. The number of drinks reported on the last occasion tends to increase with increasing age (CBHSQ, 2015c).

Particularly worrisome among underage drinkers is the high prevalence of binge drinking, which MTF defines as five or more drinks in a row in the past 2 weeks and calls “heavy episodic drinking.” In 2014, 4.1 percent of 8th graders, 12.6 percent of 10th graders, and 19.4 percent of 12th graders reported heavy episodic drinking (Miech et al., 2015). In 2014, about 1.3 million youth ages 12 through 20 (3.4 percent) drank five or more drinks on a single occasion 5 or more days a month (CBHSQ, 2015a).

Exhibit 2.4: Number of Drinking Days per Month and Usual Number of Drinks per Occasion for Youth (12–20), Young Adults (21–25), and Adults (≥26): 2014 (CBHSQ, 2015c)

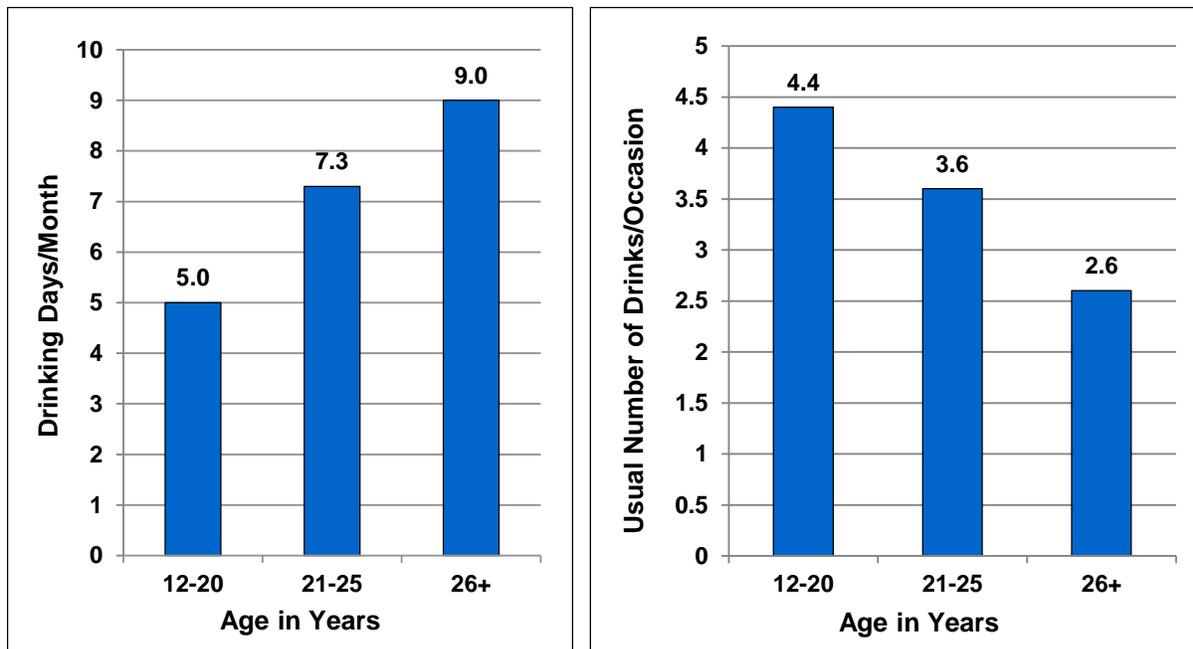
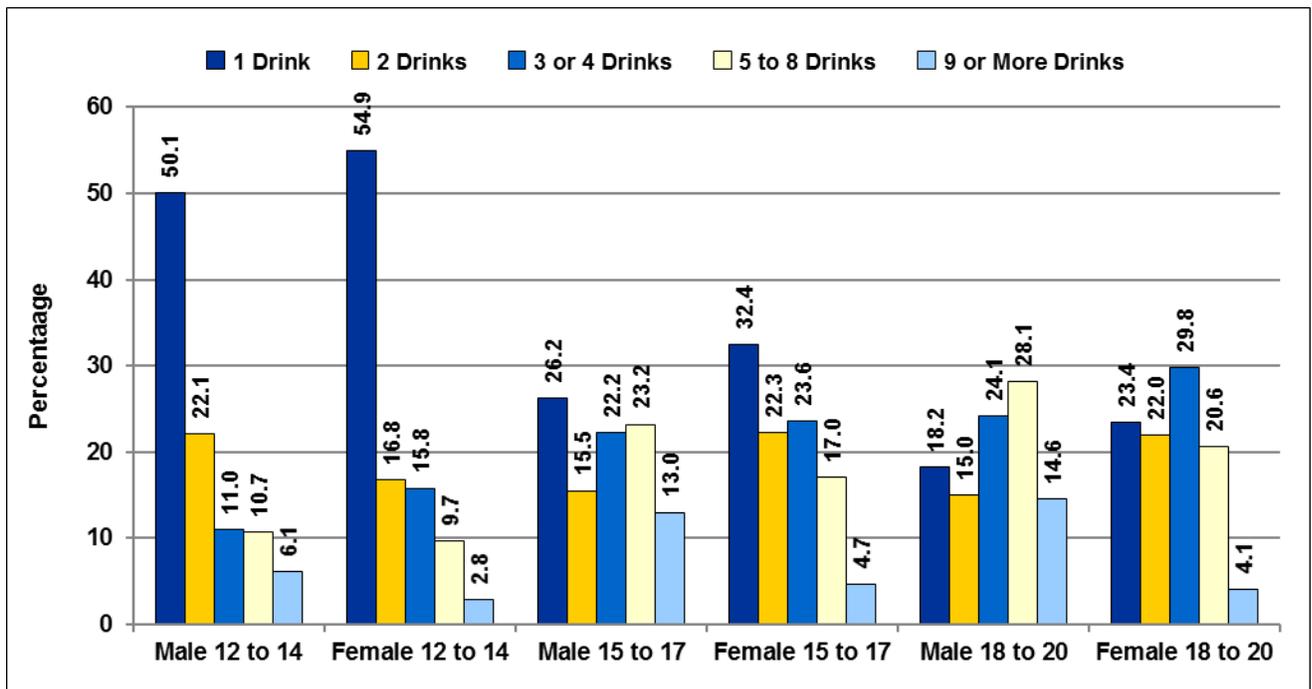


Exhibit 2.5: Number of Drinks Consumed on Last Occasion of Alcohol Use in the Past Month Among Past-Month Alcohol Users Ages 12–20, by Gender and Age Group: 2013–2014 (CBHSQ, 2015c)



Faden and Fay (2004) used statistical trend analyses to examine underage drinking data from 1975 to 2002. Among 12th graders, drinking five or more drinks in a row in the past 2 weeks declined 7.6 percent, from 36.8 percent in 1975 to 29.2 percent in 2002. Analysis of the intervening years showed that the prevalence of drinking five or more drinks in a row in the past 2 weeks rose from 1975 to 1980, fell from 1980 to 1987, steeply declined from 1987 to 1993, rose from 1993 to 1997, and declined from 1997 to 2002. Subsequent statistical trend analyses showed that for 12th graders, the prevalence of drinking five or more drinks in a row in the past 2 weeks continued to fall between 2002 and 2009 (Chen, Yi, & Faden, 2011).

Information on the prevalence of drinking five or more drinks in a row in the past 2 weeks among 8th and 10th graders first became available in 1991. In 1991, 10.9 percent of 8th graders and 21 percent of 10th graders reported engaging in this behavior, compared with 9.4 percent and 19.9 percent, respectively, in 2004. Rates in the intervening years oscillated heavily for 8th graders and rose steadily for 10th graders, for whom rates peaked in 2000 and have since gradually declined (Johnston, O’Malley, Bachman, & Schulenberg, 2005). Since 2002, there have been statistically significant declines in binge drinking for all three grades (Johnston, O’Malley, Bachman, & Schulenberg, 2012).

A troubling subset of binge drinking is “extreme” binge drinking or very high-intensity binge drinking, often defined as consumption of 10 or 15 or more drinks on a single occasion (Patrick et al., 2013). YRBS data from 2013 indicated that 6.1 percent of high-schoolers reported drinking 10 or more drinks within 2 hours at least once in the last month (CDC, 2014b). The percentage for males was 8 percent and for females, 4.2 percent.

MTF has tracked the prevalence of consuming 10 or more and 15 or more drinks in a row since 2005. According to MTF data for 2014, 7.1 percent of 12th graders reported consuming 10 or more drinks in a row, and 4.1 percent reported consuming 15 or more drinks in a row within the previous 2 weeks. Although these numbers have declined since 2005, the rate of decline for high-intensity binge drinking has been slower than for all binge drinking: a decline of 3.5 percent for 10 or more drinks in a row and 1.6 percent for 15 or more drinks in a row, compared with 7.7 percent for all binge drinking (Miech et al., 2015, p. 230). This disparity suggests that high-intensity binge drinking may be a more entrenched form of adolescent subculture than binge drinking overall (Patrick et al., 2013).

Binge Drinking by Teens Is Not Limited to the United States

In many European countries, a significant proportion of young people ages 15 to 16 report binge drinking (Exhibit 2.6). In all countries listed in Exhibit 2.6, the minimum legal drinking age (MLDA) is lower than in the United States. These data call into question the suggestion that having a lower MLDA results in less problem drinking by adolescents.

There Is a High Prevalence of Alcohol Use Disorders among Youth

The prevalence of alcohol abuse or dependence among underage drinkers is quite high. Because the *Diagnostic and Statistical Manual of Mental Disorders, Fourth Edition, Text Revision* (DSM-IV-TR; APA, 2000) criteria for abuse and dependence were originally developed for use with adults, using them to assess abuse and dependence in adolescents may lead to inconsistencies. As shown in Exhibit 2.7, according to the combined 2013–2014 NSDUH data, prevalence of alcohol dependence or abuse as defined by DSM-IV-TR²³ is highest among those ages 18 to 29.

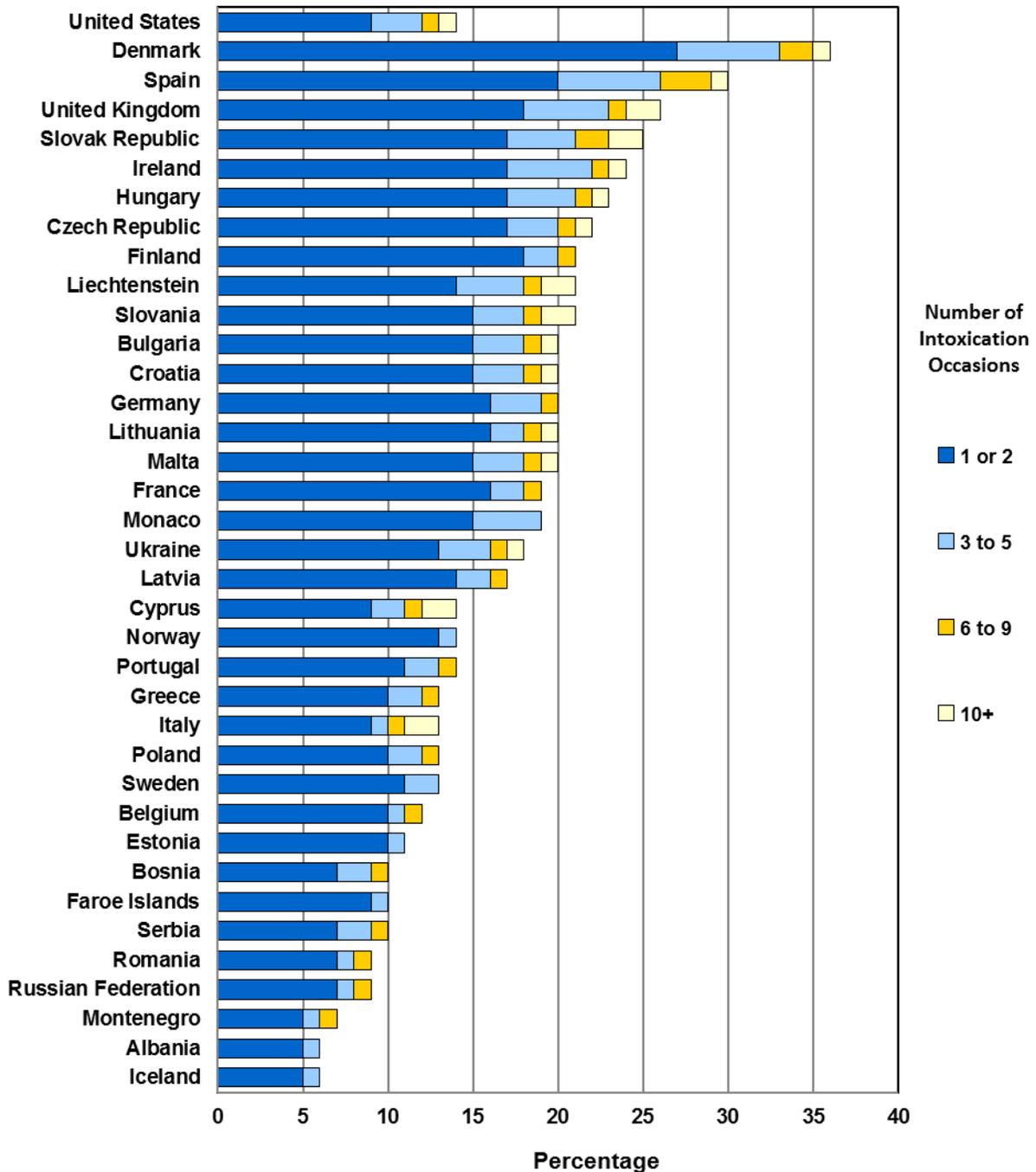
About one in ten 18- to 20-year-olds (10.4 percent) met criteria for alcohol dependence or abuse. The prevalence rate is third highest after that for 21- to 24-year-olds (14.2 percent) and 25- to 29-year-olds (12.1 percent). In addition, 0.7 percent of 12- to 14-year-olds and 4.7 percent of 15- to 17-year-olds met criteria for alcohol dependence or abuse (CBHSQ, 2015c).

Underage Drinking Differs by Gender

Any discussion of gender differences in underage drinking should include consideration of the biological factors that may underlie or contribute to differences in drinking behavior and its consequences. Although females report less alcohol consumption than males, differences in body composition (e.g., increased body fat, decreased muscle mass, and subsequently less body water, in females) result in a greater BAC in females compared with males consuming the same amount of alcohol. These physiological differences suggest that females will experience alcohol-related problems at lower doses of alcohol. On the other hand, males tend to have lower reactivity (perceived effects of alcohol as a function of amount consumed), putting them at greater risk for binge and heavy drinking (Schulte, Ramo, & Brown, 2009).

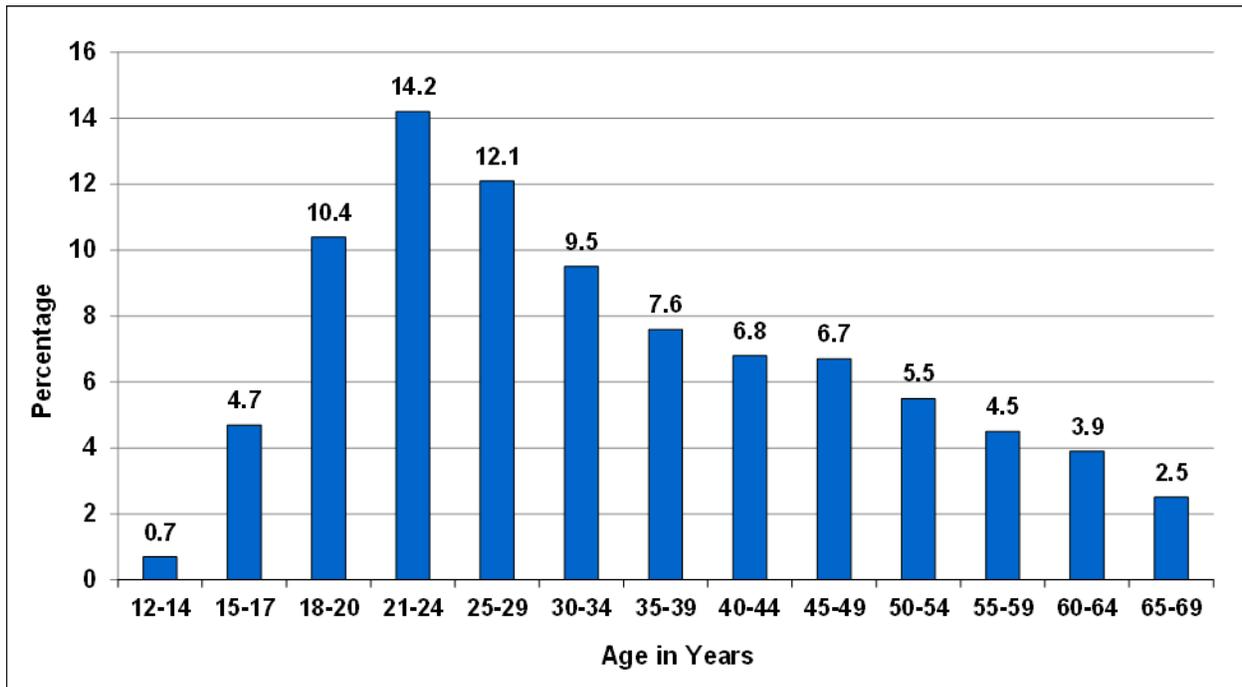
²³ The DSM-IV-TR (APA, 2000) criteria for abuse and dependence used in this study were originally developed for use with adults, and using them to assess abuse and dependence in adolescents may lead to inconsistencies. The more recent *Diagnostic and Statistical Manual of Mental Disorders, Fifth Edition* (DSM-V) (APA, 2013) integrates the two DSM-IV disorders, alcohol abuse and alcohol dependence, into a single disorder called alcohol use disorder (AUD). DSM-V does not specifically address adolescents. Research suggests that the criteria for DSM-V and the criteria for DSM-IV would result in similar outcomes (Winters, Martin, & Chung, 2011).

Exhibit 2.6: Percentage of European Students Ages 15–16 Who Reported Being Drunk in the Past 30 Days Compared With American 10th Graders (Hibell et al., 2012; data from the 2011 European School Survey Project on Alcohol and Drugs)



Notes: The 2011 European School Survey Project on Alcohol and Drugs (ESPAD) question is: “On how many occasions (if any) have you been intoxicated from drinking alcoholic beverages (staggered when walking, not able to speak properly, throwing up or not remembering what happened)?” Information on ESPAD data collection is available at www.espad.org.

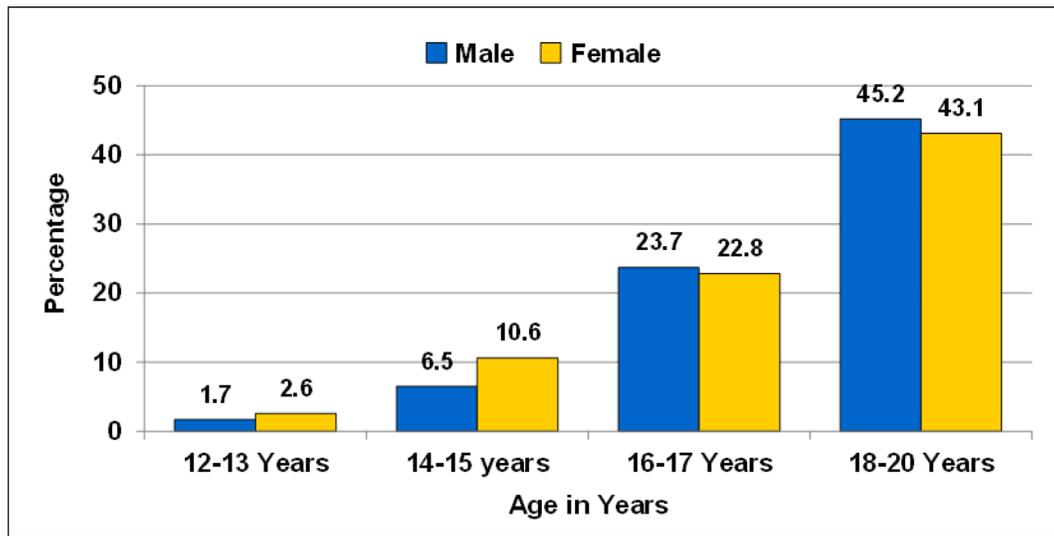
Exhibit 2.7: Prevalence of Past-Year DSM-IV Alcohol Dependence or Abuse by Age: 2013–2014 NSDUH (CBHSQ, 2015c)



Although underage males and females tend to start drinking at about the same age and have approximately the same prevalence of any past-month alcohol use, males are more likely to drink with greater frequency and to engage in binge and heavy drinking. According to the 2014 NSDUH data, 57.3 percent of males ages 12 and older were current drinkers compared with 48.4 percent of females in that age group. However, among underage drinkers, the prevalence of past-month alcohol use was higher among girls ages 14 to 15 than among boys ages 14 to 15 (Exhibit 2.8; CBHSQ, 2015c). On the other hand, binge-drinking rates for male 12th graders were higher than those for female 12th graders (see Exhibit 2.9). Binge-drinking prevalence is the most significant gender difference, at least among older adolescents. In 2014, 22.3 percent of male 12th graders reported binge drinking (having five or more drinks in a row) at least once in the prior 2-week period, whereas 16.6 percent of female 12th graders did so (Miech et al., 2015).

Since 1991, rates of binge drinking have generally been *decreasing* for college-age (19- to 22-year-olds), 12th-, 10th-, and 8th-grade males and females (although not as steeply for college students). But the gap between male and female bingeing rates has been steadily closing since 1991 (Exhibit 2.9; Johnston, O'Malley, Bachman, & Schulenberg, 2009, 2012; Johnston, O'Malley, Bachman, Schulenberg, & Miech, 2014b; 2015b).

Across all grade groups, rates for males have been decreasing faster than for females. This is most easily seen in the slopes of the linear trend data (dotted lines) in Exhibit 2.9. In 1975, among 12th graders there was a 23 percentage point spread between the rates; in 2014, it was 5.7 points (Miech et al., 2015).

Exhibit 2.8: Past-Month Alcohol Use by Age and Gender, 2014 NSDUH Data (CBHSQ, 2015c)

Underage Drinking by Race and Ethnicity

According to 2002–2014 NSDUH data,²⁴ Whites ages 12 to 20 were more likely to report current alcohol use than any other race or ethnic group. The detailed prevalence of past-month alcohol use by gender and race/ethnicity was White males (30.9 percent), White females (29.7 percent), Native Hawaiian or Other Pacific Islander males (27.2 percent), American Indian or Alaska Native females (25.6 percent), Hispanic or Latino males (25.2 percent), Native Hawaiian or Other Pacific Islander females (25.0 percent), males of multiple races (24.5 percent), females of multiple races (24.0 percent), American Indian or Alaska Native males (23.4 percent), Hispanic or Latina females (22.5 percent), Black or African American males (19.3 percent), Black or African American females (18.2 percent), Asian males (17.0 percent), and Asian females (15.4 percent). As shown in Exhibit 2.10, among most races/ethnic groups, males and females reported similar rates of current alcohol use; however, among Whites, Blacks, and Hispanics, males ages 12 to 20 were more likely to report current use than females (CBHSQ, 2015c).

Although fewer Blacks report current drinking, data from the 2013 YRBS suggest that prevalence of alcohol use before age 13 (as reported by all respondents) is greater among Black students (21.0 percent) and Hispanic students (21.8 percent) than among White students (16.7 percent; CDC, 2014b). Data from the NSDUH also indicate that at age 12, fewer Whites (8.8 percent) reported ever having a drink in their lifetime than non-Hispanic blacks (10.1 percent). Non-Hispanic Asians reported the lowest prevalence (4.0 percent). Lifetime prevalence of alcohol use as reported at age 12 among non-Hispanic Whites did not differ from the prevalence among non-Hispanic American Indians or Alaska Natives, and Hispanics, and among non-Hispanic youths with multiple races.

²⁴ To provide sample sizes sufficient to produce reliable estimates for each race/ethnic group, multiyear estimates of past-month alcohol use and binge drinking by race/ethnicity were calculated.

The 2002–2014 NSDUH data cannot provide a valid estimate on the lifetime prevalence of alcohol use among 12-year-old non-Hispanic Native Hawaiians or Other Pacific Islanders. Sample sizes from the MTF and the YRBS do not allow estimates of alcohol consumption by youth who are American Indian or Alaska Native, Native Hawaiian or Other Pacific Islander, or multiple races.

Exhibit 2.9: Rates of Binge Drinking in the Past 2 Weeks Among Male and Female 8th, 10th, and 12th Graders and College Students, 1991–2014
(Johnston, O’Malley, Bachmann, et al., 2015b; Johnston, O’Malley, Miech, et al., 2015a)

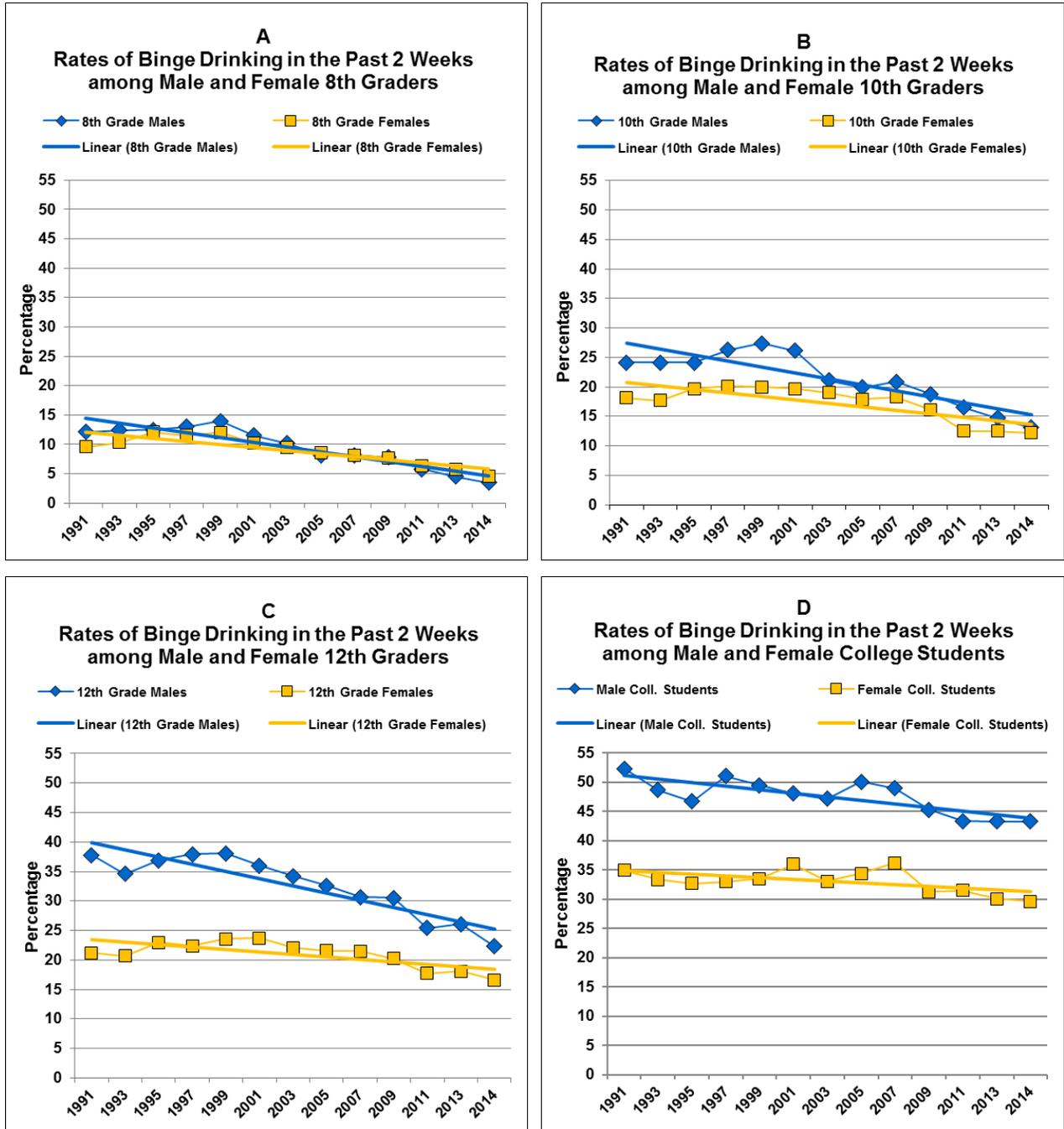
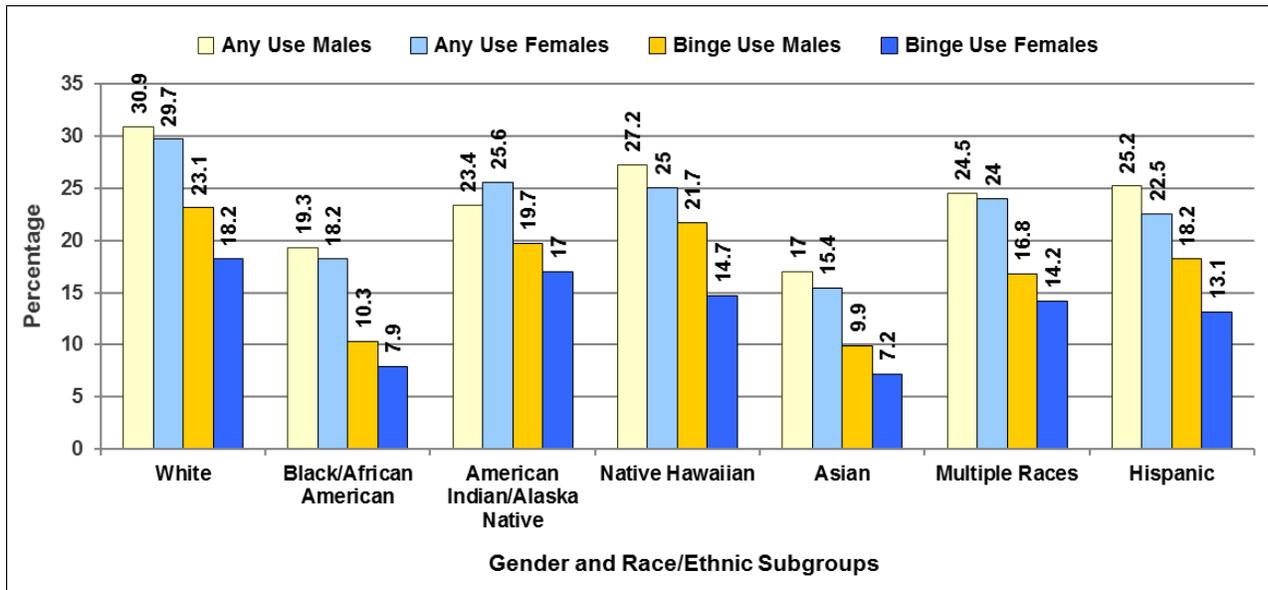


Exhibit 2.10: Alcohol Use and Binge Drinking in the Past Month Among People Ages 12–20 by Race/Ethnicity and Gender, Annual Averages Based on 2002–2014 Data (CBHSQ, 2015c)



Multi-year NSDUH data (2002–2014) for males and females ages 12 to 20 on binge alcohol use indicate that an estimated 23.1 percent of White males reported having five or more drinks on the same occasion on at least 1 day within the past 30 days, followed closely by Native Hawaiian or Other Pacific Islander males (21.7 percent). The remaining race/ethnicity and gender groups are American Indian or Alaska Native males (19.7 percent), Hispanic males (18.2 percent), White females (18.2 percent), American Indian or Alaska Native females (17.0 percent), males of multiple races (16.8 percent), Native Hawaiian or Other Pacific Islander females (14.7 percent), females of multiple races (14.2 percent), Hispanic females (13.1 percent), Black males (10.3 percent), Asian males (9.9 percent), Black females (7.9 percent), and Asian females (7.2 percent).

As Exhibit 2.10 shows, rates of binge drinking tend to be higher for males than females for each race/ethnic group except American Indian or Alaska Native, with the differences being greatest among Native Hawaiian or Other Pacific Islanders (males 21.7 percent versus females 14.7 percent) and Hispanics (males 18.2 percent versus females 13.1 percent; CBHSQ, 2015c).

These ethnic and racial differences must be viewed with some caution. As Caetano, Clark, and Tam (1998) noted, there are important differences in alcohol use and related problems among ethnic and racial subgroups of Blacks, Hispanics, Asians, and Native Americans/Alaska Natives. Moreover, the patterns of consumption for any group or subgroup represent a complex interaction of psychological, historical, cultural, and social factors inadequately captured by a limited set of labels. With these cautions in mind, however, the data discussed thus far highlight the importance of considering race and ethnicity in underage drinking prevention measures.

Social Context of Alcohol Use

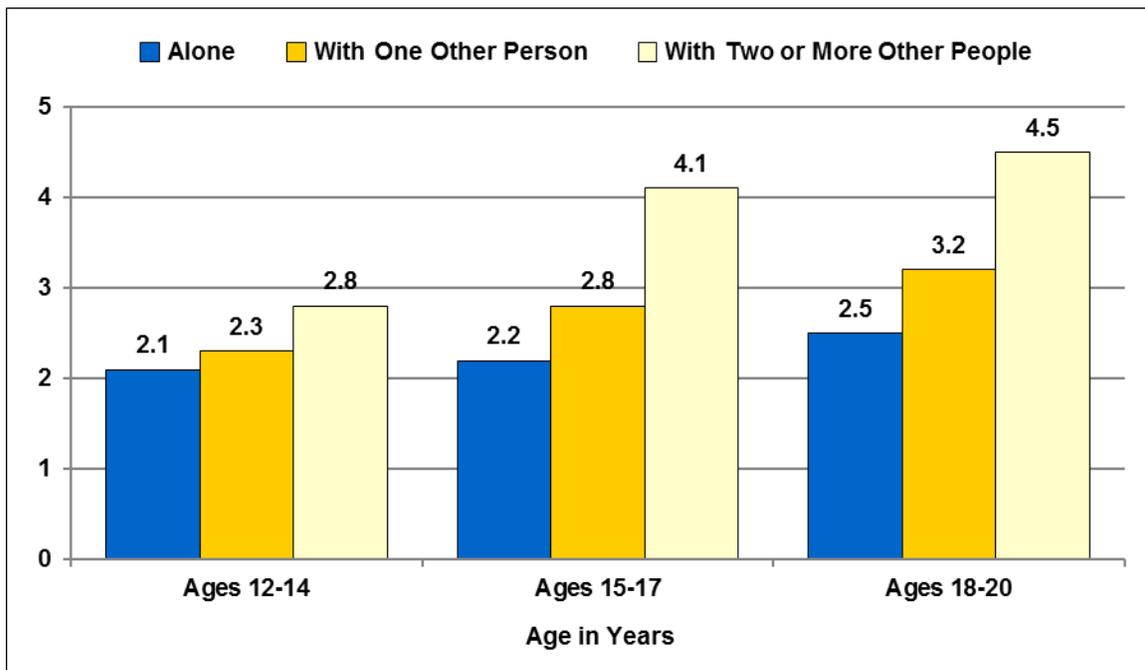
Underage alcohol use is strongly affected by the context in which drinking occurs, including the number of people present and the location where drinking takes place. Of particular concern is underage drinking at large parties.

Number of People Present at Drinking Event

Most (77.2 percent) people ages 12 to 20 who had consumed alcohol in the past month were with two or more people the last time they drank, 16.6 percent were with one other person the last time they drank, and 6.2 percent were alone.²⁵ Underage people who drank with two or more other people on the last occasion in the past month had more drinks on the last occasion on average (4.4 drinks) than did those who drank with one other person (3.0 drinks) or drank alone (2.4 drinks; Pemberton, Colliver, Robbins, & Gfroerer, 2008; CBHSQ, 2015c).

The number of people present at the last drinking event appears to differ across age groups. Among current drinkers, youths ages 12 to 14 were more likely to have been alone (12.9 percent) or with one other person (20.9 percent) the last time they drank, compared with youths ages 15 to 17 (7.5 percent alone and 15.0 percent with one other person) or ages 18 to 20 (5.2 percent alone and 17.0 percent with one other person; CBHSQ, 2015c). In the 15–17 and 18–20 age groups, underage current drinkers who drank with two or more other people averaged more drinks on the last occasion than those who drank with one other person or alone (Exhibit 2.11).

Exhibit 2.11: Average Number of Drinks Consumed on Last Occasion of Alcohol Use in the Past Month Among Past-Month Alcohol Users Ages 12–20, by Social Context and Age Group: Annual Averages Based on 2012–2014 Data (CBHSQ, 2015c)



²⁵ The discussion in this section combines data for 2013 and 2014.

Most male and female underage drinkers were with two or more other people on their last drinking occasion (75.7 percent and 78.8 percent, respectively). However, male drinkers were more likely to drink alone (7.3 percent) than were female drinkers (5.1 percent).

Overall, underage people who drank with others were more likely to consume a greater number of drinks on average than those who drank alone; those who drank with two or more other people consumed more drinks on average (4.4 drinks) than did those who drank with one other person (3.0 drinks) or drank alone (2.4 drinks). Males consumed more drinks than did females for all three situations (drinking alone, drinking with one other person, or drinking with two or more people). For example, when the last drinking occasion was with two or more other people, males averaged 5.2 drinks, whereas females averaged 3.5 drinks (CBHSQ, 2015c).

Location of Alcohol Use

Most underage drinkers reported last using alcohol in someone else's home (52.8 percent, averaging 4.4 drinks) or in their own home (33.8 percent, averaging 3.4 drinks).²⁶ The next most popular drinking locations were at a restaurant, bar, or club (6.9 percent, averaging 4.2 drinks); at a park, on a beach, or in a parking lot (4.0 percent, averaging 4.9 drinks); or in a car or other vehicle (3.5 percent, averaging 5.6 drinks). Current drinkers ages 12 to 20 who last drank at a concert or sports game (2.2 percent of all underage drinkers) consumed an average of 5.8 drinks (CBHSQ, 2015c). Thus, most young people drink in social contexts that appear to promote heavy consumption and where people other than the drinker may be harmed by the drinker's behavior.

Drinking location varies by age. For example, drinkers ages 12 to 14 were more likely to have been in their own homes the last time they drank (44.2 percent) than were 15- to 17-year-olds (28.0 percent) or 18- to 20-year-olds (35.5 percent). By contrast, 12- to 14-year-olds were less likely to report being in someone else's home the last time they drank (44.8 percent) than the 15- to 17-year olds (59.3 percent), or 18- to 20-year-olds (50.7 percent).

Drinkers ages 18 to 20 were more likely than those in younger age groups to have been in a restaurant, bar, or club on their last drinking occasion (9.0 percent for those ages 18 to 20 versus 1.5 percent for those ages 12 to 14 and 2.8 percent for those ages 15 to 17; Exhibit 2.12; SAMHSA, 2014b). Female current alcohol users ages 12 to 20 were more likely than males to have had their last drink at a restaurant, bar, or club (8.7 percent versus 5.2 percent).

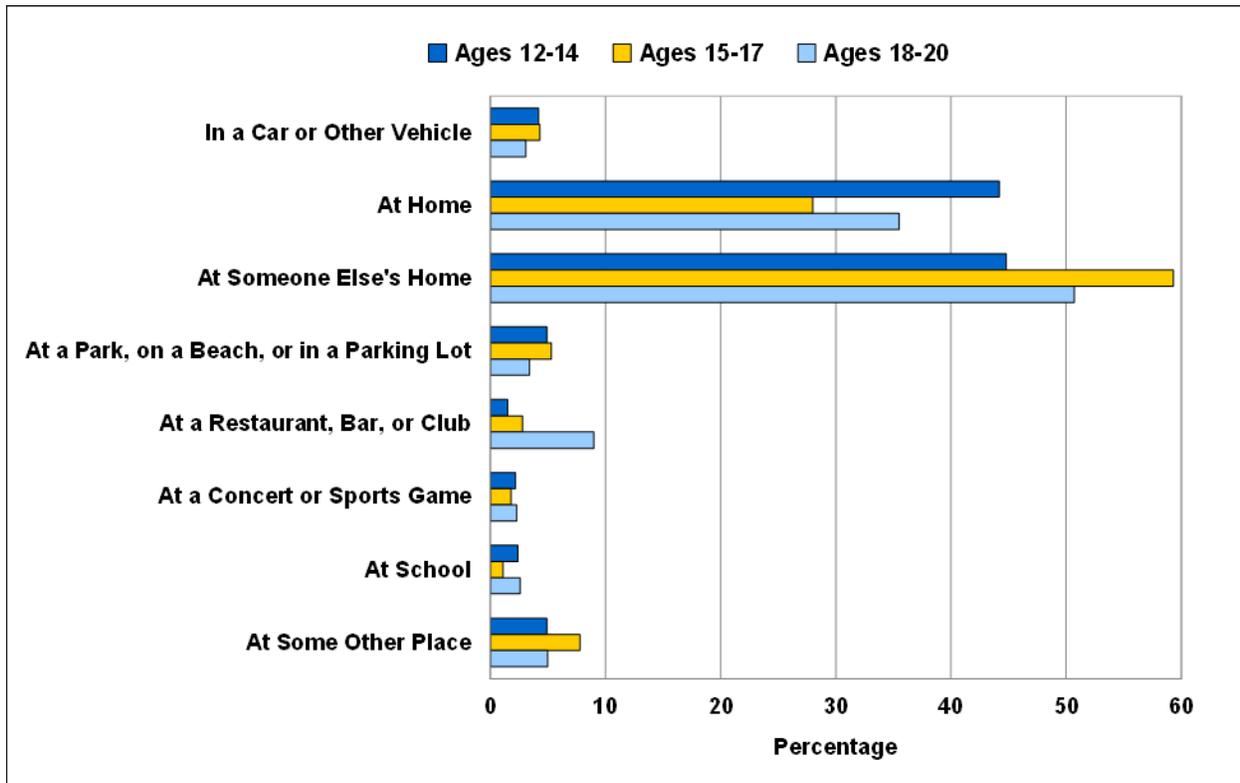
Underage Drinking Parties

The data cited above suggest that underage drinking occurs primarily in a social context (three or more drinkers) at private residences. Such drinking occasions include parties at which large numbers of youth are present.

Drinking parties attract those 21 and over as well as significant numbers of underage drinkers (Wells, Graham, Speechley, & Koval, 2005). For this reason, parties are a common environment in which young drinkers are introduced to heavy drinking by older and more experienced drinkers (Wagoner et al., 2012).

²⁶ For the analyses in this section, 2013 and 2014 NSDUH data are combined to provide sufficient sample sizes.

Exhibit 2.12: Drinking Location of Last Alcohol Use Among Past-Month Alcohol Users Ages 12–20 by Age Group: Annual Averages Based on 2012–2014 Data (CBHSQ, 2015c)



Parties are settings for binge drinking and other patterns of consumption leading to high BACs (Clapp, Reed, Holmes, Lange, & Voas, 2006; Clapp, Min, Shillington, Reed, & Croff, 2008; Demers et al., 2002; Paschall & Saltz, 2007; Usdan, Moore, Schumacher, & Talbott, 2005; Wagoner et al., 2012). Factors that increase the risk of high BACs include the size of party and the number of people drinking (Wagoner et al., 2012), drinking games (Clapp et al., 2006, 2008), “bring your own booze” policies (Clapp et al., 2006), parties sponsored by fraternities (Paschall & Saltz, 2007), and parties where illicit drugs are available (Clapp et al., 2006). Demers and colleagues (2002) suggested that large parties have a greater facilitative effect on men’s drinking than on women’s. Drinking parties are settings for aggression, including serious arguments, pushing, fights, and sexual assault (Wagoner et al., 2012). Because large numbers of youth are drinking outside their own homes, drinking parties may significantly increase the risk of driving after drinking (PIRE, 2000).

Drinking parties pose serious problems for law enforcement officers. These include breaking up parties without allowing drinkers to flee to their cars (PIRE, 2000), processing large numbers of underage offenders (PIRE, 2000), and identifying the individuals who have furnished alcohol to minors (Wagoner et al., 2012). Paschall, Lipperman-Kreda, Grube, and Thomas (2014) rated social host policies for comprehensiveness and stringency. They found a small but significant negative relationship between the strength of the policies and underage drinking at parties among past-year drinkers. For information on party-related enforcement practices that states are

implementing, see Chapter 4. For information on relevant state legal policies see “Hosting Underage Drinking Parties” and “Keg Registration” in Chapter 4.

Types of Alcohol Consumed by Underage Drinkers

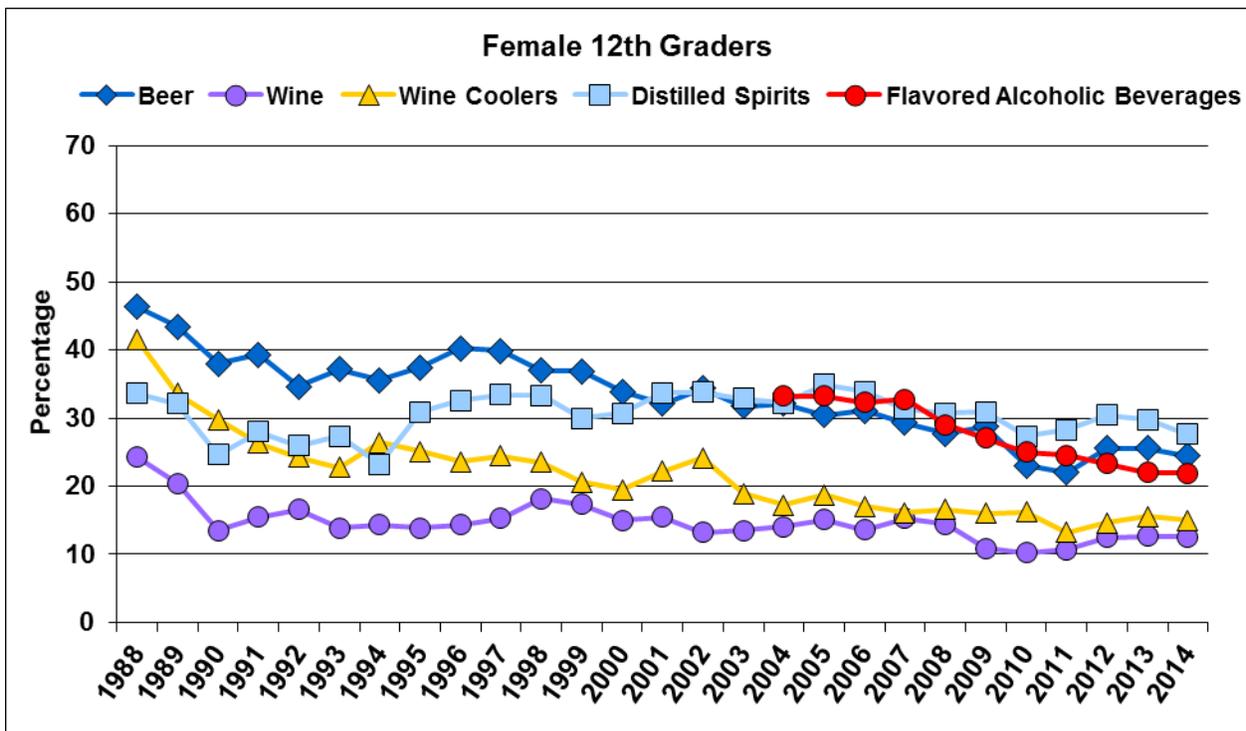
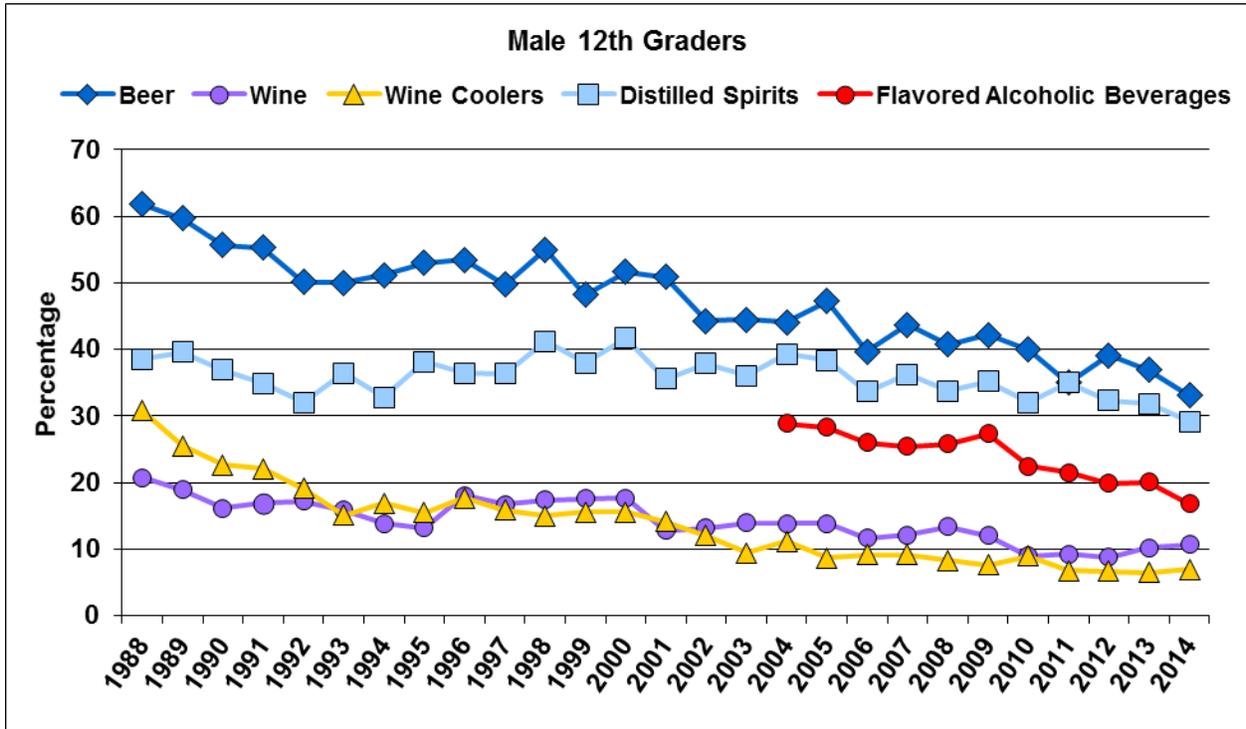
Different alcohol beverage types are likely associated with different patterns of underage consumption. Ease of concealment, palatability, alcohol content, marketing strategies, media portrayals, parent modeling, and economic and physical availability may all contribute to the quantity of and settings for consumption. Beverage preferences may also affect the policies and enforcement strategies most effective in reducing underage drinking (CDC, 2007). Tracking young people’s beverage preferences is thus an important aspect of prevention policy. Since 1988, preferences have shifted markedly for both male and female 12th graders (Exhibit 2.13). Wine is now preferred by 13 percent or fewer of underage drinkers and is therefore not discussed here.

In 1988, beer was the preferred beverage for both sexes by a large margin. By 2011, however, preference for beer had declined and preference for distilled spirits had increased, such that the two were equally preferred by males that year; in subsequent years, preference for beer slightly exceeded preference for spirits. A similar change in preference occurred earlier (in 2005) for females, who continue to prefer distilled spirits over beer by a slight margin. In 2004 (the first year flavored alcoholic beverages were included in the survey), female preference for beer, distilled spirits, and flavored alcoholic beverages was about the same. Female preference for flavored alcoholic beverages has declined steadily since then. Male preference for flavored alcoholic beverages, which has not been as high as female preference, also declined during this period. Data from eight states indicate that, among students in 9th through 12th grades who reported binge drinking, distilled spirits were the most prevalent beverage type (Siegel, Naimi, Cremeens, & Nelson, 2011). In a study of a nationally representative sample of youth ages 13 to 20 who had consumed at least one alcoholic drink in the past 30 days, distilled spirits accounted for 43.8 percent of binge-drinking prevalence, the highest percentage for any beverage type (Naimi, Siegel, DeJong, O’Doherty, & Jernigan, 2015).

Several studies (Fortunato, Albers, Siegel, & Jernigan, 2014; Naimi et al., 2015; Siegel et al., 2013) focused on underage drinkers’ brand preferences, consistently finding that underage drinkers prefer a limited number of brands. Naimi and colleagues found that the top 25 “binge brands” account for 46.2 percent of all binge drinking reports, and Siegel and colleagues found that the top 25 brands account for about half of all alcohol consumption by volume.

Although high-potency grain alcohol products have a reported market share among youth of 0.7 percent, their retail availability is of considerable recent concern (Siegel et al., 2013). These products are cheap, and given that they are twice as strong (151 to 190 proof) as standard spirits products (80 to 101 proof), underage consumers may find it very difficult to gauge their alcohol consumption, increasing the likelihood of injury. Epidemiologic data on the use of high-potency grain alcohol is currently limited. Siegel and colleagues (2013) found that according to an Internet panel of youth ages 13 to 20, 5.8 percent reported consuming high-alcohol-content grain alcoholic beverages in the past 30 days. Naimi and colleagues (2015) reported that when underage drinkers consume grain alcohol, they are significantly more likely to binge.

Exhibit 2.13: Trends in the Percentage of Male and Female 12th Graders Using Alcoholic Beverages by Beverage Type, 1988–2014
 (Johnston, O’Malley, Bachman, et al., 2015b)



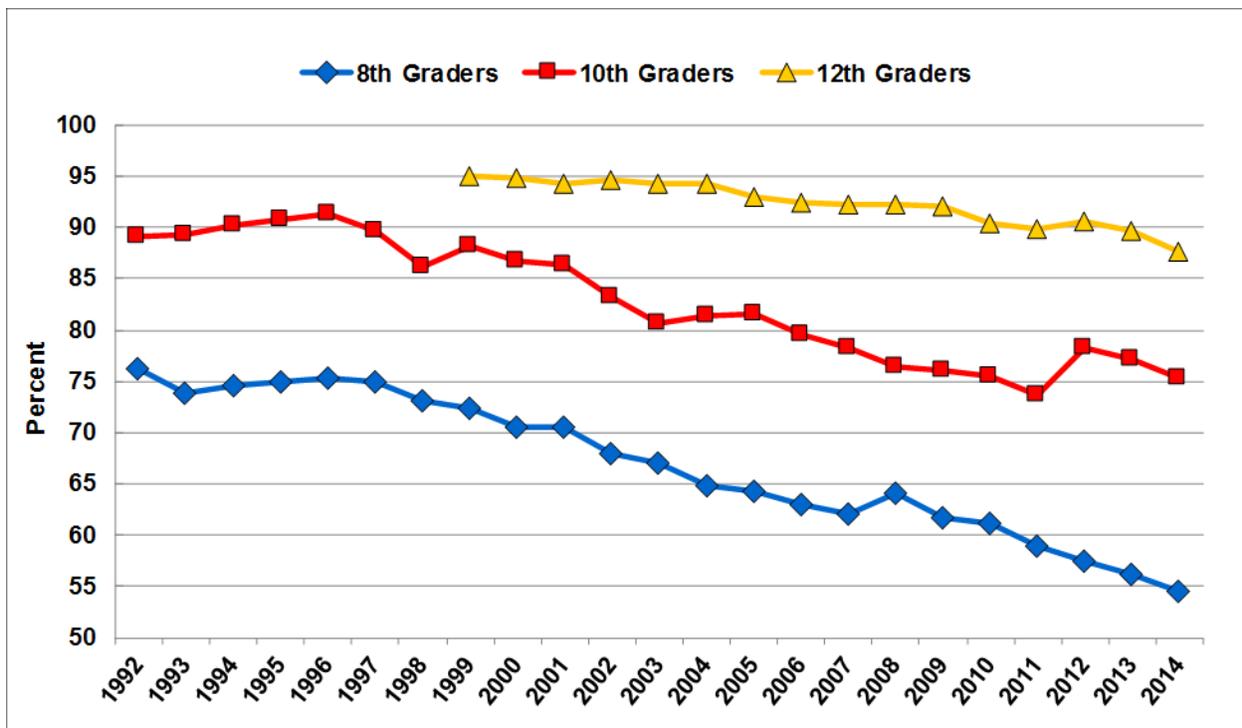
Given the dangers of high-potency grain alcohol, some states have banned its sale. Improved data on these products, including underage use and related injury, would help policymakers evaluate appropriate responses.²⁷

Alcohol Is Perceived as Readily Available by the Underage Population

The relationship among alcohol availability, levels of consumption, and occurrence of alcohol-related problems is well documented in the *Surgeon General’s (SG’s) Call to Action* (U.S. Department of Health and Human Services [HHS], 2007). As shown in Exhibit 2.14, most teens see alcohol as readily available. In 2014, 54.4 percent of 8th graders, 75.3 percent of 10th graders, and 87.6 percent of 12th graders said alcohol would be “fairly easy” or “very easy” to get (Miech et al., 2015). Perceived availability, however, has declined in some groups.

In 1992, 76.2 percent of 8th graders perceived alcohol as easily available, but by 2014, only 54.4 percent held that perception. For 10th graders, perception of availability peaked in 1996 at 90.4 percent, but by 2014, it had declined to 75.3 percent. Data for 12th graders, first collected in 1999, showed that 95.0 percent perceived alcohol to be readily available—a percentage that has declined only slightly since then. These reductions in perceived availability may be attributable in part to policies and enforcement practices described in Chapter 4.3 (see “Laws Addressing Minors in Possession of Alcohol,” “Laws Targeting Alcohol Suppliers,” and “Alcohol Pricing Policies”). Continued attention to these policies and practices may lead to further reductions.

Exhibit 2.14: Trends in Availability of Alcohol as Perceived by 8th, 10th, and 12th Graders (Miech et al., 2015)



²⁷ Maryland (MD Code, Art. 2B, § 16-505.2), California (West’s Ann.Cal.Bus. & Prof.Code § 23403), and Florida (West’s F.S.A. § 565.07) have all enacted such laws.

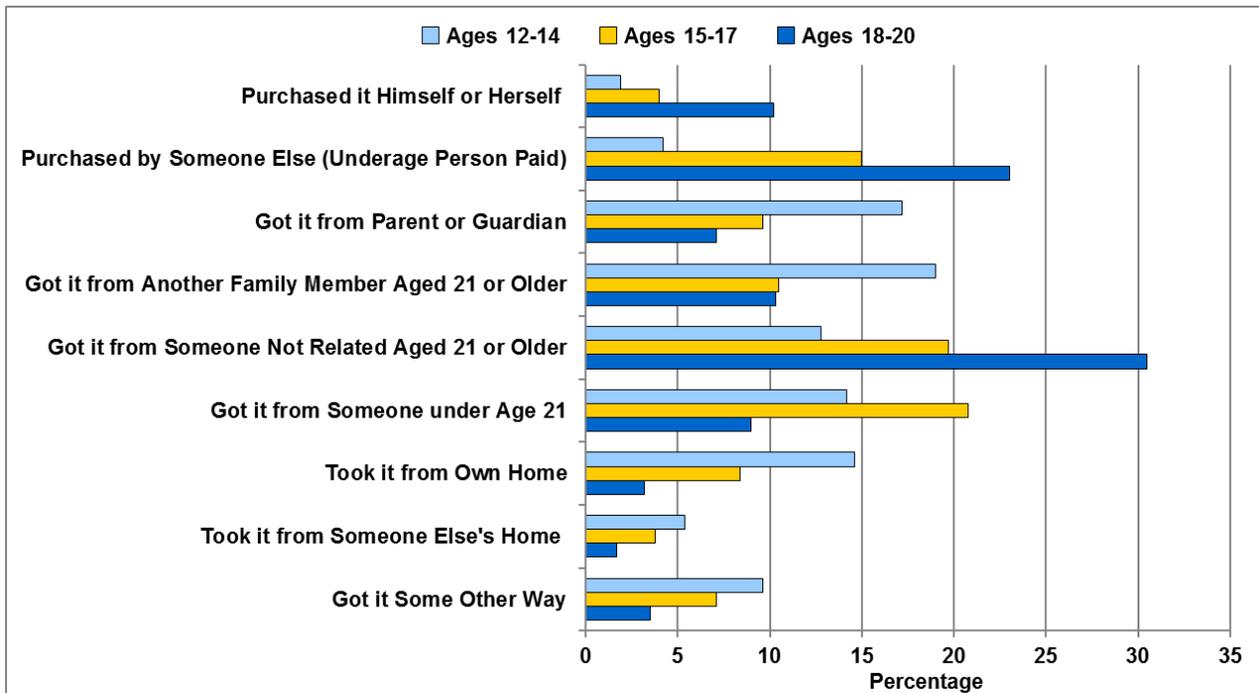
Alcohol is Available From a Variety of Sources

NSDUH divides sources of last alcohol use into two categories: the underage drinker paid (he or she purchased it or gave someone else money to do so) or did not pay (he or she received it for free from someone or took it from his or her own home or someone else’s home). Combined data from 2013 and 2014 show that among all underage current drinkers, 28.2 percent paid for alcohol the last time they drank (8.1 percent purchased the alcohol themselves; 19.9 percent gave money to someone else to do so). Those who paid for alcohol themselves consumed more drinks on their last drinking occasion (average of 5.2 drinks) than those who did not (average of 3.5 drinks). This difference is at least partially explained by the fact that older underage drinkers are more likely to pay for alcohol and to drink more.

Among all underage drinkers, 71.8 percent did not pay for the alcohol the last time they drank. A total of 26.7 percent were given alcohol for free by an unrelated person age 21 or older, 8.2 percent got the alcohol from a parent or guardian, 10.7 percent got it from another family member age 21 or older, and 5.1 percent took it from their own homes.

The most common sources of alcohol varied substantially by age as shown in Exhibit 2.15. For youths ages 12 to 14, the most common sources were receiving it free from another family member age 21 or older (19.0 percent) or from a parent or guardian (17.2 percent). For youths ages 15 to 17, the most common sources were receiving it free from someone under age 21 (20.8 percent) or from an unrelated person age 21 or older (19.7 percent) and giving somebody else money to purchase the alcohol (15.0 percent).

Exhibit 2.15: Source of Last Alcohol Used Among Past-Month Alcohol Users Ages 12–20, by Age Group: 2013–2014 (CBHSQ, 2015c)



Among 18- to 20-year-olds, most current drinkers either received alcohol for free from an unrelated person age 21 or older (30.5 percent) or gave someone else money to purchase the alcohol (23.0 percent; CBHSQ, 2015c). Older underage people were more likely to have paid for alcohol themselves (either purchasing it themselves or paying someone else to purchase it) on their last drinking occasion: 33.4 percent of 18- to 20-year-olds did so, compared with 19.3 percent of 15- to 17-year-olds and 6.4 percent of 12- to 14-year-olds. Male underage drinkers were more likely to have paid for alcohol themselves on their last drinking occasion (33.9 percent) than their female counterparts (22.3 percent; CBHSQ, 2015c).²⁸

Enforcement of furnishing laws (see Chapter 4) is one key to reducing youth access to alcohol. Flewelling and colleagues (2013), in a multi-community study, found significant associations between the level of underage drinking law enforcement in the intervention communities and reductions in both 30-day use of alcohol and binge drinking.

Exposure of Underage Populations to Messages Regarding Alcohol in Advertising and Entertainment Media

To date, the Federal Trade Commission (FTC) has conducted four formal studies of the exposure of those under 21 to alcohol advertising.

- *1999 FTC Alcohol Report:* In 1999, FTC reported that the voluntary codes of the alcohol industry permitted alcohol advertising in media where as little as 50 percent of the audience was of legal age. Only half the companies studied were able to show that nearly all of their ads reached a majority legal-age audience; the other half either provided data showing that a substantial portion of their ads did not comply with the 50 percent guideline or failed to obtain the data needed to evaluate their code compliance. Noting that the 50 percent standard permitted alcohol advertising to reach large numbers of underage consumers, FTC recommended that the industry raise the placement standard and measure compliance against reliable up-to-date audience composition data.²⁹
- *2003 FTC Alcohol Report:* FTC's 2003 review reported that more than 99 percent of the radio, television, and magazine advertising budgets for alcohol brands whose target audience included 21-year-olds were expended in compliance with the 50 percent placement standard. FTC also announced that the alcohol industry had agreed to amend its voluntary codes to require that adults over 21 constitute at least 70 percent (thus reducing the permissible underage percentage to 30 percent) of the audience for television, magazine, and radio ads, based on reliable data. To facilitate compliance, the revised codes of the beer and spirits industries required members to conduct periodic post-placement audits and promptly remedy any identified problems.³⁰
- *2008 FTC Alcohol Report:* In 2008, FTC published its third study of alcohol advertising, evaluating compliance with the 70 percent placement standard and other matters relating to underage exposure. Data showed that 92.5 percent of advertising placements complied with

²⁸ More detailed information can be found in the special report by Pemberton et al. (2008).

²⁹ For more information, see *Self-Regulation in the Alcohol Industry* (FTC, 1999), available at <https://www.ftc.gov/reports/self-regulation-alcohol-industry-federal-trade-commission-report-congress>.

³⁰ For more information, see *Alcohol Marketing and Advertising* (FTC, 2003), available at <http://www.ftc.gov/os/2003/09/alcohol08report.pdf>.

the 70 percent standard; furthermore, because placements that missed the target were concentrated in smaller media, more than 97 percent of total alcohol advertising “impressions” (individual exposures to advertising) were due to placements that complied with the standard. When advertising exposure data were aggregated across companies and measured media, 86.2 percent of the alcohol advertising audience consisted of legal-age adults.³¹

- *2014 FTC Alcohol Report*: This fourth FTC study of alcohol advertising evaluated industry compliance in the first half of 2011, with the self-regulatory code requirement that ads be placed only in media in which at least 70 percent of the audience is adult (age 21 plus).³² Data showed that 93.1 percent of the companies’ placements in measured media met the 70 percent standard. (Measured media refers to TV, radio, magazine, newspaper, and Internet websites whose audience characteristics, including age, are measured by demographic services.) When data were aggregated across companies and media, 85.4 percent of alcohol advertising impressions (individual ad exposures) were seen by adults age 21 plus, while 14.6 percent were seen by underage persons. With regard to TV, when data were aggregated across companies, 85.3 percent of impressions were seen by adults 21 plus, while 14.7 percent were seen by underage persons. The overall audiences for major social media (Facebook, Twitter, and YouTube) exceed 70 percent age 21 plus; Facebook further limits alcohol ad viewing to people who previously registered as 21 plus, and Twitter and YouTube offer age-gating technologies. The report also evaluated product placement in entertainment media. In mid-2011, the industry adopted a 71.6 percent adult audience composition standard for future ad placements (reflecting 2010 U.S. Census data on the percentage of the population age 21 plus).

Although evidence of a causal relationship is lacking, other research indicates that youth exposure to alcohol advertising is associated with initiation of alcohol consumption by youth and with increased alcohol consumption by youth who drink. A systematic review showed that of 13 longitudinal research studies examined, 12 studies demonstrated an association between youth exposure to alcohol advertising and the initiation of alcohol consumption by youth as well as increased alcohol consumption by youth who had already initiated alcohol use (Anderson, Bruijn, Angus, Gordon, & Hastings, 2009).

During 2001–2009, youth exposure to alcohol advertising on television in the United States increased 71 percent. This is largely attributable to increased alcohol advertising on cable television programs, particularly by distilled spirits companies (Jernigan, Ross, Ostroff, McKnight-Eily, & Brewer, 2013). In 2009, 13 percent of youth exposure came from advertising that was noncompliant with the industry’s voluntary placement standards (CAMY, 2010; Jernigan et al., 2013).

Youth Drinking is Correlated With Adult Drinking Practices

Generational transmission has been widely hypothesized as one factor shaping the alcohol consumption patterns of young people. Whether through genetics, social learning, or cultural

³¹ For more information, see *Self-Regulation in the Alcohol Industry* (FTC, 2008), available at <http://www.ftc.gov/os/2008/06/080626alcoholreport.pdf>.

³² For more information, see *Self-Regulation in the Alcohol Industry* (FTC, 2014), available at <http://www.ftc.gov/reports/self-regulation-alcohol-industry-report-federal-trade-commission-0>.

values and community norms, researchers have repeatedly found a correlation between youth drinking practices and those of their adult relatives and other community adults. Nelson, Naimi, Brewer, and Nelson (2009) demonstrated this relationship at the population (state) level. State estimates of youth and adult current drinking and binge drinking from 1993 through 2005 were significantly correlated when pooled across years. Xuan and colleagues (2013) analyzed YRBS data from 1999 to 2009 and found a positive correlation between state-level adult binge drinking and youth binge drinking. A 5 percentage point increase in binge-drinking prevalence among adults was associated with a 12 percent relative increase in the odds of alcohol use among youth. Paschall, Lipperman-Kreda, and Grube (2014) examined relationships between characteristics of the local alcohol environment and adolescent alcohol use and beliefs in 50 California cities. A greater increase in past-year alcohol use and heavy drinking over a 3-year period was observed among adolescents living in cities with higher levels of adult drinking. Stronger state alcohol policies directed to the general population (e.g., alcohol taxes and regulations on alcohol outlet density) are independently associated with less youth drinking, and the effect of these policies on youth drinking is mediated, in part, through their effects on adults (Xuan et al., 2015).

Despite Meaningful Progress, Underage Drinking Remains Unacceptably High

In 2014, MTF lifetime, annual, and 30-day measures of alcohol use were at historic lows over the life of the study in all three grades, as was the measure of binge drinking. Binge drinking among 8th, 10th, and 12th graders increased modestly in the 1990s, leveled off in the early 2000s, and then began a gradual decline in 2002. Declines have continued through the most recent data recorded in 2014, which marks the lowest levels for both drunkenness and alcohol use in all three grades measured by the MTF survey (Johnston, O'Malley, Miech, Bachman, & Schulenberg, 2015b, 2016).

Faden and Fay (2004) examined similar underage drinking data from NSDUH, MTF, and YRBS from 1990 to 2002. Trend analyses “show a pattern of relative stability or decreases in the late 1990s and early 2000s for all groups on all measures with the exception of daily drinking by 10th graders in MTF and drinking five or more drinks in a row by 10th graders in YRBS” (p. 1393). The authors continued: “These results considered together offer stronger support for the finding of stability or decrease in youth drinking prevalence in the past 10 years or so than results from any one survey do by themselves.” More recent analyses of the same data sources (Chen, Yi, & Faden, 2011) show continued declines in past-month and binge alcohol use through 2009.

These results are encouraging. Meaningful progress is being made. However, as the following sections demonstrate, the consequences of underage drinking remain a substantial threat to public health. From this perspective, the prevalence of alcohol use by people under age 21 remains unacceptably high.

Consequences and Risks of Underage Drinking

Underage drinking is a problem for individuals and society. Underage drinking is a threat to public health and safety, with profound consequences for youth, their families, and their communities. Underage drinking is responsible for more than 4,000 deaths annually among underage youth, as well as other health and social costs. Some of the health risks of underage drinking may manifest later in life. For example, underage drinking increases the risk of

developing alcohol use disorder and can produce lingering deficits in cognitive functions. Other risks include suicide and homicide; physical and sexual assault; legal problems, such as being arrested for drunk driving or physically hurting someone while drunk; and impaired academic achievement.

Underage drinking also results in enormous economic costs. In 2010, almost \$24.3 billion (about 10 percent) of the total \$249.0 billion economic costs of excessive alcohol consumption were related to underage drinking (Sacks, Gonzales, Bouchery, Tomedi, & Brewer, 2015). It is estimated that 64.1 percent of underage drinking costs can be attributed to lost productivity; most of that is due to premature mortality from alcohol-attributable conditions involving underage youth (Bouchery, Harwood, Sacks, Simon, & Brewer, 2011).

Underage drinking not only imposes societal costs in its own right, but also, given the increased risk that those who drink at young ages will develop alcohol use disorders later in life (see below), contributes indirectly to the costs of excessive adult alcohol use.

Underage drinking is a complex problem that results in a range of adverse short- and long-term consequences. The following sections describe some of these negative consequences, which include the negative effects of alcohol consumption on underage drinkers and consequences for those around them (referred to as secondary effects of underage alcohol use).

Driving After Drinking

The greatest mortality risk for underage drinkers is motor vehicle crashes. In 2014, of the 1,717 drivers ages 15 to 20 who were killed in motor vehicle traffic crashes:

- 451 (26 percent) had a BAC of 0.01 or higher.
- 85 (5 percent) of all fatally injured drivers this age had a BAC of 0.01 to 0.07 g/dL.
- 366 (21 percent) of fatally injured drivers this age had a BAC of 0.08 g/dL or higher (National Center for Statistics and Analysis, 2015).

The distribution of fatalities in motor vehicle traffic crashes involving a 15- to 20-year-old driver with a BAC of 0.08 g/dL or higher by person type in 2014 is shown in Exhibit 2.16.

Relative to adults, young people who drive after drinking have an increased risk of alcohol-related crashes, because of their increased impairment from a given amount of alcohol and perhaps because of their relative inexperience behind the wheel. One study found that a BAC of 0.08 g/dL rendered adult drivers in all age and gender groups 11 times more likely than sober drivers to die in a single-vehicle crash. In a classic paper, Zador (1991) reported that in 16- to 20-year-olds, a BAC of 0.08 g/dL rendered male drivers 52 times more likely and female drivers 94 times more likely than sober gender-matched drivers the same age to die in a single-vehicle fatal crash.

The 2014 NSDUH survey provided data on the number of youth by age who reported driving after drinking at least once in the past year (Exhibit 2.17; CBHSQ, 2015b). As shown in the exhibit, this behavior increases steadily with age. O'Malley and Johnston (2013) reported longitudinal data for high school seniors (previous 2 weeks) on driving after drinking any alcohol and after five or more drinks and on being a passenger when the driver has had any alcohol and has had five or more drinks (Exhibit 2.18).

Exhibit 2.16: Distribution of Fatalities in Motor Vehicle Traffic Crashes Involving a 15- to 20-Year-Old Driver with a BAC of 0.08 or Higher by Person Type in 2014 (National Center for Statistics and Analysis, 2015)

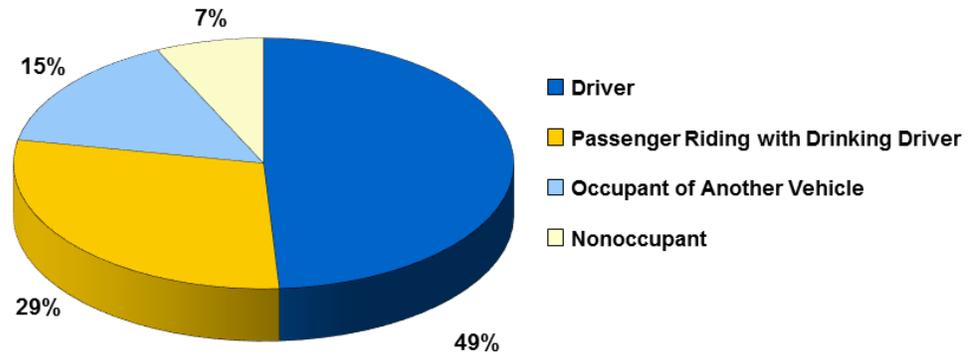


Exhibit 2.17: Percentage of Drivers Ages 16–20 Reporting Driving After Drinking At Least Once in the Past Year by Age: 2014 (CBHSQ, 2015b)

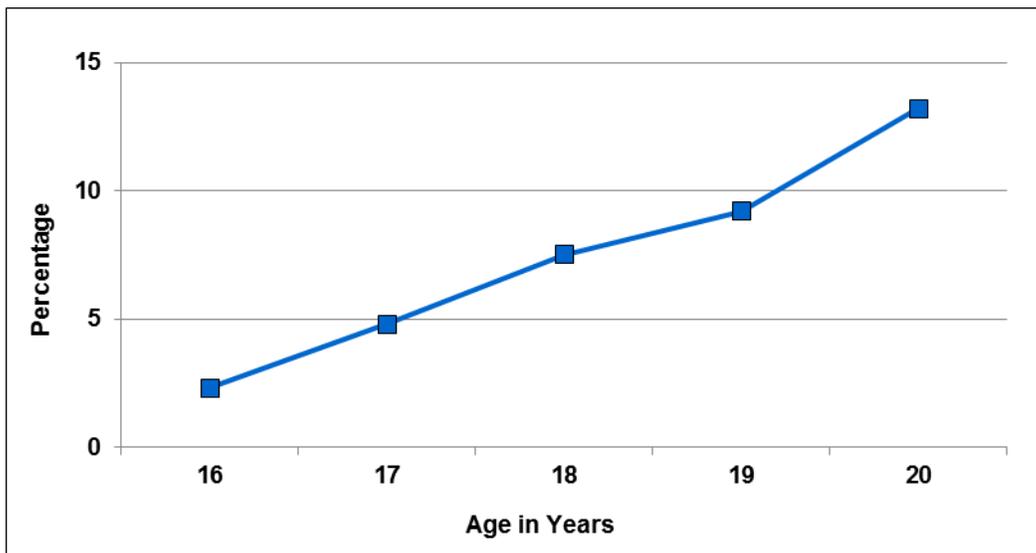
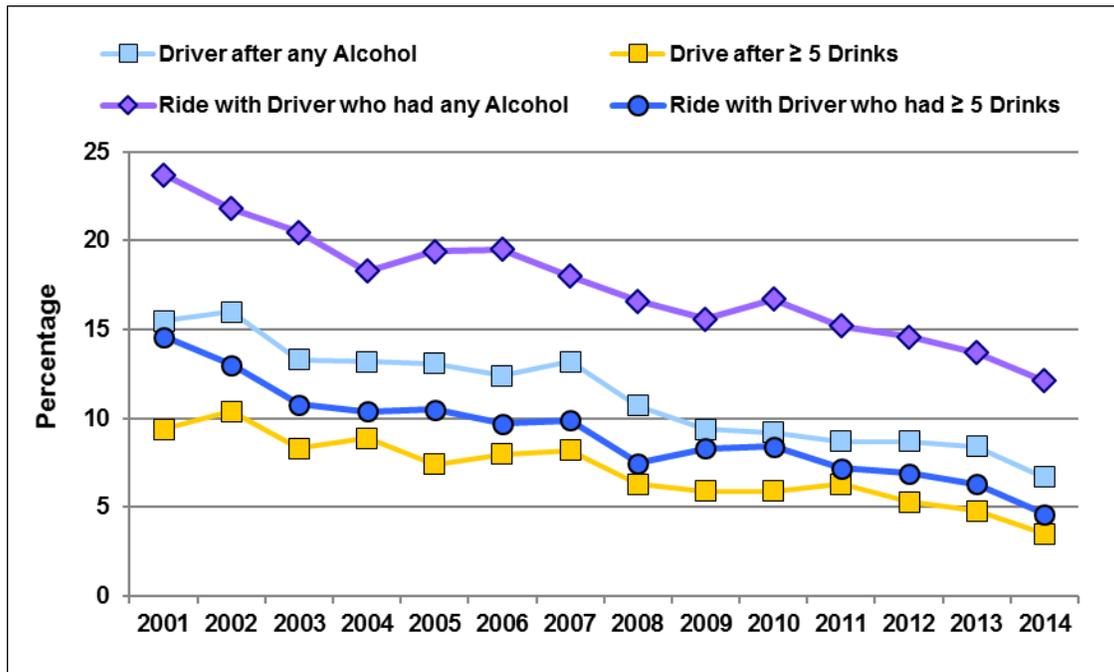


Exhibit 2.18 shows that all four of these behaviors have declined in the last decade, but they remain unacceptably high, especially given the risks associated with driving after even small amounts of alcohol (see above). Males were more than twice as likely as females to report driving after five or more drinks, a finding replicated in other studies (CDC, 2014b; Quinn & Fromme, 2012a). Very high percentages of high school seniors who drove after drinking five or more drinks experienced consequences. O’Malley and Johnston (2013) reported that 43.2 percent received a ticket or warning and 30.2 percent were involved in a crash.

An obvious but underappreciated fact is that access to cars is a prerequisite for this behavior (see Klitzner, Vegega, & Gruenewald, 1988). O’Malley and Johnston (2013) addressed this directly: high school seniors who drive more frequently are more likely to drive after drinking. The behavior is also associated with factors that may relate to access to cars and driving frequency.

Exhibit 2.18: Trends in Percentage of 12th Graders Reporting Driving after Alcohol Use or Riding after Alcohol Use by the Driver (O'Malley & Johnston, 2013)

These include living off-campus (Quinn & Fromme, 2012b), spending more evenings out (O'Malley & Johnston, 2013), higher socioeconomic status, and driving someone's car without permission (Delcher, Johnson, & Maldonado-Molina, 2013). Graduated driver's license (GDL) policies (see Chapter 4) limit the extent to which young people drive and the conditions under which they drive. "Use/lose" policies revoke driving privileges among young people convicted of an alcohol offense. Cavazos-Regh and colleagues (2012) found that students in states with strong GDL laws and the most restrictive "use/lose" laws were significantly less likely to report driving after drinking.

A number of policy approaches (see Chapter 4) have been shown to reduce driving after drinking and associated mortality and morbidity among youth. Chief among these is the age 21 MLDA. Two reviews of the research on the age 21 MLDA concluded that this policy reduces injuries and saves lives, even though the law is imperfectly enforced and widely disobeyed (DeJong & Blanchette, 2014; McCartt, Hellinga, & Kirley, 2010). Fell, Fisher, Voas, Blackman, and Tippetts (2009) found that the age 21 MLDA was associated with a 16 percent decline in the ratio of drinking to nondrinking drivers under age 21 involved in fatal crashes, after controlling for a number of other state-level traffic safety and alcohol-related policies.

Another study that examined the effects of a wide variety of laws designed to reduce driving after drinking found significant effects of underage purchase and consumption laws and laws related to the production and use of false identification (Fell, Fisher, Voas, Blackman, & Tippetts, 2008). Cavazos-Regh and colleagues (2012) used 1999–2009 YRBS data to examine the impact of GDL and "use/lose" laws on drinking and driving behaviors of youth ages 16 to 17. Restrictive GDL laws and "use/lose" laws were associated with decreased driving after drinking any alcohol and decreased riding in a car with a driver who had been drinking alcohol.

Other Leading Causes of Death in Youth

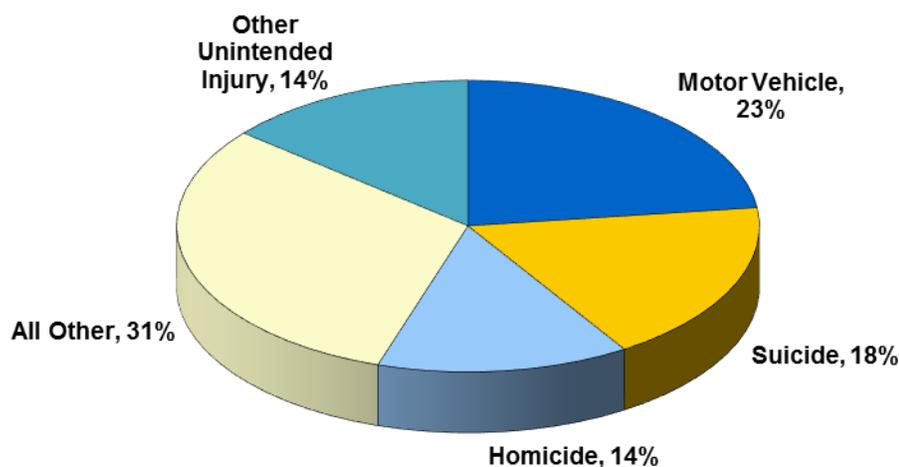
In addition to contributing to motor vehicle crashes, underage drinking contributes to all major causes of fatal and nonfatal trauma experienced by young people. Suicide, other unintentional injuries, and homicide, along with motor vehicle traffic crashes, are the four leading causes of death among youths ages 12 to 20 (Exhibit 2.19).

In 2013, 2,105 youths ages 12 to 20 died from unintentional injuries from causes other than motor vehicle crashes, such as poisoning, drowning, falls, and burns (CDC, 2015b). Research suggests that about 40 percent of these deaths were attributable to alcohol (Smith, Branas, & Miller, 1999).

Data from 17 states show that among people who died by suicide who were ages 10 to 19 (all of whom were under the legal drinking age in the United States) and were tested, 12 percent had BACs >0.08 g/dL (Crosby, Espitia-Hardman, Hill, & Ortega, 2009). One study (Smith et al., 1999) estimated that, for the population as a whole, nearly one third (31.5 percent) of homicides and almost a quarter (22.7 percent) of suicides were attributable to alcohol (i.e., involved a deceased person with a BAC of 0.10 g/dL or greater). Another study focusing on youth suicide estimated that 9.1 percent of hospital-admitted suicide acts by those under age 21 involved alcohol, and of those cases, 72 percent were attributable to alcohol (Miller, Levy, Spicer, & Taylor, 2006).

Police and child protective services records suggest that those under age 21 commit 30 percent of murders, 31 percent of rapes, 46 percent of robberies, and 27 percent of other assaults (Miller et al., 2006). As the authors note, relying on victim reports rather than agency records would yield higher estimates. For the population as a whole, an estimated 50 percent of violent crime is related to alcohol use by the perpetrator (Harwood, Fountain, & Livermore, 1998). The degree to which violent crimes committed by those under 21 are alcohol related is yet unknown.

Exhibit 2.19: Leading Causes of Death for Youth Ages 12–20: 2013 (CDC, 2014a)



Years of Potential Life Lost Due to Alcohol

People under age 21 who die as a result of alcohol use lose an average of 60 years of potential life (CDC, 2015a). By comparison, each person who dies from cancer loses an average of 15 years of life, and each person who dies from heart disease loses an average of 11 years of life (Ries et al., 2003), because these are primarily diseases of older adults.

Potential Brain Impairment

Adverse effects on normal brain development are a potential long-term risk of underage alcohol consumption. Neurobiological research suggests that adolescence may be a period of unique vulnerability to the effects of alcohol. For example, early heavy alcohol use may have negative effects on the actual physical development of the brain structure of adolescents (Brown & Tapert, 2004) as well as on brain functioning. Negative effects indicated by neuropsychological studies include decreased ability in planning, executive functioning, memory, spatial operations, and attention, all of which play important roles in academic performance and future levels of functioning (Brown, Tapert, Granholm, & Dellis, 2000; Giancola & Mezzich, 2000; Tapert & Brown, 1999; Tapert et al., 2001; Winward, Hanson, Bekman, Tapert, & Brown, 2014).

As Brown and colleagues (2000) noted, these deficits may put alcohol-dependent adolescents at risk for falling farther behind in school, putting them at an even greater disadvantage relative to nonusers. Some of these cross-sectional findings are supported by longitudinal analyses (Squeglia, Jacobus, & Tapert, 2009). A 10-year prospective study (Hanson, Medina, Padula, Tapert, & Brown, 2011) found that having a history of heavy alcohol or other substance use during adolescence appears to be more important in determining cognitive deficits than whether or not individuals continued to have substance-related problems into their mid-twenties.

The Adolescent Brain Cognitive Development (ABCD) study, launched in 2015, is expected to provide information on the factors that contribute to adolescent alcohol abuse and its long-term effects on brain development and associated life outcomes. The ABCD study is the “largest long-term study of brain development and child health in the United States,” according to the study website (<http://abcdstudy.org/>). The study will enroll about 10,000 children ages 9 and 10 at 19 research institutions across the country and follow them into early adulthood for 10 years. Researchers will use noninvasive neuroimaging and cognitive, academic, social, emotional, and biological assessments to determine how childhood experiences interact with each other and with children’s changing biology to affect brain development and other outcomes.”

An initiative at the National Institutes of Health (NIH), Collaborative Research on Addiction at NIH (CRAN), is leading the ABCD study in partnership with other NIH Institutes. CRAN comprises the National Institute on Drug Abuse (NIDA), the National Institute on Alcohol Abuse and Alcoholism (NIAAA), and the National Cancer Institute (NCI).

Risky Sexual Activity

According to the *SG’s Call to Action*, underage drinking plays a significant role in risky sexual behavior, including unwanted, unintended, and unprotected sexual activity as well as sex with multiple partners. Such behavior increases the risk for unplanned pregnancy and for contracting sexually transmitted diseases, including infection with HIV, the virus that causes AIDS (Cooper & Orcutt, 1997). When pregnancies occur, underage drinking may result in fetal alcohol

spectrum disorders, including fetal alcohol syndrome, which remains a leading cause of intellectual disabilities (Jones, Smith, Ulleland, & Streissguth, 1973; Stratton, Howe, & Battaglia, 1996; Warren & Bast, 1988). A review article by Nolen-Hoeksema cited a number of studies suggesting that underage drinking by both victim and assailant increases the risk of physical and sexual assault (Abbey, 2011; Nolen-Hoeksema, 2004).

Impaired Academic Performance

In general, cross-sectional studies have found that students who do poorly in school drink more than students whose school performance is better (Bryant, Schulenberg, O'Malley, Bachman, & Johnston, 2003). For example, students who report binge drinking are three times more likely to report earning mostly Ds and Fs on their report cards than non-binge drinkers (Miller, Naimi, Brewer, & Jones, 2007).

However, the evidence from longitudinal studies is less clear cut, and in some cases the data suggest that academic failure leads to increased drinking rather than the reverse. Using data from the Youth Development Study (Mortimer, 2003), Owens, Shippee, and Hensl (2008) tracked a panel of youth from their freshman to senior years in high school. The authors failed to find a significant link across the high school years between increased drinking and diminishing academic performance.

A 1-year longitudinal analysis of middle school and high school students using the National Longitudinal Study of Adolescent Health found that, independent of consumption levels, students who drank experienced modest declines (one-tenth of a letter grade) in academic achievement (Crosnoe, Muller, & Frank, 2004). Using a similar design, Crosnoe (2006) found a stronger association between number of classes failed and later alcohol use than between alcohol use and academic performance. Academic failure appeared to lead to increased drinking through weakened bonds that traditionally control problem behavior, especially bonding to teachers. Interestingly, both Mortimer (2003) and Owens and colleagues (2008) found that increasing GPAs were associated with increasingly frequent drinking occasions. The authors speculated that good grades may bring a measure of parental freedom.

Renna (2008) tracked educational attainment and alcohol use at ages 19 and 25 among two cohorts of people 18 years old in 1982 and 1983, using data from the National Longitudinal Survey of Youth. Binge drinking in the senior year of high school reduced the probability of receiving a high school diploma and increased the probability of graduating later in life with a general education development diploma (and hence realizing lowered earning potential). Also of interest, the study found that increases in the MLDA increased the probability of people graduating by age 19 by 5.3 percentage points.

Increased Risk of Developing an Alcohol Use Disorder Later in Life

Early-onset alcohol use, alone and in combination with escalated drinking in adolescence, has been noted as a risk factor for developing alcohol-related problems in later life (Agrawal et al., 2009; Dawson et al., 2008; Hingson, Heeren & Winter, 2006; Hingson & Zha, 2009; Pitkänen, Lyyra, & Pulkkinen, 2005; York, Welte, Hirsch, Hoffman, & Barnes, 2004). Grant and Dawson (1997) found that more than 40 percent of people who initiated drinking before age 13 met

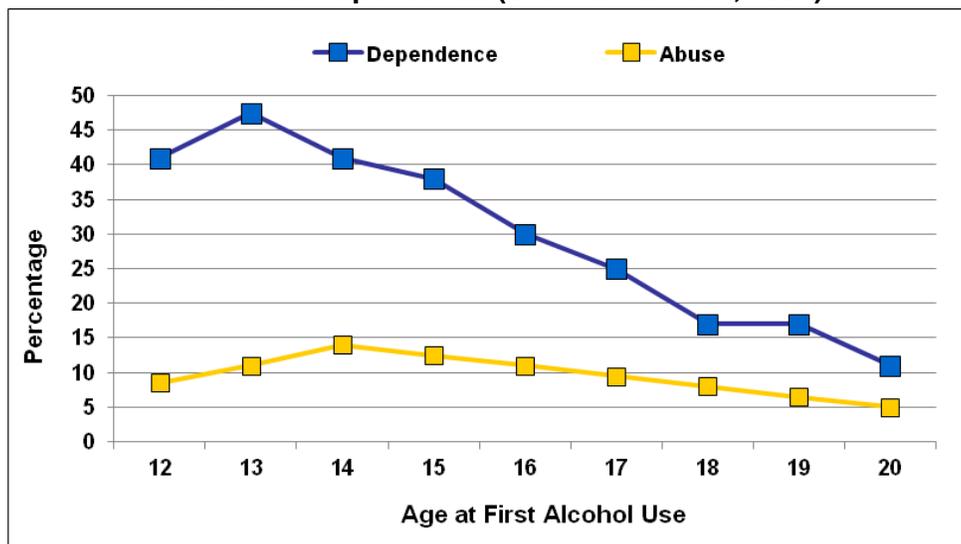
diagnostic criteria for alcohol dependence at some time in their lives.³³ By contrast, alcohol dependence rates among those who started drinking at ages 17 and 18 were 24.5 percent and 16.6 percent, respectively (Exhibit 2.20). Data from the 2009–2011 NSDUH suggested a similar relationship between age of initiation and development of alcohol-related problems. Only 10 to 11 percent of people who started drinking at age 21 or older met the criteria.

The onset of alcohol consumption in childhood or early adolescence is a marker for later use of drugs, drug dependence, and drug-related crash involvement (Hermos et al., 2008; Hingson, Heeren, & Edwards, 2008). Use of both alcohol and marijuana or alcohol, marijuana, and cigarettes before age 16 is associated with a spectrum of young adult substance use problems, as well as substance use disorder diagnoses (Moss, Chena, & Yi, 2014).

Adults who started drinking at age 14 were three times more likely to report driving after drinking too much ever in their lives than were those who began drinking after age 21. Crashes were four times as likely for those who began drinking at age 14 as for those who began drinking after age 21 (Hingson, Heeren, Levenson, Jamanka, & Voas, 2001).

Many young people are neither asked by medical providers about their drinking nor advised to reduce or stop drinking. A study of 10th graders found that in the past month, 36 percent reported drinking, 28 percent reported binge drinking, and 23 percent reported drunkenness. Of those who saw a physician in the past year (82 percent), 54 percent were asked about drinking, 40 percent were advised about related harms, and 17 percent were advised to reduce or stop. Frequent drinkers, binge drinkers, and those drunk were more often advised to reduce or stop. Nonetheless, only 25 percent of them received that advice from physicians. In comparison,

Exhibit 2.20: Ages of Initiation and Levels of DSM Diagnoses for Abuse and Dependence (Grant & Dawson, 1997)



³³ As noted above, the criteria for alcohol-related disorders in the DSM-V (APA, 2013) do not specifically address adolescents.

36 percent of frequent smokers, 27 percent of frequent marijuana users, and 42 percent of frequent other drug users were advised to reduce or quit those behaviors (Hingson, Zha, Ianotti, & Simons-Morton, 2013).

Underage Drinking: A Developmental Phenomenon

As the Acting Surgeon General wrote in the introduction to the *Call to Action*:

...the latest research also offers hopeful new possibilities for prevention and intervention by furthering our understanding of underage alcohol use as a developmental phenomenon—as a behavior directly related to maturational processes in adolescence. New research explains why adolescents use alcohol differently from adults, why they react uniquely to it, and why alcohol can pose such a powerful attraction to adolescents, with unpredictable and potentially devastating outcomes.

This understanding of underage alcohol use as a developmental phenomenon is one of the major themes of the *SG's Call to Action* and is an important concept in this report.

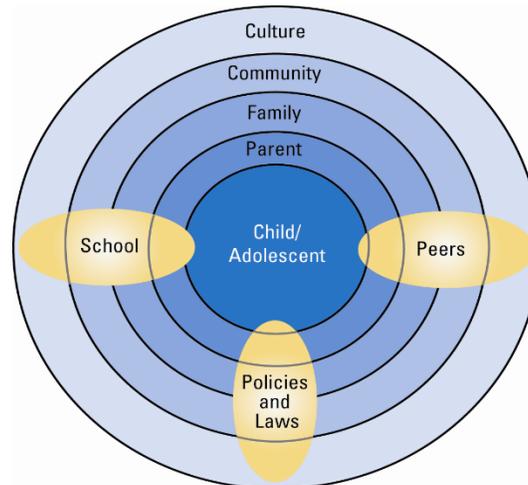
Adolescence is the period between the onset of puberty³⁴ and the assumption of adult roles. It is a time of particular vulnerability to alcohol use and its consequences for a variety of developmental reasons, some specific to the individual and others related to the biological and behavioral changes produced by adolescence itself. In addition, alcohol can present a special allure to some adolescents for social, genetic, psychological, and cultural reasons. Recent advances in the fields of epidemiology, developmental psychopathology, human brain development, and behavioral genetics have provided new insights into adolescent development and its relationship to underage alcohol use.

Adolescent alcohol consumption is a complex behavior influenced by multiple factors, including the normal maturational changes that all adolescents experience; the various social and cultural contexts in which adolescents live (e.g., family, peers, school); genetic, psychological, and social factors specific to each adolescent; and environmental factors that influence availability and appeal of alcohol (e.g., enforcement of underage alcohol policies, marketing practices, media exposure). Biological factors internal to the adolescent (such as genes and hormones) interact with factors external to the adolescent (such as peers, school, and the overall culture) in determining whether and to what extent the adolescent will use alcohol. Internal and external factors influence each other in reciprocal ways as the adolescent's development unfolds over time. Youths are not uniformly at risk for alcohol consumption; neither are they uniformly at risk over the span of their own adolescence.

An important aspect of understanding the adolescent attraction to alcohol, as well as the means by which its use can be prevented or reduced, is appreciating the significant influence of the many social systems in which adolescents operate. These different social systems both influence adolescents and are, in turn, influenced by adolescents (Bronfenbrenner, 1979). As shown in Exhibit 2.21, these systems include the adolescent's family, peers, school, extracurricular and community activities, sports teams and clubs, religious institutions, other diverse organizations with which the adolescent interacts, part-time work, the community itself, the culture, and even influences from around the world accessed through the internet and other electronic resources.

³⁴ For the purpose of this report, puberty is defined as a sequence of events by which a child becomes a young adult characterized by secretions of hormones, development of secondary sexual characteristics, reproductive functions, and growth spurts.

**Exhibit 2.21: Systems That Influence Adolescent Behavior
(Office of the Surgeon General, 2007)**



Each social system exposes the adolescent to both positive and negative influences, potentially increasing or decreasing the adolescent’s risk of alcohol use. These multiple systems interact and may reinforce or counteract each other. Exhibit 2.21 represents the multiple systems in which adolescents are embedded. Their relative influences vary across development.

Each system may affect an adolescent’s decision to use alcohol. To protect adolescents properly from alcohol use, parents and other adults must be involved in multiple social systems as individuals, citizens, and voters. By understanding the roles these systems play in teenagers’ lives and by acting strategically on the basis of established and emerging research, parents, other adults, and the nation can reduce the risk and consequences of underage alcohol use.

An understanding of underage alcohol use as a developmental phenomenon sheds significant light on the particular vulnerabilities of adolescents to alcohol use, as well as protective measures likely to prevent and reduce underage drinking. Some of the most important developmental findings included in the *SG’s Call to Action* are discussed below.

The Developing Adolescent Brain

During adolescence, dramatic changes to the brain’s structure, neuron connectivity (“wiring”), and physiology occur (Restak, 2001). These changes affect everything from emerging sexuality to emotionality and judgment. However, not all parts of the brain mature at the same time. Differences in maturational timing across the brain can result in impulsive decisions or actions, disregard for consequences, and emotional reactions that can lead to alcohol use or otherwise put teenagers at serious risk.

Stress and Adolescent Transitions

The physical effects of puberty create dramatic changes in the sexual and social experiences of maturing adolescents that require significant psychological and social adaptation, creating stress that may contribute to increased consumption of alcohol during the adolescent period (Tschann et al., 1994). In graduating from elementary to middle school, from middle to high school, and

from high school to college or the workplace, adolescents face new stressors. Research shows a link between stress and alcohol consumption. For example, research on nonhuman primates shows that adolescent monkeys double their alcohol intake under stress and that excessive alcohol consumption is related to changes in stress hormones and serotonin (Barr, Schwandt, Newman, & Higley, 2004).

Personality Traits

Studies of adolescent drinking have repeatedly failed to find specific sets of personality traits that uniquely predict alcohol use in adolescents. Nonetheless, research does show that adolescents who use alcohol heavily or have alcohol use disorders exhibit certain shared personality traits (also shared by some adolescents who do not abuse alcohol). High levels of impulsiveness, aggression, conduct problems, novelty seeking (Gabel, Stallings, Schmitz, Young, & Fulker, 1999), low harm avoidance (Jones & Heaven, 1998), and other risky behaviors in childhood and early adolescence may be associated with future heavy alcohol use and alcohol use disorders (Soloff, Lynch, & Moss, 2000).

Mental Disorders

Depression and anxiety are risk factors for alcohol problems, because some people drink to cope with internal distress. Adolescents with defined mental disorders have significantly elevated rates of alcohol and other drug use problems. Because many young people are involved not only with alcohol but also with other substances, and may also have a co-occurring mental disorder, interventions should be designed to address this complexity.

Family and Parental Influence

Children whose families include individuals who abuse alcohol are at increased risk for alcohol dependence throughout their lives. Genes account for more than half the risk for alcohol dependence; environmental factors account for the rest. However, no single gene accounts for the majority of risk. Development of a complex behavioral disorder, such as alcohol dependence, likely depends on specific genetic factors interacting with one another, multiple environmental factors, and the interaction between genetic and environmental factors. Research suggests that genes have a stronger influence on the development of problematic use, whereas environment seems to play a greater role in initiation of use (Rhee et al., 2003). The current college environment may increase the likelihood that people with genetic predispositions to alcohol use disorders will have those predispositions expressed (Timberlake et al., 2007).

Parental monitoring and parental attitudes and perceptions about drinking (such as seeing underage drinking as a rite of passage) have been shown to be very important influences on underage drinking. Studies have found that some parenting practices have proven beneficial in reducing adolescent alcohol use (Beck, Boyle, & Boekeloo, 2003; Ennet et al., 2001; Resnick et al., 1997; Watkins, Howard-Barr, Moore, & Werch, 2006). Parental monitoring, communication, and emotional support have a positive effect on adolescent alcohol use and are predictive of reduced adolescent alcohol problems (Ennet et al., 2001; Wood, Read, Mitchell, & Brand, 2004). At least one study suggests that parental disapproval of any alcohol use during high school is correlated with reduced alcohol use in college (Abar, Abar, & Turrisi, 2009). Some parents believe that providing alcohol to their children at home under supervision will lead to more moderate drinking practices. However, a meta-analysis of 22 studies found that parental

provision of alcohol was associated with increased adolescent alcohol use, heavy episodic drinking, and higher rates of alcohol problems (Kaynak, Winters, Cacciola, Kirby, & Arria, 2014). The data were equivocal that parental provision is protective in the face of other risks.

Sensitivity to Effects of Alcohol Use

Animal research indicates that adolescents in general are more sensitive than adults to the stimulating effects of alcohol and less sensitive to some of the aversive effects of acute alcohol intoxication, such as sedation, hangover, and ataxia (loss of muscular coordination; Doremus, Brunell, Varlinskaya, & Spear, 2003; Little, Kuhn, Wilson, & Swartzwelder, 1996; Silveri & Spear, 1998; Varlinskaya & Spear, 2004; White et al., 2002; for review, see Spear, 2000, and Spear & Varlinskaya, 2005). This differing sensitivity may make adolescents more vulnerable to certain harmful effects of alcohol use. For example, adolescents are able to drink more than adults (who might pass out or be inclined to go to sleep) and therefore are more likely than adults to initiate activities when they are too impaired to perform them competently, such as driving. They are also more likely to drink to the point of coma. Also, in the case of driving, each drink increases impairment more for adolescents than for adults (Hingson & Winter, 2003). Children whose parents abuse alcohol may be at even greater risk for excessive drinking, resulting from a combination of genetic and developmental factors that lower their sensitivity to alcohol.

These issues are reviewed in detail in “Underage Drinking: Understanding and Reducing Risk in the Context of Human Development,” a special supplement of the journal *Pediatrics* (2008).

Intervening Amidst Complexity

Underage alcohol use is a highly complex phenomenon driven by a variety of interacting factors. A developmental approach to preventing and reducing underage alcohol use takes into account these complex forces and factors that determine an adolescent’s decision to use or not use alcohol. Complex interactions among biological, social, cultural, and environmental factors evolve as maturation proceeds; thus, the same adolescent at age 13 and later at age 17 will have different developmental needs and require different protective structures and skills to avoid using alcohol. To further complicate matters, periods of rapid transition, reorganization, and growth spurts alternate with periods of quiet and consolidation—all within a changing social context. A developmental approach to prevention and reduction of underage drinking recognizes the importance of all environmental and social systems that affect adolescents, as well as adolescents’ maturational processes and individual characteristics.

An advantage of understanding underage alcohol use as a developmental phenomenon is the unique insight it provides into risk and protective factors. Although the problem of underage drinking is complex, it is not insurmountable. A developmental approach makes clear the need for a coordinated national effort to prevent and reduce underage drinking and for the active involvement of both public and private sectors as well as parents, other caregivers, and other adults. Success in solving a public health and safety problem as complex as underage drinking will require the engagement of every American—as the *SG’s Call to Action* states—“in a national effort to address underage drinking early, continuously, and in the context of human development. Underage alcohol use is everybody’s problem—and its solution is everybody’s responsibility.”

Conclusion

As the data in this chapter demonstrate, characteristics of underage drinking, such as age of initiation, current usage, and amounts consumed have fluctuated over the years. There is cause for some optimism, as the average age of first use has slowly risen while binge-drinking rates show a gradual decline. Nevertheless, the overall rates of underage drinking remain unacceptably high, with the ability of youth to gain access to alcohol remaining relatively easy, particularly during the college years. The risks associated with this access are profound, resulting in traffic fatalities, injuries, suicides and homicides, and risky sexual behavior, as well as adverse effects on brain development and academic performance.

CHAPTER 3

A Coordinated Federal Approach to Preventing and Reducing Underage Drinking

The 2006 Sober Truth on Preventing Underage Drinking (STOP) Act records the sense of Congress that “a multi-faceted effort is needed to more successfully address the problem of underage drinking in the United States. A coordinated approach to prevention, intervention, treatment, enforcement, and research is key to making progress. This Act recognizes the need for a focused national effort, and addresses particulars of the federal portion of that effort as well as federal support for state activities.”

A Coordinated Approach

The congressional mandate to develop a coordinated approach to prevent and reduce underage drinking and its adverse consequences recognizes that alcohol consumption by those under 21 is a serious, complex, and persistent societal problem with significant financial, social, and personal costs. Congress also recognizes that a long-term solution will require a broad, deep, and sustained national commitment to reducing the demand for, and access to, alcohol among young people. That solution will have to address not only the youth themselves but also the larger society that provides a context for that drinking and in which images of alcohol use are pervasive and drinking is seen as normative.

The national responsibility for preventing and reducing underage drinking involves government at every level: institutions and organizations in the private sector, colleges and universities, public health and consumer groups, the alcohol and entertainment industries, schools, businesses, parents and other caregivers, other adults, and adolescents themselves. This section of the present report, although equally inclusive, nonetheless focuses on the activities of the Federal Government and its unique role in preventing and reducing underage drinking. Through leadership and financial support, the Federal Government can influence public opinion and increase public knowledge about underage drinking; enact and enforce relevant laws; fund programs and research that increase understanding of the causes and consequences of underage alcohol use; monitor trends in underage drinking and the effectiveness of efforts designed to reduce demand, availability, and consumption; and lead the national effort.

All Interagency Coordinating Committee on the Prevention of Underage Drinking (ICCPUD) agencies and certain other federal partners continue to contribute their leadership and vision to the national effort to prevent and reduce underage alcohol use. Each participating agency plays a role specific to its mission and mandate. For example, the National Institute on Alcohol Abuse and Alcoholism (NIAAA), part of the National Institutes of Health (NIH), supports biomedical and behavioral research on the prevalence and patterns of alcohol use and misuse across the lifespan and of alcohol-related consequences—including alcohol use disorder (AUD); injuries; and effects on prenatal, child, and adolescent development. This body of research includes studies on alcohol epidemiology, metabolism and health effects, genetics, neuroscience, prevention, and treatment. NIAAA and the Centers for Disease Control and Prevention (CDC) provide the research to promote an understanding of the serious nature of underage drinking and its consequences.

In general, the Substance Abuse and Mental Health Services Administration (SAMHSA), the National Highway Traffic Safety Administration (NHTSA), and the U.S. Department of Education (ED) conduct programs to reduce underage demand for alcohol, and the U.S. Department of Justice (DoJ), through its Office of Juvenile Justice and Delinquency Prevention (OJJDP), works to reduce underage consumption of and access to alcohol, as well as the

availability of alcohol itself. SAMHSA, CDC, and NIAAA conduct surveillance that gathers the latest data on underage alcohol use and the effectiveness of programs designed to prevent and reduce it. NHTSA, CDC, SAMHSA, NIAAA, and the National Institute on Drug Abuse (NIDA) gather data on adverse consequences. As these agencies interact with one another, the activities and expertise of each inform and complement the others, creating a synergistic, integrated federal program for addressing underage drinking in all its complexity.

Federal Agencies Involved in Preventing and Reducing Underage Drinking

Multiple federal agencies are involved in preventing and reducing underage drinking. Each currently sponsors programs that address underage alcohol consumption, and each is a member of ICCPUD. The agencies and their primary roles related to underage drinking are as follows:

1. **U.S. Department of Health and Human Services (HHS)/Administration for Children and Families (ACF):** ACF is responsible for federal programs that promote the economic and social well-being of families, children, individuals, and communities. Many of these programs strengthen protective factors and reduce risk factors associated with underage drinking. Website: <http://www.acf.hhs.gov>
2. **HHS/Office of the Assistant Secretary for Planning and Evaluation (ASPE):** ASPE is the principal advisor to the HHS Secretary on policy development and is responsible for major activities in policy coordination, legislation development, strategic planning, policy research, evaluation, and economic analysis. The Division of Behavioral Health (DBH) and Intellectual Disabilities Policy focuses on financing, access/delivery, organization, and quality of services and supports for individuals with severe and persistent mental illnesses or severe addictions and individuals with intellectual disabilities. Topics of interest include coverage and payment issues in Medicaid, Medicare, and private insurance; quality and consumer protection issues; programs and policies of the Centers for Medicare and Medicaid Services (CMS), SAMHSA, and the Health Resources and Services Administration (HRSA) as they affect individuals with mental and substance use disorders; and prevention of mental health conditions and substance abuse, including prevention of underage drinking. Website: <http://www.aspe.hhs.gov>
3. **HHS/Centers for Disease Control and Prevention (CDC):** CDC's mission is to promote health and quality of life by preventing and controlling disease, injury, and disability. Consistent with that mission, CDC is involved in strengthening the scientific foundation for the prevention of underage and binge drinking. This includes assessing the problem through public health surveillance and epidemiological studies of underage drinking and its consequences. CDC also evaluates the effectiveness of prevention policies and programs and examines underage drinking as a risk factor through programs that address health problems such as injury and violence, sexually transmitted diseases, and fetal alcohol spectrum disorders (FASDs). CDC trains new researchers in alcohol epidemiology and builds state public health system capacity. CDC also conducts systematic reviews of what works to prevent alcohol-related injuries and harms. Website: <http://www.cdc.gov>
4. **HHS/Indian Health Service (IHS):** IHS is responsible for providing federal health services to American Indians and Alaska Natives. IHS is the principal federal health care provider and health advocate for American Indians and Alaska Natives, and its goal is to raise their health status to the highest possible level. IHS provides a comprehensive health service

delivery system for approximately two million American Indians and Alaska Natives who belong to 566 federally recognized tribes in 36 states. Website: <http://www.ihs.gov>

5. **HHS/National Institutes of Health (NIH)/National Institute on Alcohol Abuse and Alcoholism (NIAAA):** NIAAA provides leadership in the effort to reduce alcohol-related problems by conducting and supporting alcohol-related research; collaborating with international, national, state, and local institutions, organizations, agencies, and programs; and translating and disseminating research findings to health care providers, researchers, policymakers, and the public. Website: <http://www.niaaa.nih.gov>
6. **HHS/NIH/ National Institute on Drug Abuse (NIDA):** NIDA’s mission is to “advance science on the causes and consequences of drug use and addiction and to apply that knowledge to improve individual and public health.” NIDA supports most of the world’s research on the health aspects of drug abuse and addiction and carries out programs that ensure rapid dissemination of research to inform policy and improve practice. Website: <http://www.drugabuse.gov>
7. **HHS/Office of the Assistant Secretary for Health (OASH) – Office of Disease Prevention and Health Promotion (ODPHP), Office of the Surgeon General (OSG), and Office of Adolescent Health (OAH):**

Several ODPHP-led initiatives address underage drinking. The Substance Abuse Topic Area of Healthy People 2020 initiative monitors measures for underage alcohol consumption, including binge drinking and riding with drivers who consumed alcohol. Healthfinder.gov offers reliable guidance for consumers on how parents can talk with their kids about the dangers of alcohol. Additionally, the *Dietary Guidelines for Americans* provide guidance on alcohol consumption, including policies from other agencies on who should not drink. Websites: <http://www.healthypeople.gov>, <http://www.health.gov>, <http://health.gov/dietaryguidelines>

The Surgeon General (SG), the nation’s chief health educator, provides Americans with the best available scientific information on how to improve their health and reduce the risk of illness and injury. The OSG oversees the approximately 6,000-member Commissioned Corps of the U.S. Public Health Service and assists the SG with other duties. Website: <http://www.surgeongeneral.gov>

OAH supports and evaluates the evidence-based Teen Pregnancy Prevention program, implements the Pregnancy Assistance Fund, coordinates HHS efforts related to adolescent health, and communicates adolescent health information to health professionals and groups. OAH is also the convener and catalyst for the development of a national adolescent health agenda. Website: <http://www.hhs.gov/ash/oah>

- **HHS/ Substance Abuse and Mental Health Services Administration (SAMHSA):** SAMHSA’s mission is to reduce the impact of substance abuse and mental illness on America’s communities. SAMHSA works toward underage drinking prevention by supporting state and community efforts, promoting the use of evidence-based practices (EBPs), educating the public, and collaborating with other agencies and interested parties. Website: <http://www.samhsa.gov>
- **Department of Defense (DoD):** DoD coordinates and oversees government activities relating directly to national security and military affairs. Its alcohol-specific role involves preventing and reducing alcohol consumption by underage military personnel and improving

the health of Service members' families by strengthening protective factors and reducing risks factors in underage alcohol consumption. Website: <http://www.defense.gov>

8. **Department of Education (ED)/Office of Safe and Healthy Students (OSHS):** OSHS administers, coordinates, and recommends policy to improve the effectiveness of programs providing financial assistance for drug and violence prevention activities and for activities that promote student health and well-being in elementary and secondary schools and institutions of higher education. Activities may be carried out by state and local educational agencies or other public or private nonprofit organizations. OSHS supports programs that prevent violence in and around schools; prevent illegal use of alcohol, tobacco, and drugs; engage parents and communities; and coordinate with related federal, state, school, and community efforts to foster safe learning environments that support student academic achievement. Website: <http://www2.ed.gov/about/offices/list/oese/oshs/aboutus.html>
9. **U.S. Department of Justice (DoJ), Office of Juvenile Justice and Delinquency Prevention (OJJDP):** OJJDP provides national leadership, coordination, and resources to prevent and respond to juvenile delinquency and victimization. OJJDP supports states and communities in their efforts to develop and implement effective, coordinated prevention and intervention programs and to improve the juvenile justice system's ability to protect public safety, hold offenders accountable, and provide treatment and rehabilitation services tailored to the needs of juveniles and their families. OJJDP's central underage drinking prevention initiative, Enforcing Underage Drinking Laws (EUDL), was a nationwide state- and community-based multidisciplinary effort that sought to prevent access to and consumption of alcohol by those under age 21, with a special emphasis on enforcement of underage drinking laws and implementation programs that use best and most promising practices. The breadth of focus changed significantly in Fiscal Year (FY) 2014 because of a reduction in funding for the EUDL initiative. FY 2014 EUDL funding supported underage drinking activity led by Healing to Wellness Courts in five selected tribes. By FY 2015, all funding to support EUDL efforts was discontinued.
10. **Department of the Treasury/Alcohol and Tobacco Tax and Trade Bureau (TTB):** TTB's mission is to collect the taxes on alcohol, tobacco, firearms, and ammunition; protect the consumer by ensuring the integrity of alcohol products; and prevent unfair and unlawful market activity for alcohol and tobacco products. Website: <http://www.ttb.gov>
11. **Department of Transportation (DOT)/ National Highway Traffic Safety Administration (NHTSA):** NHTSA's mission is to save lives, prevent injuries, and reduce traffic-related health care and other economic costs. NHTSA develops, promotes, and implements effective educational, engineering, and enforcement programs to reduce traffic crashes and resulting injuries and fatalities and reduce economic costs associated with traffic crashes, including underage drinking and driving crashes. Website: <http://www.nhtsa.gov>
12. **Federal Trade Commission (FTC):** FTC is the only federal agency with both consumer protection and competition jurisdiction in broad sectors of the economy; in total, it has enforcement or administrative responsibilities under 70 laws. As the enforcer of federal truth-in-advertising laws, the agency monitors alcohol advertising for deceptive or unfair practices, brings law enforcement actions in appropriate cases, and conducts studies of alcohol industry compliance with self-regulatory commitments. Website: <http://www.ftc.gov>

13. Office of National Drug Control Policy (ONDCP): The principal purpose of ONDCP is to establish policies, priorities, and objectives for the nation’s drug control program. The goals of the program are to reduce illicit drug use, manufacturing, and trafficking; drug-related crime and violence; and drug-related health consequences. Part of ONDCP’s efforts relate to underage alcohol use. Website: <http://www.whitehouse.gov/ondcp>

The following section highlights current initiatives to prevent and reduce underage drinking and its consequences. Further details about departmental and agency programs to prevent and reduce underage drinking appear later in this chapter under “Inventory of Federal Programs for Underage Drinking by Agency.”

How Federal Agencies and Programs Work Together

The STOP Act of 2006 requires the HHS Secretary, on behalf of ICCPUD, to submit an annual Report to Congress summarizing “all programs and policies of federal agencies designed to prevent and reduce underage drinking.” ICCPUD aims to increase coordination and collaboration in program development among member agencies so that the resulting programs and interventions are complementary and synergistic. For example, the Town Hall Meetings held in 2006, 2008, 2010, 2012, and 2014 were held in every state, the District of Columbia, and most of the territories, and they are an effective way to raise public awareness of underage drinking as a public health problem and mobilize communities to take action. At these meetings, communities used CDC, NHTSA, NIAAA, and NIDA statistics, videos, and other resources produced by SAMHSA and training materials developed by OJJDP through the EUDL program. ICCPUD agency members recommend grantees and other community-based organizations as event hosts and encourage them to make use of ICCPUD agency resources to create comprehensive action plans for community change.

A Commitment to Evidence-Based Practices

At the heart of any effective national effort to prevent and reduce underage drinking are reliable data on the effectiveness of specific prevention and reduction efforts. With limited resources available and human lives at stake, it is critical that professionals use the most time- and cost-effective approaches known to the field. Traditionally, efficacy has been ensured through practices that research has proven to be effective instead of those based on convention, tradition, folklore, personal experience, belief, intuition, or anecdotal evidence. The term for practices validated by documented scientific evidence is evidence-based practices or EBPs.

Despite broad agreement regarding the need for EBPs, there is currently no consensus on the precise definition of an EBP. Disagreement arises not from the need for evidence, but from the kind and amount of evidence required for validation. The gold standard of scientific evidence is the randomized controlled trial, but it is not always possible to conduct such trials. Many strong, widely used, quasi-experimental designs have and will continue to produce credible, valid, and reliable evidence—these should be relied on when randomized controlled trials are not possible. Practitioner input is a crucial part of this process and should be carefully considered as evidence is compiled, summarized, and disseminated to the field for implementation.

The IOM, for example, defines an EBP as one that combines the following three factors: best research evidence, best clinical experience, and consistency with patient values (IOM, 2001). The American Psychological Association adopted a slight variation of this definition for the field

of psychology, as follows: EBP is “the integration of the best available research with clinical expertise in the context of patient characteristics, culture, and preferences” (APA Presidential Task Force on Evidence-Based Practice, 2006).

The federal government does not provide a single, authoritative definition of EBPs, yet the general concept of an EBP is clear: some form of scientific evidence must support the proposed practice, the practice itself must be practical and appropriate given the circumstances under which it will be implemented and the population to which it will be applied, and the practice must have a significant effect on the outcome(s) to be measured. For example, OSHS requires that its grantees use EBPs in the programs they fund, and NHTSA has produced a publication titled “Countermeasures That Work” for use by State Highway Safety Offices (SHSOs) and encourages SHSOs to select countermeasure strategies that have either proven effective or shown promise.

National Registry of Evidence-Based Programs and Practices

SAMHSA developed the National Registry of Evidence-Based Programs and Practices (NREPP; <http://www.nrepp.samhsa.gov>), a searchable database of interventions for the prevention and treatment of mental and substance use disorders that have been reviewed and rated by independent reviewers. The purpose of this registry is to assist the public in identifying approaches to preventing and treating mental and substance use disorders that have been scientifically tested and that can be readily disseminated to the field. NREPP is one way that SAMHSA is working to improve access to information on tested interventions and thereby reduce the lag time between the creation of scientific knowledge and its practical application in the field. In addition to helping the public find evidence-based interventions, SAMHSA and other federal agencies use NREPP to inform grantees about EBPs and to encourage their use. The NREPP database is not an authoritative list; SAMHSA does not approve, recommend, or endorse the specific interventions listed therein. Policymakers in particular should avoid relying solely on NREPP ratings as a basis for funding or approving interventions. Nevertheless, NREPP provides useful information and ratings of interventions to assist individuals and organizations in identifying those practices that may address their particular needs and match their specific capacities and resources. As such, NREPP is best viewed as a starting point for further investigation regarding interventions that may work well and produce positive outcomes for a variety of stakeholders. As of fall 2013, more than 300 programs were evaluated by NREPP and posted on the NREPP website.

Guide to Community Preventive Services (Community Guide)

CDC supports the use of an evidence-informed approach for its broad range of recommendations, guidelines, and communications. This approach calls for transparency in reporting the evidence that was considered and requires that the path leading from the evidence to the recommendations or guidelines be clear and well described, regardless of the strength of the underlying evidence or the processes used in their development. The Guide to Community Preventive Services (Community Guide) provides the model for CDC’s evidence-informed approach (<http://www.thecommunityguide.org>).

Under the auspices of the independent, nonpartisan, nonfederal, unpaid Community Preventive Services Task Force, the reviews found on the Community Guide website systematically assess

all available scientific evidence to determine the effectiveness of population-based public health interventions and the economic benefit of all effective interventions. The Community Preventive Services Task Force reviews the combined evidence; makes recommendations for practice and policy; and identifies gaps in existing research to ensure that practice, policy, and research funding decisions are informed by the highest quality evidence.

CDC's Alcohol Program works with The Community Guide, SAMHSA, NIAAA, and other partner organizations on systematic reviews of population-based interventions to prevent excessive alcohol consumption, including underage and binge drinking and related harms. To date, the Community Preventive Services Task Force has reviewed the effectiveness of various community-based strategies for preventing underage and binge drinking, including limiting alcohol outlet density, increasing alcohol excise taxes, dram shop liability, limiting days and hours of alcohol sales, electronic screening and brief intervention (e-SBI) for alcohol misuse, enhancing enforcement of minimum legal drinking age (MLDA) laws, lowering blood alcohol concentration (BAC) laws for younger drivers, and offering school-based instructional programs for preventing drinking and driving and for preventing riding with drunk drivers.

Strategies recommended by the Community Preventive Services Task Force for preventing excessive alcohol consumption include:

- **Promoting dram shop liability**, which allows the owner or server of a retail alcohol establishment where a customer recently consumed alcoholic beverages to be held legally responsible for the harms inflicted by that customer.
- **Increasing alcohol taxes**, which, by increasing the price of alcohol, is intended to reduce alcohol-related harms, raise revenue, or both. Alcohol taxes are implemented at the state and federal levels and are beverage-specific (i.e., they differ for beer, wine, and spirits).
- **Maintaining limits on days of sale**, which is intended to prevent excessive alcohol consumption and related harms by regulating access to alcohol. Most policies limiting days of sale target weekend days (usually Sundays).
- **Maintaining limits on hours of sale**, which prevents excessive alcohol consumption and related harms by limiting the hours of the day during which alcohol can legally be sold.
- **Regulating alcohol outlet density** to limit the number of alcohol outlets in a given area.
- **Using e-SBI** to reduce excessive alcohol consumption and related harms, which use electronic devices (e.g., computers, telephones, mobile devices) to facilitate delivery of key elements, including (1) screening individuals for excessive drinking and (2) delivering a brief intervention, which provides personalized feedback about the risks and consequences of excessive drinking.
- **Recommending against privatization of retail alcohol sales**, because privatization results in increased per capita alcohol consumption, a well-established proxy for excessive alcohol consumption. Further privatization of alcohol sales in settings with current government control of retail sales is recommended against.
- **Enhancing enforcement of laws prohibiting sales to minors** by initiating or increasing the frequency of retailer compliance checks for laws against the sale of alcohol to minors in a community.

The Community Preventive Services Task Force also recommends the following interventions for preventing alcohol-impaired driving:

- **0.08 percent BAC and above laws**, making it illegal for a driver’s BAC to equal or exceed 0.08 percent.
- **Lower BAC laws for young or inexperienced drivers**, which apply to all drivers under age 21. Among states, the illegal BAC level for young drivers ranges from any detectable BAC to 0.02 percent.
- **Maintain current MLDA laws**, which specify an age below which the purchase or public consumption of alcoholic beverages is illegal. In the United States, the age in all states is 21 years.
- **Publicized sobriety checkpoint programs**, where law enforcement officers stop drivers to assess their level of alcohol impairment, which are publicized in advance.
- **Mass media campaigns** intended to reduce alcohol-impaired driving and designed to persuade individuals to either avoid drinking and driving or prevent others from doing so.
- **Multicomponent interventions with community mobilization**, in which communities implement multiple programs and policies in multiple settings to influence the community environment to reduce alcohol-impaired driving.
- **Ignition interlocks**, devices that can be installed in motor vehicles to prevent operation of the vehicle by a driver who has a BAC above a specified level (usually 0.02 to 0.04 percent).
- **School-based instructional programs** to reduce alcohol-impaired driving and riding with alcohol-impaired drivers.

More information on these recommended interventions for preventing alcohol-impaired driving can be found at <http://www.thecommunityguide.org>.

Underage Drinking–Related Goals

The HHS Healthy People 2020 program provides science-based, national, 10-year objectives for improving health. It was developed by the Federal Interagency Workgroup, which includes representatives from numerous federal departments and agencies. SAMHSA and NIH served as co-leaders in developing Healthy People 2020 objectives for substance abuse, including underage drinking.³⁵

A number of the programs listed below in “Inventory of Federal Programs for Underage Drinking by Agency” will advance the following Healthy People 2020 objectives related to underage drinking:

- Increase the number of adolescents who have never tried alcohol
- Increase the proportion of adolescents who disapprove of having one or two alcoholic drinks nearly every day and who perceive great risk in binge drinking
- Reduce the number of underage drinkers who engage in binge drinking
- Reduce the proportion of adolescents reporting use of alcohol or any illicit drugs during the past 30 days
- Reduce the proportion of adolescents who report that they rode, during the previous 30 days, with a driver who had been drinking alcohol

A smaller set of Healthy People 2020 objectives called Leading Health Indicators has been selected to communicate high-priority health issues and actions that can be taken to address

³⁵ For details regarding these objectives, go to: <http://www.healthypeople.gov/2020/topicsobjectives2020/objectiveslist.aspx?topicId=40>

them. These include the following indicator for underage drinking: “Adolescents using alcohol or any illicit drugs during the past 30 days.” For more information on Healthy People 2020, please go to <http://www.healthypeople.gov/2020/topicsobjectives2020>.

Inventory of Federal Programs for Underage Drinking by Agency

As required by the STOP Act, this section of the report summarizes major initiatives under way throughout the federal government to prevent and reduce underage alcohol use in America.

Interagency Coordinating Committee on the Prevention of Underage Drinking (ICCPUD)

Activities Specific to Underage Drinking

ICCPUD, established in 2004 at the request of the HHS Secretary and made permanent in 2006 by the STOP Act, guides policy and program development across the federal government with respect to underage drinking. The Committee is composed of representatives from DoD, ED/OSHS, FTC, HHS/ACF, HHS/ASPE, HHS/CDC, HHS/IHS, HHS/NIH/NIAAA, HHS/NIH/NIDA, HHS/OASH/OSG, HHS/SAMHSA, DoJ/OJJDP, DOT/NHTSA, ONDCP, and Treasury/TTB. (See Appendix A for a list of ICCPUD members.)

Town Hall Meetings: Beginning in 2006 and every 2 years since, ICCPUD—with SAMHSA as the lead agency—has supported Town Hall Meetings to prevent underage drinking. During each round, community-based organizations have held events in every state, the District of Columbia, and some of the U.S. territories. In 2014, more than 1,300 Town Hall meetings were held nationwide. In 2015, no Town Hall Meetings to prevent underage drinking were funded. The next biennially funded round of Town Hall Meetings will occur in 2016. SAMHSA, nevertheless, continued its substantial supports for past Town Hall Meeting event host organizations by providing a series of periodic electronic newsletters addressing emerging issues, promoting availability of resources, and providing tips for implementing evidence-based underage drinking prevention strategies. Strategic planning for the impending 2016 round of Town Hall Meetings took place throughout 2015. In preparation for the 2016 cycle, SAMHSA also optimized the Town Hall Meetings web section based on feedback from users in 2015.

SAMHSA supports event organizers with a growing portfolio of online resources for planning, promoting, hosting, and evaluating their events. For the 2015 initiative, SAMHSA offered three webinar trainings in implementing underage drinking prevention at the local level: “Preventing Substance Abuse in the Middle Level,” “Happy Hour Restrictions From Theory to Practice,” and “Restricting Alcohol Outlet Density From Theory to Practice.”

During 2014, SAMHSA incorporated responsive design technology into the Town Hall Meetings web section. Responsive design technology enables users of any device with an internet connection to easily access content and have it automatically reformat to the screen of the device being used. This enhancement complies with the White House’s *Digital Government: Building a 21st Century Platform to Better Serve the American People*.

Messages: To strengthen the national commitment to prevent and reduce underage drinking, it is important that federal agencies convey the same messages at the same time. Therefore, the leadership of the ICCPUD agencies will continue to:

- Increase efforts to highlight in speeches and meetings across the country the need to prevent underage drinking and its negative consequences.
- Ensure that members of the Administration are speaking with a common voice on the issue.
- Reinforce the messages that ICCPUD has developed.
- Use a coordinated marketing plan to publicize programs, events, research results, and other activities and efforts that address underage drinking.

Support the Minimum Drinking Age: Agency leadership will continue to develop and use messaging that supports a 21-year-old drinking age and will promote this in speeches and message points.

Materials and Technical Assistance: ICCPUD has collected information on underage drinking prevention materials developed by participating agencies. This inventory is being used to strengthen each agency's efforts to provide high-quality and timely information and to help avoid unnecessary duplication of effort. In addition, ICCPUD has collected information on each agency's technical assistance activities, facilitating coordination of effort when possible.

Interagency Coordinating Committee on the Prevention of Underage Drinking (ICCPUD)

Web Portal: SAMHSA, on behalf of ICCPUD, maintains a web portal dedicated to the issue of underage drinking (<http://www.stopalcoholabuse.gov>) that consolidates comprehensive research and resources developed by the federal ICCPUD agencies. The portal includes information on underage drinking statistics (i.e., prevalence, trends, and consequences), evidence-based approaches, and other resources and materials that support prevention efforts. Direct links are provided to federally supported websites designed to prevent substance abuse, including alcohol. Information is intended to serve all stakeholders (e.g., community-based organizations involved in prevention, policymakers, parents, youth, and educators). The portal also includes a section for the Town Hall Meeting initiative and its supporting resources.

During 2015, SAMHSA implemented upgrades to better feature new ICCPUD products, events, and developments. SAMHSA added 132 news and research summaries to the web portal reflecting the broad range of programs, products, services, initiatives, and research introduced or advanced by ICCPUD agencies throughout the year. The portal also includes a section for the Town Hall Meeting initiative and its supporting resources. SAMHSA optimized this section based on feedback from users in 2015 in preparation for the 2016 cycle. In December 2015, the web portal received an average of 1,230 visits per day, and the average time spent on the site was 6 minutes and 20 seconds.

Activities Related to Underage Drinking

None

Department of Defense (DoD)

Activities Specific to Underage Drinking

Youth Program: As one of the core areas for Military Youth Programs, health and life skills building develop young people's capacity to engage in positive behaviors that nurture their well-being, set personal goals, and facilitate living successfully as self-sufficient adults. Through affiliation with the Boys & Girls Clubs of America, nationally recognized programs such as

SMART Moves® (Skills Mastery and Resistance Training) help young people resist alcohol, tobacco, drugs, and premature sexual activity. SMART Moves features interactive, small-group activities that increase participants' peer support, enhance life skills, build resilience, and strengthen leadership skills. This year-round program, provided in Military Youth Programs worldwide, encourages collaboration among staff, youth, parents, and representatives from community organizations. The program's components are grouped to support youth ages 6–9, 10–12, and 13–15.

DoD Education Activity (DoDEA):

- *Health Education Curriculum:* Health education develops essential health literacy skills along with health promotion and disease prevention concepts. This enables students to obtain, interpret, and understand basic health information and services so that they may use such information and services to enhance their health and the health of others.
- *Red Ribbon Week:* Sponsored by the National Family Partnership, Red Ribbon Week provides DoDEA schools and families a perfect opportunity to discuss the dangers of drug abuse and the benefits of living a healthy and drug-free lifestyle. The Red Ribbon campaign is the oldest and largest drug prevention program in the nation, reaching millions of young people annually. Red Ribbon Week alcohol and drug prevention campaign activities bring schools, commands, and communities together in DoDEA to raise awareness of the dangers of alcohol, tobacco, and drugs and encourage prevention, early intervention, and treatment services.
- *Substance Abuse and Violence Prevention:* The DoDEA Health Education Content Standards focus on achievement of health literacy for all students and are aligned to the National Health Education Standards. Basic to health education is a foundation of knowledge about the interactions within the human body, the prevention of disease and other health problems, and the interrelationship between behavior and health. Health education encompasses the application of specific skills to concepts related to personal and community health; safety and injury prevention; nutrition and physical activity; mental health; alcohol, tobacco, and drugs; and family life and human sexuality.
- *Healthy Base Initiative (HBI):* The Office of Military Community and Family Policy and the Office of the Secretary of Defense launched the HBI at 14 pilot sites across the service branches. HBI is an outreach and behavioral change initiative designed to improve the health and well-being of members of the defense community, including service members, spouses, children, retirees, and DoD employees. DoDEA schools at the pilot locations are implementing healthy practices, which include substance abuse and tobacco-free living campaigns to make healthy behaviors a social norm.

Law Enforcement: DoD ensures installation-level enforcement of underage drinking laws on all federal installations. For underage active-duty members, serious consequences (such as productivity loss or negative career impact) are tracked via the Triennial Health-Related Behavior Survey.

Activities Related to Underage Drinking

DoD has engaged in a series of activities intended to re-energize substance use disorder prevention efforts, including universal, selective, and indicated prevention strategies. The placement of behavioral health personnel in primary care medical settings is intended to combat

stigma associated with receiving behavioral health care and provides an opportunity to improve early screening, identification, and intervention of many behavioral health conditions.

Active Duty Health-Related Behaviors (HRB) Survey: DoD conducts the HRB survey every 1 to 3 years to measure more than 17 HRB for active-duty military personnel. The survey develops population estimates on HRB, which include alcohol, illegal and prescription drug use, and tobacco use. Substance use data are collected, using standardized measures, on the age of first substance use, prevalence, binge use, and frequency of use. Substance abuse is examined with physical and mental health correlates, such as symptoms of pain, depression, anxiety, suicidal ideation, traumatic brain injury, and post-traumatic stress.

Alcohol Abuse Countermarketing Campaign: DoD's Defense Health Agency launched "That Guy" in 2006 as an integrated marketing campaign targeting military enlisted personnel ages 18 to 24 across all service branches. Based on research and behavior change marketing concepts, the campaign uses a multimedia, peer-to-peer approach to raise awareness of the negative short-term social consequences of excessive drinking. In doing so, "That Guy" promotes peer disapproval of excessive drinking and has helped lead to reductions in binge drinking. This campaign includes an award-winning desktop and mobile website, <http://www.thatguy.com>, as well as social media channels including Facebook and YouTube; online and offline public service announcements (PSAs); paid and pro bono billboard, print, and digital advertising; centrally funded promotional materials and support of special events; online instructional videos; an award-winning mobile game app; and a turnkey implementation plan and promotion schedule for military installation project officers.

This campaign is funded by Defense Health Plan Program Objective Memorandum FY2010–2015, but relies on commanders to support and local program managers to support and implement the campaign and deliver its messages to the target audience. Successfully engaging with the target audience, "That Guy" is now actively deployed around the world. Cumulative achievements to date include (DoD, 2015):

- An average time of 9:40 minutes per user on the "That Guy" website (<http://www.ThatGuy.com>)
- More than 51,000 "Likes" on Facebook
- More than 28,000 downloads of the "That Guy" Buzzed mobile game
- More than 4.6 million branded materials disseminated to all Services
- More than 6,800 points of contact (POCs) engaged across the globe
- Fifty states and 23 different countries with a "That Guy" campaign presence, including: United States, Afghanistan, Australia, Belgium, Portugal, Qatar, Africa, Egypt, Bahrain, Greece, Japan, Germany, Italy, Spain, Turkey, Singapore, Cuba, Guam, South Korea, Saudi Arabia, Honduras, United Kingdom, and Iraq
- Millions reached pro bono through video and radio PSAs broadcast around the world through Armed Forces Radio and Television Service, Army and Air Force Exchange Service, and community stations
- More than 162 site visits to military installations around the world
- Exhibits at 49 conferences for a total of 93 days spent exhibiting
- A total of 277 briefings to leadership and at conferences for POCs

Seventy-seven focus groups were conducted at 21 different installations across all service branches, both inside and outside the continental United States, obtaining input from a total of 621 members of the junior military audience.

Awards: “That Guy” has received 24 awards for excellence in categories that include poster and web design, animation, gaming, marketing, and research. Awards include the PR Week Public Sector Campaign of the Year, PR Week Best Use of Research-Measurement, Public Relations Society of America’s Bronze Anvil Award for Research/Evaluation, International AVA Digital Awards for Best Government Website, Mobile App and Social Media/Facebook, and Blue Pencil and Gold Screen Awards finalist in website category and winner in poster category.

Impact: Previous analyses of DoD Service member surveys, such as the Status of Forces Survey performed by the Defense Manpower Data Center, indicated that binge-drinking rates are lower at locations actively implementing the “That Guy” campaign. The next iteration of the Military Health System’s Health Related Behaviors Survey is slated for administration in late 2015/early 2016 and will provide the most current population-level data regarding binge-drinking among military personnel.

Service-Level Prevention Programs

Marine Corps Substance Abuse Program (SAP): The United States Marine Corps (USMC) Substance Abuse Program (SAP) provides plans, policies, and resources to prevent consequences of substance misuse that detract from unit performance and readiness. The USMC SAP uses a multifaceted, evidence-based approach to prevention and early intervention that promotes overall health and reduces the likelihood of substance misuse and underage drinking. Specific program efforts are based on IOM’s prevention continuum and focus on the common risk and protective factors framework. These efforts enhance the level of support that behavioral health stakeholders, commanders, and other leaders offer to Marines and their families by increasing the use of effective prevention programs; enhancing understanding of emerging and evolving trends in data; increasing efficiency through technological solutions; and developing evidence-based universal, selected, and indicated population training products. The USMC SAP’s alcohol misuse and underage drinking prevention and early intervention efforts include:

- ***Establishment of a Coordinated Continuum of Care:*** In November 2013, Navy Bureau of Medicine and Surgery and the USMC Marine and Family Programs signed a Memorandum of Understanding (MOU) establishing a formal continuum of coordinated mental illness and substance abuse prevention and care services.
- ***Universal Training:*** Unit Marine Awareness and Prevention Integrated Training (UMAPIT) educates all Marines at the unit level about behavioral health risk factors and warning signs, including alcohol use and misuse. UMAPIT incorporates protective factors and skill-building techniques that can protect against mental and substance use disorders. This training ensures that Marines understand their responsibility to intervene when a fellow Marine shows signs/symptoms of alcohol misuse and other behavioral health concerns. UMAPIT also strives to increase acceptance and practice of help-seeking behaviors, as well as willingness to refer and report behavioral health incidents. UMAPIT builds on universal concepts received throughout a Marine’s career through the overarching Marine Awareness and Prevention Integrated Training (MAPIT), which consists of tailored curricula for entry-level training and continuing education. The MAPIT Dashboard is a repository of additional

"selective" behavioral health training materials delivered based on the unit's needs through 30- to 45-minute topic-specific guided discussions.

- *Selected Training:* The Marine Corps adopted the evidence-based motivational intervention called "PRIME for Life" (PFL) as the USMC's educational program for substance misuse education. PFL 4.5 hours (PFL 4.5) teaches Marines to self-assess high-risk behaviors and influence changes in attitudes, beliefs, and behaviors around alcohol consumption. It is a selective prevention intervention strategy designed to target high-risk populations such as the 17- to 25-year-old Marine at risk for substance misuse. PFL (4.5) may be used by commanders to increase risk awareness and equip Marines with effective tools to promote readiness and mitigate high-risk choices.
- *Indicated Training:* PFL 16 hours (PFL 16.0) is an indicated prevention intervention strategy designed to target Marines who are actively making high-risk substance use choices. Marines enrolled in PFL 10.0 have been referred for substance misuse screening and assessment at the installation Substance Abuse Counseling Center (SACC) and may have incurred legal consequences (i.e., alcohol- or drug-related incident). PFL is an evidence-based curriculum facilitated by trained and certified prevention specialists who work for the installation SACC.
- *Deterrence:* The Alcohol Screening Program (ASP) initiated in 2013 is in support of the 21st Century Marine and Sailor Initiative. The Substance Abuse Prevention Program implements the ASP to identify alcohol misuse and direct appropriate intervention before any career or life-altering incidents occur. The ASP uses random Breathalyzer testing of Marines and Sailors to screen for underage drinking and alcohol use while in a duty status. Leadership support and Marine-to-Marine engagement at all levels of command are essential components when combating alcohol misuse. Breathalyzer testing enables commanders to test Marines and take appropriate actions related to their health and safety, including training, education, and referral to substance misuse counseling. Commanders counsel Marines who test positive and may refer them for training, education, and further screening at the SACC or to a "Fitness for Duty" examination at a Navy medical facility.
- *Case Identification and Treatment:* The USMC model supports an integrated approach while maintaining adherence to the scope of practice delineated in the aforementioned MOU. This model includes standardized screening instruments used in all USMC Behavioral Health Programs (e.g., substance abuse, family advocacy, and community counseling programs). Integrated screening enables clinicians across programs to screen and assesses Marines' presenting for services and make seamless referrals to appropriate resources as needed. This model employs warm hand-offs for referrals and emphasizes ease of access for Marines.
- *Substance Abuse Counseling Centers (SACCs):* USMC SACCs are fully accredited by the Commission on Accreditation of Rehabilitation Facilities, which promotes the quality, value, and optimal outcomes of services through a consultative accreditation process. SACCs are staffed with licensed independent practitioners who specialize in addictions treatment.
- *Collaboration with Sexual Assault Prevention and Response (SAPR):* SAP collaborates with SAPR to create effective prevention messaging in response to the correlation between alcohol and sexual assault. SAP and SAPR work together during Alcohol Awareness and Sexual Assault Awareness months using social media messaging and awareness campaigns to increase knowledge about the risks associated with alcohol misuse and sexual assault.

- **Installation-Specific Prevention Planning:** USMC SAP provides quarterly training to SACC staff (i.e., directors, substance abuse counselors, prevention specialists, drug demand reduction coordinators). Quarterly trainings address the development and implementation of comprehensive, installation-specific substance misuse prevention plans. SAP utilizes the Strategic Prevention Framework (SPF) developed by HHS, SAMHSA, to support the development of annual installation prevention plans. Training and integration of the SPF's five elements (assessment, capacity, planning, implementation, and evaluation) informs the development of an infrastructure to effectively reduce and sustain reduction in alcohol and substance misuse.

Every installation is required to have a data-driven and culturally responsive substance prevention plan that addresses the needs and risk factors associated with their specific location (to include the surrounding community and local businesses). Each installation's prevention program identifies on- and off-base collaborations with local communities and businesses (i.e., Semper Fit, Single Marine Program, local law enforcement, coalitions to include off-base stakeholders, local non-DoD schools participating in the Red Ribbon Campaign and Alcohol Awareness Month). Substance misuse prevention plans contain strategic and measurable initiatives requiring outreach and coordination with local community leaders and off-post businesses to mitigate risk factors related to prevention of alcohol misuse to include underage drinking.

Navy Alcohol and Drug Abuse Prevention (NADAP): The Navy's comprehensive substance abuse prevention program supports fleet readiness by combating alcohol and drug abuse. The Navy is committed to preventing substance abuse to enhance readiness, minimize lost workdays, and avoid impairments related to substance use disorders. The Navy's alcohol abuse prevention efforts have included the following: marketing responsible use, education and training, early intervention, substance abuse rehabilitation, and accountability.

- **Keep What You've Earned:** A campaign that seeks to encourage responsible drinking among sailors by celebrating the achievements in their Navy careers. Through recognition of their hard work and dedication, sailors are reminded of their accomplishments and how much they have to lose if they make poor choices regarding alcohol. The campaign actively engages sailors as advocates for responsible drinking. The campaign provides:
 - Tips for sailors on how to drink responsibly
 - Resources for Navy leadership on how to empower sailors to make responsible decisions and how to engage alcohol abuse prevention personnel
 - Marketing resources for alcohol and drug control officers and drug alcohol program advisors to display at each installation
 - Resources for partnering organizations and local communities to promote responsible drinking
 - Readily available multimedia materials for download, including posters and factsheets
- **Domino Strategy on How to Drink Responsibly:** A social marketing campaign that encourages sailors to pay attention to the size, content, and amount of alcohol they consume in each sitting. The strategy recommends that sailors follow responsible drinking guidelines defined by HHS. The campaign is designed to help people who drink alcohol to reduce their risk of harming themselves or others.

- The campaign promotes the 0-1-2 guidelines on how to drink responsibly. Zero drinks for people who are under 21, operating any type of vehicle, pregnant, trying to become pregnant or breastfeeding, recovering alcoholics or chemically dependent, and using certain medications. No more than one standard drink per day for women, and no more than two standard drinks per day for men.
- The Domino Strategy asks “Do You Count?”—a question that helps sailors make the connection between counting drinks and reducing personal risk. In addition, the campaign educates sailors on what constitutes a “standard drink” and encourages them to pay attention to the content of their drink by asking, “What’s inside?”
- The campaign includes posters, outdoor banners, table tents, pamphlets, and TV/radio PSAs.
- All materials are available at no cost to all Navy commands for ordering through the Navy Logistics Library.
- *Who Will Stand Your Watch:* A substance abuse prevention campaign designed to educate sailors on the negative impact substance abuse can have on a sailor’s family, shipmates, and career.
 - The campaign focuses on a sailor’s personal responsibility and the impact on the unit and his or her shipmates when the sailor is removed from duty as a result of a substance abuse incident. The campaign uses various communication tactics that include print media and PSAs.
 - The pamphlets include the substance abuse continuum. The continuum is designed to help sailors and commands identify and intervene before a substance abuse incident occurs. Shipmates take care of shipmates. It is important to educate all hands on signs of substance abuse. Every sailor must be aware of the signs of abuse and intervene early to ensure shipmates don’t abuse drugs or alcohol.
 - The campaign includes four pamphlets, six posters, and four TV PSAs intended to target various Navy communities.
 - The print media are available through the Navy Logistics Library free of charge.
 - The PSAs are currently being aired on Direct to Sailor TV and can be found on the Navy Personnel Command website.
- *Shot of Reality:* This 90-minute improvised show focuses on alcohol awareness and the pitfalls of alcohol and drug abuse. The program is designed to help sailors make better decisions and take care of shipmates.
- *Myth vs. Truth:* This program provides information about the range of social and professional problems and economic costs associated with underage drinking. The program is also used to increase awareness that underage drinking is related to a host of serious problems, with the aim of informing policymakers about the importance of preventing underage drinking.
- *Comedy Is the Cure:* This 30-minute stand-up comedy show highlights the dangers and risks of alcohol and drug abuse and sexual assault and harassment. The program is designed to inspire military and civilian personnel to make smart, safe decisions and better prepare each unit for mission success.
- *Initial Entry:* All new Navy entrants receive education on alcohol and drug abuse awareness and prevention, Navy policies, resources for help, and disciplinary consequences associated

with the misuse of alcohol. Education for officer candidates includes similar prevention information, plus responsibilities of junior leaders in maintaining military discipline and enforcing the law. Entry-level education is completed before commissioning or within 90 days after entry to active duty.

- *Command Indoctrination:* All newly reporting personnel are briefed thoroughly on resources for help, command policy, and punitive consequences for failure to obey policies on alcohol and drug misuse, with emphasis on deglamorization, responsible use, treatment of driving under the influence (DUI) offenses, prohibitions against drinking during normal working hours, and illicit use of substances.
- *Periodic Awareness through General Military Training (GMT):* Alcohol and drug abuse awareness education is scheduled periodically through the Naval Education and Training Command GMT program.
- *Alcohol Aware Program:* This program is a command-level alcohol abuse prevention and deglamorization course designed for all hands. Each participant is asked to anonymously evaluate his or her own pattern of drinking in an effort to determine whether it is appropriate and, where necessary, make adjustments. The goals of the program include:
 - Making participants aware of the effects of alcohol
 - Pointing out the risks involved in using and abusing alcohol
 - Providing the Navy’s expectations, instructions, and core values
 - Defining the responsible use of alcohol
- *Alcohol Impact Program:* Alcohol Impact is the first intervention step in the treatment of alcohol abuse. It is an intensive, interactive educational experience designed for personnel who have had incidents with alcohol. The course is primarily an educational tool; however, objectives within the course could identify the need for a higher level of treatment.
- *Alcohol and Drug Abuse Managers/Supervisors (ADAMS) for Leaders:* Commanding Officers, Officers in Charge, Executive Officers, Command Master Chiefs, Chiefs of the Boat, and as applicable, other senior command personnel complete ADAMS for Leaders. It is a once-a-career requirement.
- *Drug and Alcohol Program Advisor (DAPA):* Members assigned as DAPAs and assistant DAPAs are required to complete the command DAPA course within 90 days of appointment, unless they have completed the course within the previous 3 years. Additionally, they are expected to be the command’s primary trainers of AWARE (Alcohol/Drug), and develop command policies and prevention plans to discourage substance use disorders and support mission readiness. For individuals reassigned as DAPAs, annual refresher training is required if three or more years have elapsed since the initial training.
- *Alcohol Server Training for Morale, Welfare, and Recreation Personnel:* Personnel employed in Navy recreation facilities who are responsible for selling or serving alcoholic beverages complete appropriate server training or its equivalent to ensure: compliance with Navy and local regulations and statutes, enforcement of policies related to underage drinking, knowledge of alternatives, and a full understanding of designated driver programs.
- *Personal Readiness (PR) Summits:* PR Summits are conducted throughout the year in fleet-concentrated areas. Personal- and family-readiness subject matter experts (SMEs) provide command leadership with program policies, valuable resources, and fleet

best practices, and discuss trends and the “Way Forward” for each of their respective program areas. A PR Summit may also offer some or all of the following topics often associated alcohol abuse:

- SAPR
 - Domestic violence prevention
 - Equal opportunity
 - Drug abuse prevention
 - Preventing domestic violence
 - Nutrition and physical readiness
 - Suicide prevention program/behavioral health
- *Navy Alcohol and Drug Abuse Prevention (NADAP) E-Gram:* The NADAP E-Gram provides updates to policy, news on substance abuse, and prevention tools. The E-Gram is published monthly and distributed to those members who have attended PR Summits.
 - *Alcohol Detection Devices (ADD):* ADD is an education and awareness tool to assist a command in its efforts to promote responsible use of alcohol. This device supports command efforts to enhance the command’s culture of fitness; support good order and discipline; and ensure the safety and security of the unit, the service member, and the mission. This tool also assists with identifying members who may not be fit and ready for duty as a result of their alcohol use decisions. The results from an ADD may be useful in determining a need for a member to be referred to a substance abuse rehabilitation program.
 - *Alcohol and Drug Management Information Tracking System (ADMITS):* A web-based system that is the primary information management system for NADAP, ADMITS is the Navy repository for alcohol incidents, screening, treatment, and training information. ADMITS provides statistical reporting and longitudinal assessment of the effectiveness of Navy substance abuse prevention programs. It provides historical data to field activities in order to evaluate and recommend the disposition of members who have an alcohol incident.
 - *Navy Alcohol and Drug Abuse Prevention (NADAP) Facebook:* A Facebook fan page sponsored by NADAP that is intended to provide updated information and discussion on substance abuse prevention issues, strategies, and policy.
 - *Drug Education for Youth Program (DEFY):* DEFY is a unique, comprehensive, year-long, phased program designed to reduce risk factors linked to adolescent alcohol and drug abuse, school failure, delinquency, and violence in youth 9–12 years old. The program empowers military youth to build positive, healthy lifestyles as substance abuse-free, successful citizens. During Phase I Summer Leadership, DEFY enables youth to gain skills and knowledge that improve self-confidence and self-esteem, and assists them with resisting peer pressure, substance abuse, and other negative behaviors. Phase II focuses on mentoring. It requires that adult volunteers meet monthly with youth participants to build on life skills taught during the Phase I Summer Leadership. Adult mentoring teams work closely with youth throughout the school year to re-emphasize the DEFY curriculum and provide general encouragement. Throughout the year, DEFY mentors actively encourage and engage parents to support their children’s commitment to a positive, drug-free lifestyle. Additionally, at the end of each program, DEFY graduates are supported and encouraged to actively participate

in a follow-on, structured, community-based youth activity or program that continues the anti-substance abuse message.

Army Substance Abuse Programs (ASAP): ASAP establishes, administers, and evaluates substance abuse prevention training, evaluation of education certification, and professional training programs for all Army personnel worldwide within the Active Component, National Guard, and Army Reserve. The goal of ASAP is to provide soldiers, command, Department of Army civilians, contractors, and family members with the education and training necessary to make informed decisions about alcohol and drugs. The program also provides command with the necessary resources and tools to complete their annual alcohol and drug awareness training of 4 hours for active duty soldiers, and 2 hours for geo-dispersed proponents within the U.S. Army Reserve (USAR), U.S. Army Recruiting Command, U.S. Army Cadet Command, Army National Guard (ARNG), and Army Civilians (in accordance with Army Regulation 600-85: The Army Substance Abuse Program) and provide them with prevention tools to deter substance abuse. ASAP provides technical support for programs; acts as the lead agent for drug demand reduction issues; supports professional development; provides training for all nonmedical substance abuse prevention staff worldwide; and develops and distributes alcohol and drug abuse prevention training curricula, multimedia products, and other drug and alcohol resources to Army installations. The following programs are currently provided by ASAP to meet the needs of soldiers seen by the Army:

- ***After Deployment: Adaptive Parenting Tools (ADAPT):*** AR 600-85 requires ADAPT, an educational/motivational intervention that focuses on the adverse effects and consequences of alcohol and other drug abuse. ADAPT courses consist of at least 12 hours of course material (IAW TRADDC Regulation 350-70). The Army currently utilizes Prime for Life (PFL) as its ADAPT curriculum. PFL is an evidence-based program that provides measurable outcomes and proven effectiveness as recognized by its inclusion within the SAMHSA NREPP. PFL provides soldiers with the ability to self-assess their own high-risk behaviors and influence change in attitude, belief, and behavior.
- ***Army's Substance Abuse Prevention Training—PRIME for Life (PFL):*** PFL is a motivational intervention used in group settings to provide early intervention and prevent alcohol and drug problems. The program was adopted after the *2010 Health Promotion, Risk Reduction, and Suicide Prevention (HP/RR/SP) Report* indicated an Armywide need for leadership training related to substance abuse/misuse. ASAP, in coordination with Headquarters, Installation Management Command, ARNG, USAR, HP/RR/SP, and other SMEs in the substance abuse prevention field, developed a training program derived from the evidence-based PFL program. Program objectives and content were reviewed by Comprehensive Soldier Fitness personnel to ensure consistent messaging and relevancy for soldiers. Primary purposes of the prevention training curricula are to (1) educate leaders in emerging issues of substance abuse, (2) align curricula with concepts and language used throughout current ASAP training and treatment, and (3) allow for measurement of training effectiveness across the Army. This training targets an audience that ranges from no substance use (abstainers) to those who are dependent. Four hours of mandatory substance abuse awareness training are required annually for all active-component soldiers; USAR and ARNG require 2 hours of training annually.
- ***Adolescent Support and Counseling Services (ASACS):*** ASACS is a centrally managed school-based contract that provides alcohol/drug abuse counseling services, as well as

alcohol/drug abuse and deployment support prevention services, to eligible adolescent family members at 17 locations outside the contiguous United States. The counselors are embedded in DoD Dependents Schools (middle and high schools) in Europe and Asia and in civilian community middle and high schools in Hawaii and Alaska. The ASACS-Army counseling caseload remains relatively constant, with approximately 800 counseling cases per year. ASACS expanded services to include substance abuse and deployment support prevention at the request of commanders and school administrators. During the school year ending in June 2013, ASACS provided 105 deployment education sessions to 1,545 adolescents and their family members, 747 health classes to 14,765 participants, and 1,087 life skills development classes (e.g., evidence-based training to provide adolescents with better living skills including decisionmaking and anger management) to 31,228 attendees. They screened 751 students and provided more than 10,500 treatment sessions to students and families. ASACS employs evidence-based Feedback Informed Therapy (FIT) to keep adolescents engaged in treatment. This method provides therapist feedback, which can be incorporated into the therapy sessions to support goal attainment. The positive change rate for ASACS family members was compared with the national norm for adolescents participating in FIT. Of all ASACS clients, 93 percent completed treatment with a positive outcome for the referring problem, versus the national norm of 50 percent for the average adolescent.

Army Campaigns: The Army campaign division of ASAP recognizes and endorses campaigns that go beyond alcohol or other drug abuse problems. These campaigns, discussed below, support a broad range of interventions and have an impact on larger populations and concerns within the Army. Installations are required to conduct two campaigns a year. Headquarters, Installation Management Command, collects after-action reports and shares best practices regarding the campaigns across the enterprise.

- ***Red Ribbon Campaign:*** The Red Ribbon Week campaign is the oldest and largest drug prevention campaign in the country. The Red Ribbon Campaign was started when drug traffickers in Mexico City murdered U.S. Drug Enforcement Administration (DEA) agent Kiki Camarena in 1985. This began the continuing tradition of displaying Red Ribbons as a symbol of intolerance toward the use of drugs. The mission of the Red Ribbon Campaign is to present a unified and visible commitment to the creation of a drug-free America. In 1990, DoD joined in the national effort by commencing an award program to encourage service members to keep communities drug free and to recognize outstanding outreach programs.
- ***Summer Safety Impaired Driving Prevention Campaign:*** The 101 Critical Days of Summer (Memorial Day through Labor Day) safety campaign is intended to remind the Army that it cannot afford to lose focus on safety either on- or off-duty. The summer season is a dangerous time of year for the Army, with notable increases in off-duty accidental fatalities. Festivals, road trips, swimming, fishing, hiking, boating, camping, and motorcycle riding are common outdoor activities during the summer. Intense planning often goes into making these outdoor activities a success.
- ***National Drunk and Drugged Driving (3D) Prevention Month/Campaign:*** December is annually designated as 3D Prevention Month (often referred to as 3D Month) to recognize the risks and reduce the prevalence of driving under the influence of alcohol and other drugs. In 2014, 9,967 people were killed in motor vehicle crashes involving an alcohol-impaired driver. According to NHTSA's National Roadside Survey of Alcohol and Drug Use by Drivers, the proportion of total drug-positive nighttime weekend drivers increased from 16.3

percent in 2007 to 20.0 percent in 2013/2014. 3D Month is a reminder to “Designate Before We Celebrate” and encourages safe and sober driving. *Drive Sober or Get Pulled Over* is a nationwide impaired-driving prevention campaign. The national, high-visibility enforcement and media campaign was implemented by NHTSA to deter impaired driving and save lives during the holiday season. According to NHTSA, in December 2014 alone, 788 people were killed in crashes involving at least one driver or motorcycle operator with a BAC of .08 or higher; 27 of those deaths occurred on Christmas Day. Holiday celebrations offer a perfect opportunity to enjoy family and friends. Soldiers, family members, and civilians must be proactive and have a responsible plan to get home without driving if they choose to drink.

Air Force Innovative Prevention Program: The U.S. Air Force (USAF) 0-0-1-3 Program, which began at F.E. Warren Air Force Base (AFB), encourages healthy, controlled alcohol use (and nonuse for underage people) as the normative lifestyle choice for young USAF personnel. The program establishes safe, normative behaviors that move DoD forward in addressing the health threats of both alcohol and tobacco. The 0-0-1-3 program was briefed to USAF senior leadership in 2005. As a result of this briefing, USAF Assistant Vice Chief of Staff instructed A1 (personnel) and the USAF SG to expand the 0-0-1-3 program to include a range of health-related behaviors that could negatively affect productivity, mission accomplishment, and readiness, and to implement the program across the USAF. Consequently, working groups were formed, and a Concept of Operations (CONOPS) was written to provide the theoretical underpinnings for a new program called the Culture of Responsible Choices (CoRC), designed to address underage drinking, alcohol misuse, and illegal drug use. It was also designed to produce a cultural shift within the USAF from “work hard/play hard” to “work hard/play smart.” CoRC uses a comprehensive community-based approach with four levels:

- Strong leadership support (i.e., from top down and bottom up)
- Individual-level interventions (e.g., population screening, anonymous screening at primary care centers, education, short-term counseling with tailored feedback)
- Base-level interventions (e.g., media campaigns, alcohol-free activities, zero-tolerance policies for underage drinking and alcohol misuse, midnight basketball, cyber cafés)
- Community-level interventions (e.g., building coalitions between on- and off-base groups, increased DUI/driving while intoxicated [DWI] enforcement on- and off-base)

In 2006, CoRC materials including the CoRC CONOPS, toolkits, memoranda, best practices, and other elements were made available via the web, and CoRC was launched across the USAF. Since the program’s inception, the USAF has had a 6 percent reduction in alcohol-related misconduct incidents.

In addition to CoRC, the USAF partnered with DoJ and NIAAA to implement the EUDL program at five USAF installations. EUDL uses evidence-based environmental strategies to reduce underage Airmen’s access to alcohol and decrease the prevalence of underage Airmen drinking on base and in the surrounding local areas. In 2006, the OJJDP funded a 3-year study examining the EUDLs in and around the communities housing five USAF bases as part of an alcohol prevention initiative. The study’s intervention activities included controlled dispersal events, compliance sting operations targeting local distributors, increased number and frequency of DUI checks in the local community, development of local policies to prevent underage drinking, community-based media campaigns to reduce underage drinking, and increased frequency of alternative alcohol-free social activities. This study also enabled an evaluation of

the impact of the EUDL activities by comparing the rates of problem drinking in each of the EUDL communities with rates in five control communities, as well as in the USAF overall. Results of this study revealed that although all demonstration sites showed some success, sites that implemented their interventions early, had task forces on underage drinking at the program's onset, collaborated with local partners, and followed guidance from the federal agencies sponsoring the evaluation had the best results. As already mentioned, during this study period, the percentage of USAF enlisted personnel at risk for a drinking problem decreased 6.6 percent. However, respondents at the demonstration sites had 30 percent lower odds of problem drinking than respondents at the comparison sites. In 2009, the EUDL program was expanded to two more AFBs, and in 2013 two more were added. DOJ is supervising a 3-year evaluation of the EUDL program, which is described later in this report. Analysis of first-year EUDL data is promising. DoJ will support the evaluation's expansion to additional USAF installations.

Research has suggested alcohol is the abuse drug of choice for those below the legal drinking age of 21, with 18- to 20-year-olds found to have the highest rates of binge-drinking episodes and alcohol dependence diagnoses. Due to age restrictions and the typical entry age of most military members, the cohort of individuals below age 25 represents a sizable portion of the military population. The Air Force Medical Operations Agency implemented a social norms-based approach at select installations. The social norms approach to alcohol misuse prevention has been applied on numerous college campuses with same-aged cohorts, has demonstrated promising results, and has been identified as a model practice by ED. The social norms approach uses normative-based messages crafted from site-specific data designed to reduce misperceptions and reinforce positive norms for each base, which in turn attenuate problematic drinking behavior.

In collaboration with Hobart and William Smith Colleges, the USAF Social Norms Project began in October 2011 and concluded in the fall of 2013. Using both treatment and control sites, this 2-year project compared the effectiveness of this prevention approach with traditional health education delivered in control sites and was the first attempt to evaluate this approach with military populations. The approach capitalizes on the strong tendency of young people to conform to group patterns and expectations. Research shows young adults tend to misperceive that alcohol misuse is the norm among peers. This misperception can contribute to hazardous drinkers viewing their behavior as acceptable and normal and others tolerating hazardous drinking, which perpetuates the problem. Evidence has shown that dispelling myths about excessive alcohol use being the norm among peers can lead to changes in attitudes toward alcohol misuse and decreases in problem alcohol-related behavior. Voluntary Airmen (18 to 24 years old) at eight AF installations volunteered to participate in the pilot project. The program identified local alcohol use norms and communicated accurate, credible information to at-risk Airmen through an intensive media campaign and other educational venues. Results indicated Airmen typically believed (erroneously) that their same-age peers supported and engaged in far heavier and much more risky drinking than was actually the case. Airmen with two or more months of social norms exposure were significantly less likely to report problematic drinking behaviors compared with Airmen with less social norms exposure. Rates of alcohol-related misconduct decreased by 21 percent at intervention bases and increased 47 percent at control bases during the same time period. The next step is to create a comprehensive dissemination plan and installation support materials to implement social norms misuse prevention program USAF-wide (projected rollout in FY 2016).

Department of Homeland Security/United States Coast Guard (USCG) Substance Abuse Program: The USCG’s global mission is to protect the public, the environment, and U.S. economic interests—in the nation’s ports and waterways, along the coast, in international waters, or in any maritime region as required—supporting national security (<http://www.uscg.mil>).

The USCG announced in April 2014 that the minimum drinking age in the USCG, regardless of location, will be 21. Previously, the USCG followed its DoD peers with the “Law of the Land” policy, which permits the Commanding Officer to establish and permit the drinking age to be under 21 but no lower than 18 if the law of the land permits (e.g., Puerto Rico). After careful consideration of alcohol’s negative influence on readiness and proficiency of the force as well as the direct correlation between “age of onset” of drinking and negative consequences related to alcohol, senior leadership acted.

The USCG is currently restructuring its policies to reflect this and many other changes related to alcohol use and the delivery of treatment services. Prevention- and treatment-seeking behaviors are being strengthened and encouraged.

The USCG’s Health Promotion policy was officially promulgated on July 9, 2015, reflecting the before-mentioned changes. The USCG is now the only active duty military force whose drinking age is 21. The USCG has also implemented an Addiction Orientation for Healthcare Providers course. This 1-week course trains all Medical Officers on how to conduct, screen, and refer patients with substance abuse disorders to the appropriate level of treatment. Currently more than 85 percent of Medical Officers have been trained.

Department of Education (ED)

Activities Specific to Underage Drinking

National Center on Safe Supportive Learning Environments (NCCSLE): NCCSLE is funded by ED to help schools and communities address issues that affect conditions for learning, such as bullying, harassment, violence, and substance abuse. In 2013, NCCSLE offered a series of webinar events that provided constructive information and strategies that colleges and surrounding communities could use to strengthen their learning environments and address problems of violence, mental health, and substance use. This series included *Community Coalitions Working Collaboratively across Secondary and Postsecondary Education to Address Underage Drinking*, a webinar hosted by ED as a part of the underage drinking series sponsored by ICCPUD, available at <https://safesupportivelearning.ed.gov/events/webinar/community-coalitions-working-collaboratively-across-secondary-and-postsecondary>. Publications and other resources hosted on this site can be used to assist administrators and other prevention professionals at colleges and universities to help prevent violence and substance abuse on their campuses and in the surrounding communities.

Activities Related to Underage Drinking

ED’s School Climate Transformation Grant – Local Educational Agency Grants Program: In FY 2014, ED awarded the first round of grants under the School Climate Transformation Grant – Local Education Agency Grants program. These FY 2014 grant awards provided more than \$35.8 million to 71 school districts in 23 states, Washington, DC, and the U.S. Virgin Islands. The funds are being used to develop, enhance, or expand systems of support for

implementing evidence-based, multitiered behavioral frameworks for improving behavioral outcomes and learning conditions for students. ED has developed a variety of measures to assess the performance of the School Climate Transformation Grants, including measures related to the decrease in suspensions and expulsions of students for possession or use of drugs or alcohol.

ED's Safe and Supportive Schools News Bulletin: The *Safe and Supportive News Bulletin* is used by the ED OSHS to provide weekly email updates to grantees and other stakeholders in the education community on work related to OSHS and on topics related to school safety, school climate, substance abuse, violence prevention in education, and promotion of student health and well-being. The bulletin also highlights other federal funding opportunities related to these topics (including underage drinking prevention).

Federal Trade Commission (FTC)

Activities Specific to Underage Drinking

Consumer Education: In 2015, FTC continued its “We Don’t Serve Teens” (WDST) program, promoting compliance with the legal drinking age of 21 (see www.DontServeTeens.gov). Recognizing that most youth ages 12–20 who drink obtain access to alcohol for free (from family, friends, or by taking it without permission from their home or someone else’s), this program urges parents and other adults to stop teens’ easy access to alcohol, and lets them know why this is an important goal. Available in English and Spanish, the program provides information about the risks of underage drinking, tips for fighting easy teen access to alcohol, and talking points to rebut common myths about the legal drinking age. The site includes free downloadable radio PSAs, radio announcer text, and artwork for posters, billboards, and transit ads. FTC has leveraged this program by working with private partners that use these materials to promote the WDST message around the country at no cost to the government.

Activities Related to Underage Drinking

Alcohol Advertising Program: In 2014, FTC published its fourth major report on alcohol advertising and youth, including industry compliance with self-regulatory commitments to reduce youth exposure to marketing (FTC, 2014). The report provided data on youth drinking rates and risks; alcohol marketing expenditures in 22 categories; industry compliance with the then-current commitment to ensure that at least 70 percent of the audience for each ad consists of adults 21+; and product placement in entertainment media. The report also made recommendations for improvement. In 2014 and 2015, FTC staff made presentations to industry members, regulators, and others about the report, its recommendations for improvement, and the importance of continued progress in self-regulatory efforts.

Administration for Children and Families (ACF)/HHS

Activities Specific to Underage Drinking

None

Activities Related to Underage Drinking

Runaway and Homeless Youth (RHY) Program: The Family and Youth Services Bureau (FYSB) provides funding to local communities to support young people, particularly runaway and homeless youth and their families. Basic Center Program grants offer assistance to at-risk youth (under age 18) in need of immediate temporary shelter. Shelters provide family and youth counseling and referrals to services, such as substance abuse treatment. Through the Street Outreach Program, FYSB awards grants to public and private nonprofit agencies to conduct outreach that builds relationships between grantee staff and street youth to help them leave the streets. The Transitional Living Program (TLP) supports projects that use trauma-informed services and the positive youth development approach to provide longer term residential services to homeless youth ages 16–22 for up to 21 months. These services help to successfully transition young people to independent living. TLPs enhance youths’ abilities to make positive life choices through education, awareness programs, and support. They include evidence-driven services such as substance abuse education, life skills training (LST), recovery, and counseling. Grantee sites are all expected to be alcohol free. All participants are expected to participate in program activities that would prepare them to make healthy choices regarding alcohol and drug use. All RHY programs are mandated to provide substance abuse education as needed (and treatment services as needed) either directly or indirectly. FYSB has several RHY programs that have extensive experience in this area. For more information, visit <http://www.acf.hhs.gov/programs/fysb>.

Family Violence Prevention and Services: The Family Violence Prevention and Services Act (FVPSA) provides the primary federal funding stream dedicated to the support of emergency shelter and supportive services for victims of domestic violence and their dependents. FVPSA is located in FYSB, a division of the Administration on Children, Youth and Families in ACF. FYSB administers FVPSA formula grants to states, territories, and tribes; state domestic violence coalitions; and national and special-issue resource centers. First authorized as part of the Child Abuse Amendments of 1984 (P.L. 98–457), FVPSA has been amended eight times. It was most recently reauthorized in December 2011 for 5 years by the CAPTA Reauthorization Act of 2010 (P.L. 111-320 42 U.S.C. 36 10401, et seq.). The statute specifies how most of the appropriated funds will be allocated, including three formula grants and competitive national resource center grants. The remaining discretionary funds are used for competitive grants, technical assistance, and special projects that respond to critical or otherwise unaddressed issues. In 2015, the appropriation level was \$135,000,000. The FVPSA program also administers the National Domestic Violence Hotline.

FVPSA formula grants are awarded to every state and territory and more than 270 tribes. These funds reach 1,250 domestic violence shelters and 257 nonresidential programs, providing both a safe haven and an array of supportive services to intervene in and prevent abuse. Each year, FVPSA-funded programs serve 1.2 million survivors and their children and respond to 2.6 million crisis calls. FVPSA-funded programs do not just serve survivors but also reach their communities; in 2014, programs provided more than 180,000 presentations reaching 4.7 million

people, of which almost half were youth. For more information, visit <http://www.acf.hhs.gov/programs/fysb/programs/family-violence-prevention-services>.

Abstinence Education Programs: FYSB provides support for abstinence education programs through discretionary grants from the Competitive Abstinence Education Grant Program and formula grants to states under Section 510 (Title V) State Abstinence Education Program. These programs focus on educating young people and creating an environment within communities that supports teen decisions to postpone sexual activity until marriage. Programs are encouraged to be welcoming and inclusive of all sexual minority youths. They use evidence-based, medically accurate interventions to promote abstinence from risky behaviors that lead to poor health outcomes, including substance abuse and underage drinking, unplanned pregnancy, and sexually transmitted infections. Grantees are encouraged to use trauma-informed practices and positive youth development as they serve youths. For more information, visit <http://www.acf.hhs.gov/programs/fysb>.

Personal Responsibility Education Programs (PREP): FYSB supports healthy decisionmaking through projects funded to states, tribes, and community organization to implement pregnancy prevention programs. As part of the Patient Protection and Affordable Care Act, Congress passed and the President signed the PREP into law. PREP funds formula and discretionary grants to educate adolescents on both abstinence and contraception to prevent pregnancy and sexually transmitted infections and at least three of six congressionally mandated “adulthood preparation subjects” (APS). Several APS topics—adolescent development, healthy life skills, and healthy relationships—address healthy decisionmaking skills, which encompass substance and alcohol prevention messaging. For example, in North Carolina, PREP funded school-based clubs that collect pledges from their peers in schools and the community promising to not engage in underage drinking as part of community service learning projects during prom season. The South Broward Hospital District, another PREP grantee, supported “Alcohol Literacy,” which features sessions designed to specifically target and address alcohol education and refusal skills for youth in the 5th through 8th grades. In addition, abstinence programs promote positive youth development programming that promotes healthy decisionmaking related to alcohol or drug use. In 2014, a Competitive Personal Responsibility Education Program (CPREP) grantee, Ambassadors for Christ Youth Ministries in Houston, Texas, established the goal to reduce incidence of drug/alcohol use by 15 percent each year for 3 years. The grantee added evidence-based programs, including adult preparation subjects that focus on healthy decisionmaking.

Evaluation and Data Collection: Since 2011, FYSB has engaged in a 7-year, multisite evaluation effort of PREP programs. FYSB is currently conducting a federal-level evaluation of four sites, with a significant investment in piloting new evidence-based approaches to serving vulnerable populations, which include youths in foster care, pregnant and parenting teens, rural youths, and youths in alternative educational settings. For more information on PREP, visit: <http://www.acf.hhs.gov/programs/fysb>.

Centers for Disease Control and Prevention (CDC)/HHS

Activities Specific to Underage Drinking

Reducing Youth Exposure to Alcohol Marketing: The CDC Alcohol Program within the National Center for Chronic Disease Prevention and Health Promotion funds the Center on Alcohol Marketing and Youth (CAMY) at the Johns Hopkins Bloomberg School of Public

Health to conduct public health surveillance of youth exposure to alcohol marketing and improve adherence to voluntary industry standards on the placement of alcohol advertising, with the ultimate goal of decreasing youth exposure to alcohol marketing and decreasing excessive alcohol consumption, including underage drinking. For more information on CAMY, see <http://www.camy.org>.

Activities Related to Underage Drinking

Alcohol-Related Disease Impact (ARDI): ARDI is an online application that provides national and state estimates of average annual deaths and years of potential life lost (YPLL) due to excessive alcohol use. The application allows users to create custom data sets and generate local reports on these measures as well. Users can obtain estimates of deaths and YPLL attributed to excessive alcohol use among people under age 21.

Behavioral Risk Factor Surveillance System (BRFSS): BRFSS is an annual random-digit-dial telephone survey of U.S. adults ages 18 years and older in all 50 states, the District of Columbia, Guam, Puerto Rico, the U.S. Virgin Islands, American Samoa, Palau, and the Federated States of Micronesia. It includes questions on current drinking, number of drinking days, average number of drinks per day, frequency of binge drinking (≥ 4 drinks per occasion for women; ≥ 5 per occasion for men), and the largest number of drinks consumed on a drinking occasion. CDC's Alcohol Program has also developed an optional, seven-question binge drinking module that can be used by states to obtain more detailed information on binge drinkers, including beverage-specific alcohol consumption and driving after binge drinking. CDC also worked with national and international experts to develop an optional module to assess the delivery of screening and brief intervention (SBI) for excessive alcohol use in clinical settings. This optional module was implemented in 22 states for the 2014 BRFSS. In 2011, BRFSS introduced changes to address the growing effects of cellphone-only households, resulting in higher estimates in many states for certain chronic disease indicators and risk behaviors, including binge drinking. For more information, see <http://www.cdc.gov/brfss>.

Youth Risk Behavior Surveillance System (YRBSS): The YRBSS monitors priority health risk behaviors among youth and young adults. It includes a biennial, national school-based survey of 9th- through 12th-grade students that is conducted by CDC and state and local surveys of 9th- through 12th-grade students conducted by education and health agencies. These surveys include questions about the frequency of alcohol use, frequency of binge drinking, age of first drink of alcohol, and usual source of alcohol. States and cities that conduct their own survey have the option to include additional alcohol questions, such as type of beverage usually consumed and usual location of alcohol consumption. The YRBSS also assesses other health risk behaviors (including sexual activity and interpersonal violence), that can be examined in relation to alcohol consumption. Additional information on the YRBSS is available at <http://www.cdc.gov/yrebs>.

School Health Policies and Practices Study (SHPPS): SHPPS is a national survey periodically conducted to assess school health policies and practices at the district, school, and classroom levels. It includes information about school health education on alcohol and drug use prevention, school health and mental health services related to alcohol and drug use prevention and treatment, and school policies prohibiting alcohol use. Additional information is available at <http://www.cdc.gov/SHPPS>.

Pregnancy Risk Assessment Monitoring System (PRAMS): PRAMS is a population-based mail and telephone survey of women who have recently delivered a live-born infant. It collects state-specific data on maternal attitudes and experiences before, during, and shortly after pregnancy. It also includes questions on alcohol consumption, including binge drinking during the preconception period and during pregnancy, along with other factors related to maternal and child health. For more information, see <http://www.cdc.gov/prams>.

National Violent Death Reporting System (NVDRS): NVDRS is a state-based active surveillance system that collects risk factor data on all violence-related deaths, including homicides, suicides, and legal intervention deaths (i.e., deaths caused by police and other people with legal authority to use deadly force, excluding legal executions), as well as unintentional firearm deaths and deaths of undetermined intent. Alcohol-related information collected includes (1) alcohol dependence or problem (whether the victim was perceived by self or others to have a problem with, or to be addicted to, alcohol); (2) alcohol use suspected (whether alcohol use by the victim in the hours preceding the incident was suspected, based on witness or investigator reports or circumstantial evidence, such as empty alcohol containers around the victim); (3) tested for alcohol (i.e., whether the victim's blood was tested for the presence of alcohol); (4) alcohol test results (recorded as present, not present, not applicable [i.e., not tested], or unknown); and (5) BAC measured in mg/dL. For more information, see <http://www.cdc.gov/ViolencePrevention/NVDRS>.

Guide to Community Preventive Services: CDC's Community Guide Branch works with CDC programs and other partners to systematically review the scientific evidence on the effectiveness of population-based strategies for (1) preventing alcohol-impaired driving and (2) preventing excessive alcohol consumption and related harms (see "Guide to Community Preventive Services" earlier in this chapter). In 2012, the Community Guide Branch, in collaboration with the National Center for Injury Prevention and Control, updated the 2001 publicized sobriety checkpoints systematic review and, in collaboration with the CDC Alcohol Program, conducted a review of electronic delivery of SBI for excessive alcohol use. The results of these reviews are summarized on the Community Guide website: <http://www.thecommunityguide.org>.

Preventing Alcohol-Exposed Pregnancies: CDC's National Center on Birth Defects and Developmental Disabilities (NCBDDD) has a number of activities supporting the prevention of FASDs among women of childbearing age (18–44 years). NCBDDD continues to monitor alcohol consumption (any use and binge drinking) among women of childbearing age (18–44 years) in the United States, using the BRFSS. These data help identify groups of women at risk for an alcohol-exposed pregnancy and guide the development of prevention programs aimed at reducing risk behaviors and improving pregnancy outcomes. Recent BRFSS data reveal that 1 in 10 pregnant women ages 18 to 44 report drinking any alcohol and 1 in 33 report binge drinking (defined as consuming four or more drinks on an occasion) in the past 30 days. NCBDDD, in collaboration with the National Center for Health Statistics (NCHS), added four additional alcohol questions to survey years 2011–2013 of the National Survey of Family Growth (NSFG). The NSFG data provide population-based estimates on alcohol consumption among women of reproductive age and their risk for alcohol-exposed pregnancy.

Six FASD Practice and Implementation Centers (PICs) and five national partner groups are funded to develop and implement training and systems change strategies with a stronger emphasis on primary prevention of FASDs. Through strategic collaborations, the PICs,

professional medical organizations, and other partner groups are targeting multiple groups as key systems and practice change audiences. These include pediatricians, obstetricians and gynecologists, nurses, social workers, family medicine providers, and medical assistants.

CHOICES, an evidence-based intervention for nonpregnant women of childbearing age, aims to reduce the risk for an alcohol-exposed pregnancy by reducing risky drinking, using effective contraception, or changing both behaviors. CHOICES has been implemented in multiple settings, including sexually transmitted disease clinics, family planning clinics, community health centers, and in American Indian communities. A CHOICES curriculum training package is available for order at <http://www.cdc.gov/ncbddd/fasd.freematerials.html>. The curriculum is currently being converted into a web-based training that will also include remote “live” modules to enhance skills-building activities. Also, two training and technical assistance (TTA) centers are working to increase the capacity to implement alcohol SBI and CHOICES in primary care settings serving American Indian and Alaska Native (AI/AN) populations. In addition, CHOICES is included in SAMHSA’s NREPP. For more information on these and other program activities, see <http://www.cdc.gov/ncbddd/fasd/index.html>.

Alcohol Screening and Brief Intervention (SBI) in Primary Care: In 2014, NCBDDD released *Planning and Implementing Screening and Brief Intervention for Risky Alcohol Use*, available at <http://www.cdc.gov/ncbddd/fasd/documents/alcoholsbiimplementationguide.pdf>. This guide provides a process and resources to help staff in any primary care practice to plan and implement alcohol SBI as a routine element of patient care. NCBDDD has also been working with the American Academy of Pediatrics to assess pediatricians’ use of alcohol SBI with adolescent patients to help inform guidance on delivering this service in pediatric settings serving adolescents. In addition, questions about provision of alcohol SBI will be added to the core National Ambulatory Medical Healthcare Survey, thereby providing better data on physician practices regarding alcohol SBI. NCBDDD also continues to work to identify partners across multiple sectors, including insurers, employers, medical associations, and private organizations, to advance evidence-based strategies to prevent FASDs and other alcohol-related harms.

Indian Health Service (IHS)/HHS

The IHS Division of Behavioral Health (DBH) is responsible for the Alcohol and Substance Abuse Program (ASAP) through funding of federal, urban, and tribally administered programs. Funding for tribal programs is administered pursuant to the Indian Self-Determination and Education Assistance Act (ISDEAA), 25 U.S.C. §§ 450 *et seq.* Nearly 85 percent of the ASAP budget is administered under ISDEAA contracts or compacts made directly with tribally administered programs, which aim to provide community-based, holistic, and culturally appropriate alcohol and substance abuse prevention and treatment services. ASAP is unique in that it is a nationally coordinated and integrated behavioral health system that includes tribal and federal collaboration to prevent or otherwise minimize the effects of alcoholism and drug dependencies in AI/AN communities. The aim of ASAP is to achieve optimum relevance and efficacy in delivery of alcohol and drug dependency prevention, treatment, and rehabilitation services, while respecting and incorporating the social, cultural, and spiritual values of Native American communities.

Activities Related to Underage Drinking

Alcohol abuse in AI/AN communities is recognized as a high-risk public health behavior. The effects of alcohol can begin in the early stages of prenatal development and continue across the lifespan. Programs are therefore focused on family-oriented prevention activities rooted in the culture of the individual tribes and communities in which they operate. In recognition of this shifting dynamic of local control and ownership of ASAP in Native American communities, the IHS DBH has shifted focus from direct-care services to a technical assistance and supportive role.

Binge Drinking: IHS participated in an exploratory seminar with Radcliffe Institute for Advanced Study and Harvard University titled *AI/AN Binge Drinking: Reviewing Treatment and Developing Collaborative Research Methodologies to Measure Outcomes*. Discussions included addressing AI/AN youth drinking patterns and measuring culturally relative treatment outcomes. Discussion involved historical and current barriers to successful interventions and what therapy strategies have been proven to be successful among AI/AN youth. Attendees agreed that further exploration would be beneficial.

Youth Regional Treatment Centers (YRTCs): IHS currently provides recurring funding to 11 tribally and federally operated YRTCs to address the ongoing issues of substance abuse and co-occurring disorders among AI/AN youth. Through education and culture-based prevention initiatives, evidence- and practice-based models of treatment, family strengthening, and recreational activities, youths can overcome challenges and recover their lives to become healthy, strong, and resilient leaders in their communities.

The YRTCs provide a range of clinical services rooted in a culturally relevant holistic model of care. These services include clinical evaluation; substance abuse education; group, individual, and family psychotherapy; art therapy; adventure-based counseling; life skills; medication management or monitoring; evidence-based/practice-based treatment; continuing care relapse prevention; and posttreatment follow-up services.

A new YRTC broke ground in 2015 that will serve the Southern California area. The YRTC is projected to begin providing services in 2016. Two additional YRTCs are in the planning stages and will be located in Northern California and the Portland area.

Methamphetamine and Suicide Prevention Initiative (MSPI): The IHS MSPI is a nationally coordinated program focusing on providing much-needed methamphetamine and suicide prevention and intervention resources for AI/AN communities. This initiative promotes the use and development of evidence- and practice-based models that represent culturally appropriate prevention and treatment approaches to methamphetamine abuse and suicide prevention from a community-driven context. The goals of the MSPI are to:

- Increase tribal, Urban Indian Health Program (UIHP), and federal capacity to operate successful methamphetamine prevention, treatment, and aftercare and suicide prevention, intervention, and postvention services through implementing community and organizational needs assessment and strategic plans
- Develop and foster data-sharing systems among tribal, UIHP, and federal behavioral health service providers to demonstrate efficacy and impact

- Identify and address suicide ideations, attempts, and contagions among AI/AN populations through the development and implementation of culturally appropriate and community relevant prevention, intervention, and post-intervention strategies
- Identify and address methamphetamine use among AI/AN populations through the development and implementation of culturally appropriate and community-relevant prevention, treatment, and aftercare strategies
- Increase provider and community education on suicide and methamphetamine use by offering appropriate trainings
- Promote positive AI/AN youth development and family engagement through the implementation of early intervention strategies to reduce risk factors for suicidal behavior and substance abuse

This initiative supports 118 MSPI projects across Indian Country, consisting of 93 tribal awardees, 10 urban grantees, and 15 federal awards benefiting direct service tribes. A total of 49 MSPI projects are focused on AI/AN youth to prevent suicide and substance use.

Addressing Fetal Alcohol Spectrum Disorder: IHS supports the Northwest Portland Area Indian Health Board FASD training project with the University of Washington Fetal Alcohol Drug Unit, a research-based project that focuses on FASD interventions available to tribal sites throughout the United States but is primary to sites in Oregon, Idaho, and Washington. Also, in collaboration with the University of Washington, the Northwest Tribal FASD Project provides education and training on FASD and community readiness and assists communities in Idaho, Oregon, and Washington to set up an all-systems-based response to FASD.

Indian Children's Program: IHS also funds the Indian Children's Program (ICP). The ICP provides services to help meet the needs of AI/AN children with special needs across the nation and in various settings. The ICP uses televideo and web-based platforms to provide training to those working with special needs AI/AN children. Additionally, specialty provider consultation, screening, family education, and school-based consultations are available. In addition, IHS participates in the Interagency Coordinating Committee on FASDs (ICCFASD), an interagency task force led by the National Institute on Alcohol Abuse and Alcoholism (NIAAA) that addresses multidisciplinary issues relevant to FASD.

National Institute on Alcohol Abuse and Alcoholism (NIAAA)/HHS

Activities Specific to Underage Drinking

Underage Drinking Research Initiative: The Underage Drinking Research Initiative (UDRI) is a key program of NIAAA. The goal of this initiative is to better understand the factors that compel youth to begin, continue, and escalate drinking, and for some, progress to alcohol use disorder (AUD). This initiative seeks to understand and address underage drinking within the context of overall development, and considers the biological, psychological, and social processes occurring during adolescence. This paradigm shift, along with advances in epidemiology, developmental psychopathology, and the understanding of human brain development and behavioral genetics, provided the scientific foundation for the *Surgeon General's Call to Action to Prevent and Reduce Underage Drinking* (Office of the Surgeon General, 2007). The developmental approach continues to inform the work of ICCPUD and the related efforts of its member federal agencies and departments, including the work of the Behavioral Health

Coordinating Committee, and provides the theoretical framework for NIAAA's underage drinking programs.

Developing Screening Guidelines for Children and Adolescents: Data from NIAAA's National Epidemiologic Survey on Alcohol and Related Conditions (NESARC) (see Appendix B) indicate that people between ages 18 and 24 have the highest prevalence of AUD in the U.S. population—meaning that, for most, drinking started in adolescence. These data, coupled with those from other national surveys (SAMHSA's National Survey on Drug Use and Health [NSDUH] [see Appendix B], Monitoring the Future [MTF], and CDC's YRBSS [see Appendix B]) showing the popularity of binge drinking among adolescents, prompted NIAAA to produce a guide for screening children and adolescents for risk for alcohol use, alcohol consumption, and AUD.

The screening guide for children and adolescents, *Alcohol Screening and Brief Intervention for Youth: A Practitioner's Guide*, which became available in 2011, was developed by NIAAA in collaboration with a working group of experts. As part of a multiyear process, the working group heard from a number of research scientists, analyzed data from both cross-sectional national surveys and proprietary longitudinal studies, and worked with pediatricians from general pediatrics as well as pediatric substance abuse specialty practices. The process culminated in the development of an easy-to-use, age-specific, two-question screener for current and future alcohol use. The *Guide* also provides background information on underage drinking and detailed supporting material on brief interventions, referral to treatment, and patient confidentiality. The screening process enables pediatric and adolescent health practitioners to provide information to patients and their parents about the effects of alcohol on the developing body and brain in addition to identifying those who need any level of intervention. The guide was produced in collaboration with the American Academy of Pediatrics, which recommends screening all adolescents regarding alcohol use and which endorsed the guide. As of October 2015, more than 200,000 copies of the youth guide have been distributed.

In 2011, NIAAA issued a Funding Opportunity Announcement (FOA) titled "Evaluation of NIAAA's Alcohol Screening Guide for Children and Adolescents" to solicit applications to evaluate the new NIAAA alcohol screener for youth. Although the questions were empirically developed, were based on a vast amount of data from national surveys as well as numerous prospective studies, and had high sensitivity and specificity in the sample studied, it is important that the precision of the screener be evaluated in practice. Applications were sought that would evaluate the two-question screener in youth ages 9 to 18: (1) as a predictor of alcohol risk, alcohol use, and alcohol problems including AUD and (2) as an initial screen for other behavioral health problems (e.g., other drug use, smoking, conduct disorder). Six 5-year projects were funded to evaluate the guide in a variety of settings, including primary care, a network of pediatric emergency rooms, juvenile justice, the school system, and with youth who have a chronic health condition. These projects are well into the subject recruitment phase.

In 2013, NIAAA issued an online training course based on its very popular youth alcohol screening guide. The course helps train health care professionals to conduct rapid, evidence-based alcohol screening and SBI with youth. NIAAA produced the course jointly with Medscape, a leading provider of online continuing medical education. The course presents three engaging case scenarios of youth at different levels of risk for alcohol-related harm. The scenarios illustrate the streamlined, four-step clinical process outlined in NIAAA's guide.

As of September 2015, more than 35,500 healthcare providers had received continuing medical education credit for the course.

Research on Underage Drinking: NIAAA supports a broad range of underage drinking research, including studies on the epidemiology and etiology of underage drinking, the neurobiology of underage drinking, the prevention of underage drinking, and the treatment of AUD among youth. Studies also assess short- and long-term consequences of underage drinking. A high-priority area described in more detail below is alcohol's effects on the developing adolescent brain.

Research on the Impact of Adolescent Drinking on the Developing Brain: The powerful developmental forces of adolescence cause widespread, significant changes to the brain and nervous system, including increased myelination of neural cells (presumably reflecting enhanced brain connectivity) and normal "pruning" of infrequently used synapses and neural pathways in specific regions of the brain. A key question is the extent to which adolescent drinking affects the developing human brain. A range of studies including research on rodents; studies of youth who are alcohol-dependent; and recent longitudinal work beginning with youth before they begin drinking, suggest that alcohol use during adolescence, particularly heavy (frequent bingeing) use, can have deleterious short- and long-term effects.

In 2010, NIAAA issued an FOA titled "Neurobiology of Adolescent Drinking in Adulthood" (NADIA) soliciting animal studies to clearly define the persistent effects of adolescent alcohol exposure and begin to explore the neurobiological mechanisms underlying these effects. Also in 2011, NIAAA followed the completion of a series of initial human pilot studies with an FOA titled "Longitudinal Studies on the Impact of Adolescent Drinking on the Adolescent Brain (Phase II)" soliciting applications to more fully address the following issues: (1) what are the long-term and shorter term effects of child and adolescent alcohol exposure on the developing human brain; (2) what are the effects of timing, dose, and duration of alcohol exposure on brain development; (3) to what extent do these effects resolve or persist over time; (4) how do key covariates factor into alcohol's effects on the brain; and (5) the potential identification of early neural, cognitive, and affective markers that may predict AUD and onset or worsening of mental illness during adolescence and adulthood. Seven projects were funded in FY2012 under this FOA, collectively the National Consortium on Alcohol and Neurodevelopment in Adolescence (NCANDA). Building on NCANDA results, NIAAA, NIDA, and other NIH Institutes launched the Adolescent Brain Cognitive Development (ABCD) study. This large, multisite longitudinal study will follow a nationally representative sample of 10,000 children ages 9 and 10 into early adulthood, and will use noninvasive neuroimaging and cognitive, academic, social, emotional, and biological assessments to determine how childhood experiences interact with each other and with children's changing biology to affect brain development and other outcomes. On September 25, 2015, 13 awards were made, including for a coordinating center, a data analysis and informatics center, and 11 research project sites across the country.

College Drinking Prevention Initiative: The work of this initiative, which began more than a decade ago, continues to support and stimulate studies of the epidemiology and natural history of college-student drinking and related problems. Its ultimate goal is to design and test interventions that prevent or reduce alcohol-related problems among college students. NIAAA continues to have a sizable portfolio of projects that target college-age youth. Importantly, NIAAA convened a new College Presidents' Working Group in 2010 to (1) provide input to

the Institute on future research directions, (2) advise the Institute about what new NIAAA college materials would be most helpful to college administrators and in what format, and (3) recommend strategies for communicating with college administrators.

In response to the College Presidents' Working Group's request that NIAAA develop a "matrix" to help college administrators and staff navigate the many interventions available for addressing alcohol misuse on college campuses, NIAAA commissioned a team of experts to develop such a decision tool. The tool, launched in September 2015, provides information about individual- and environmental-level strategies that have been or might be used to address alcohol use among college students. For each strategy, information is provided about the amount and quality of available research; estimated effectiveness; estimated cost and barriers related to implementation; and time to implement—factors that may be relevant to campus and community leaders as they evaluate their current approaches and as they consider and select additional strategies to address college-student drinking using a comprehensive approach. An interactive web presence for the College Alcohol Intervention Matrix (CollegeAIM) was launched at the same time. CollegeAIM is the result of a multiyear collaboration and an extensive review of decades of research, much of it funded by NIAAA. NIAAA's goal is to provide science-based information in an accessible and practical way to facilitate its use as a foundation for college drinking prevention and intervention activities.

Building Health Care System Responses to Underage Drinking: The overarching goal of this program was to stimulate primary care health-delivery systems in rural and small urban areas to address the critical public health issue of underage drinking. This was a two-phase initiative. In the first phase (now complete), systems evaluated and upgraded their capacity to become platforms for research assessing the extent of underage drinking in the areas they serve and to evaluate their ability to reduce it. In the second phase, systems are prospectively studying the development of youth alcohol use and alcohol-related problems in the areas they serve and implementing and evaluating interventions that address underage drinking. Four Phase I awards were made, and subsequently two 5-year Phase II awards were made. One of the two Phase II projects is still ongoing.

Brief Intervention Research: This research provides an evidence base for effective brief interventions targeting youth in emergency rooms following alcohol-related events. Healthcare providers capitalize on a "teachable moment" to deliver a brief intervention meant to reduce problem drinking and associated difficulties. This approach complements school-based primary prevention programs by addressing cessation/reduction issues for adolescents who are already drinking, more fully addressing motivational issues related to misuse, and reaching school dropouts.

Adolescent Treatment Research Program: Since its inception in 1998, NIAAA's adolescent treatment research program has funded dozens of clinical projects, the majority of which have been clinical trials. These include behavioral intervention trials, pharmacotherapy trials, and health services studies. The program's objective is to design and test innovative, developmentally tailored interventions that use evidence-based knowledge to improve alcohol treatment outcomes in adolescents. Results of many of these projects will yield a broad perspective on the potential efficacy of family-based, cognitive-behavioral, brief motivational, and guided self-change interventions in a range of settings.

Multicomponent Community Interventions for Youth: In 2011, NIAAA funded a project titled “Cherokee Nation Prevention Trial: Interactive Effects of Environment & SBIRT,” which is creating, implementing, and evaluating an integrated community-level intervention to prevent underage drinking and the associated negative consequences among American Indian and White youth in rural high-risk communities in northeastern Oklahoma. The study uses community environmental change and brief intervention and referral approaches that will be evaluated alone and in combination.

Publications: NIAAA issued a screening guide for children and adolescents for use by health care practitioners titled *Alcohol Screening and Brief Intervention for Youth: A Practitioner’s Guide* in 2011 which the Institute continues to distribute broadly. NIAAA also disseminates information about prevention of underage drinking for a range of audiences through a variety of other publications, including factsheets (e.g., on underage drinking [http://pubs.niaaa.nih.gov/publications/UnderageDrinking/Underage_Fact.pdf]), on college drinking, and on *Parenting to Prevent Childhood Alcohol Use* (2010); an updated and expanded version of its booklet *Make a Difference—Talk to Your Child About Alcohol* (English and Spanish); two issues of *Alcohol Research & Health: Alcohol and Development in Youth: A Multidisciplinary Overview* (2004/2005) and *A Developmental Perspective on Underage Alcohol Use* (2009); and several *Alcohol Alerts*, including *Underage Drinking: Why Do Adolescents Drink, What Are the Risks, and How Can Underage Drinking Be Prevented?* (2006) and *A Developmental Perspective on Underage Alcohol Use* (2009); and a number of seasonal factsheets focusing on underage drinking issues surrounding high school graduation, the first weeks of college, and spring break.

With respect to drinking by students in U.S. colleges and universities, key resources include the widely cited report from NIAAA’s college drinking task force, *A Call to Action: Changing the Culture of Drinking at U.S. Colleges* (NIAAA, 2002); a brief update on college drinking titled *What Colleges Need to Know Now: An Update on College Drinking Research* (2007); and the CollegeAIM guide and website launched in 2015 (<http://www.collegedrinkingprevention.gov/collegeaim>).

NIAAA also sponsored and edited a special 2008 supplement to the journal *Pediatrics* titled *Underage Drinking: Understanding and Reducing Risk in the Context of Human Development*. Additional publications include a special July 2009 supplement to the *Journal of Studies on Alcohol and Drugs* on NIAAA’s rapid response initiative to reduce college drinking and *Update on the Magnitude of the Problem*; a 2009 article in the journal *Alcohol Research & Health* titled “A Developmental Perspective on Underage Alcohol Use”; and the lead article in the December 2010 issue of the *American Journal of Preventive Medicine*, “Alcohol risk management in college settings: The Safer California Universities Randomized Trial.”

In addition, two issues of NIAAA’s webzine, the *NIAAA Spectrum*, highlight underage and college drinking:
http://www.spectrum.niaaa.nih.gov/archives/v4i1Feb2012/media/pdf/NIAAA_Spectrum_Newsletter_Feb2012.pdf and
<http://www.spectrum.niaaa.nih.gov/archives/v4i3Sept2012/default.html>

NIAAA Website: The NIAAA website, <http://www.niaaa.nih.gov>, provides information and resources on the science and prevention of underage drinking, including links to NIAAA's college website (which includes CollegeAIM) and its youth-targeted website:

- *College Drinking Prevention Website:* NIAAA's website addressing alcohol use among college students (<http://www.collegedrinkingprevention.gov>) was recently redesigned and updated to permit easier navigation by topic or by audience. Updated features include new statistics, recent research papers, and presentations from task force participants along with a new section on choosing the right college.
- *CollegeAIM:* Located on the College Drinking Prevention website, NIAAA's CollegeAIM is available in an interactive format with (1) matrices that allow users to compare intervention options and create custom printouts of selected strategies and related references and potential resources; (2) a form-fillable PDF of the strategy planning worksheet for ready comparison of ratings of current and possible new strategies; and (3) detailed, practical answers to many frequently asked questions.
- *Cool Spot Website for Kids:* This website (<http://www.thecoolspot.gov>), targeted to youth ages 11 to 13, provides information on underage drinking, including effective refusal skills. Recent upgrades include a wide range of new sound effects and voiceovers throughout the site, a dedicated teacher and volunteer corner for use in middle-school classrooms or afterschool programs, and innovative ways to teach young people about peer pressure and resistance skills through a guided reading activity, along with two lesson plans that accompany the site's interactive features.

Activities Related to Underage Drinking

Alcohol Policy Information System (APIS): APIS is an electronic resource that provides authoritative, detailed information on alcohol-related policies in the United States at both state and federal levels. Designed primarily for researchers, APIS encourages and facilitates research on the impact and effectiveness of alcohol-related policies. Although not dedicated to underage drinking policies, APIS does provide information on policies relevant to underage drinking (e.g., retail alcohol outlet policies for preventing alcohol sales and service to those under age 21). Recognizing the changing legal environment, NIAAA, together with NIDA, is exploring the feasibility of tracking medical marijuana and the legalization of marijuana for recreational use with APIS.

Longitudinal and Genetic Epidemiology Studies and National Epidemiologic Survey on Alcohol and Related Conditions (NESARC): A number of longitudinal studies following subjects first identified as adolescents (along with genetic epidemiology studies) are particularly pertinent to underage drinking, as is NESARC, which includes people ages 18 to 21. Such studies could potentially enhance understanding of the etiology, extent, and consequences of underage alcohol consumption. Analysis of NESARC data indicates that 18- to 24-year-olds have the highest prevalence of alcohol dependence of any age group in the general population, underscoring the need for enhanced early prevention efforts. In 2012, NIAAA launched the NESARC III, the third in a series of NESARC surveys, which captured information on alcohol use disorder and other related mental health conditions from a large, nationally representative sample of the U.S. population. DNA samples were also collected and are being stored for future analyses. Data from the NESARC III survey provides important prevalence data about alcohol use disorder, related disorders and problems, and overall health that can be used to inform

advances in the prevention and treatment of alcohol use and related disorders, which affect millions of Americans of all ages every year.

National Institute on Drug Abuse (NIDA)/HHS

Activities Specific to Underage Drinking

None

Activities Related to Underage Drinking

Strong African American Families (SAAF) Program: SAAF is a family-centered risk behavior prevention program that enhances protective caregiving practices and youth self-regulatory competence. SAAF consists of separate parent and youth skill-building curricula and a family curriculum. Evaluations have confirmed SAAF's efficacy for 11-year-olds in preventing, across several years, the initiation of risk behaviors, including alcohol use; enhancing protective parenting practices; and increasing youth self-regulatory capabilities. The program was effective when primary caregivers had clinical-level depressive symptoms and when families reported economic hardship; it can also ameliorate genetic risk for involvement in health-compromising risk behaviors across preadolescence. A randomized controlled trial of SAAF targeted African American adolescents in high school ($N=502$) found that 22 months after baseline, the intervention had a significant impact on substance use and substance use problems (including alcohol), conduct problems, and depression symptoms for youth in the intervention condition, compared with youth in the control condition (Brody et al., 2012). Two randomized trials of SAAF examined the impact of the intervention in the context of genetic risk for increased alcohol use (Brody, Chen, & Beach, 2013). Results revealed that youth at increased genetic risk who did not receive SAAF intervention (control condition) showed greater increases in alcohol use over a 2-year period, compared with youth with genetic risk who did receive SAAF and youth without genetic risk who were assigned to either condition. Thus, SAAF was found to moderate genetic risk for alcohol use.

Adults in the Making (AIM): AIM is a drug abuse prevention intervention designed for rural African American adolescents during their high school years and their families. The six-session program supports the transition to adulthood by focusing on family protective factors and self-regulatory processes to increase resiliency, decrease alcohol use, and decrease the development of substance use problems during young adulthood. A randomized controlled trial of AIM for older adolescents (average age 17) and their families was conducted ($N=347$). Assessments were completed at baseline, 6.4, 16.6, and 27.5 months post baseline. AIM had a significant impact on reducing escalation of alcohol use and development of substance use problems for the intervention condition, compared with the control condition, for participants who were at higher risk at baseline (Brody et al., 2012). Reductions in risk-taking, intentions, and willingness to use alcohol and drugs, and perceptions of peers who use substances accounted for the effects of the intervention on outcomes for the higher risk youth (Brody et al., 2012).

After Deployment: Adaptive Parenting Tools (ADAPT): Adapted from an evidence-based Parent Management Training-Oregon (PMTO) model intervention, Parenting through Change, the ADAPT program is designed for military families with a parent reintegrating from the conflicts in Afghanistan and Iraq. ADAPT is a modified version of PMTO that is enhanced with web-based supports and is specific to military families and culture. ADAPT uses small-group

parenting sessions that provide support and skills for positive parent–child interactions, emotion regulation, and effective parenting practices. Previous research on PMTO interventions for families from universal and high-risk populations (e.g., divorcing families, low-income families, youth with early-onset conduct problems) has demonstrated that the program is effective in reducing coercive parenting and increasing positive parenting. Longitudinal follow-up studies have shown positive effects of PMTO on a broad array of outcomes, including child and parent adjustment, youth substance use and related behavior problems, and other areas of family functioning. Currently, a study of the ADAPT model is being conducted with 400 reintegrating Army National Guard (ARNG) families with 6- to 12-year-old children to test the effectiveness of the intervention for improving parenting and reducing child risk for substance use and related behavior problems and satisfaction with the program. An article describes the need for programs such as ADAPT, the PMTO evidence base supporting the program, and recommendations for providers for supporting parenting among military families as a way to reduce youth risk factors and promote well-being (Gewirtz, Erbes, Polusny, Forgatch, & Degarmo, 2011). Preliminary findings from the study testing ADAPT with integrating ARNG families, among the first 42 families assigned to the program, are that participation rates were high for both mothers and fathers and satisfaction was high across all 14 sessions of the intervention. These preliminary findings suggest the program is both feasible and acceptable (Gewirtz, Pinna, Hanson, & Brockberg, 2014).

Girl-Specific Intervention (GSI): Delivered via CD-ROM, GSI is a family-based intervention that targets mothers and their preadolescent and adolescent daughters to prevent substance use. GSI consists of 10 sessions targeting affective quality, coping, refusal skills, mood management, conflict resolution, problem solving, self-efficacy, body esteem, normative beliefs, social supports, and mother–daughter communication. In addition, the intervention targets family rituals, mothers’ use of rules against substance use, child management, mother–daughter affective quality, and mothers’ communication with their daughters. A previous test of the intervention with 202 pairs of predominantly White adolescent girls and mothers showed improvements in communication skills and conflict management. Compared with girls in the control condition, daughters who received the intervention reported improved alcohol use refusal skills, healthier normative beliefs about underage drinking, greater self-efficacy in avoiding underage drinking, less alcohol consumption (in the past 7 days, 30 days, and year), and lower intentions to drink as adults.

A randomized controlled trial tested the intervention with 11- to 13-year-old primarily Black and Hispanic girls and their mothers ($N=546$), delivered primarily within housing authority centers in New York (Schinke, Cole, & Fang, 2009; Schinke, Fang, Cole, & Cohen-Cutler, 2011). Girls in the intervention condition reported significant improvements in the quality of their communications with their mothers, perceptions of family rules against their substance use, perceptions of parental monitoring, and normative beliefs about substance use, compared with girls in the control condition. Rates of 30-day alcohol consumption were lower for girls in the intervention condition, compared with girls in the control condition. The intervention also had a significant impact on girls’ reports of depression; self-efficacy to avoid drugs; and intentions to drink, smoke, and use drugs in adulthood. Outcomes for mothers also favored GSI, with mothers in the intervention condition reporting significantly more rules against the use of drugs and higher levels of parental monitoring at post-test than mothers in the control condition.

Family-Based Substance Use Prevention Program: This is a family-based, internet-delivered substance use prevention program for early adolescent Asian girls. The intervention focused on enhancing mother–daughter communication and increasing maternal monitoring while also increasing girls’ resilience to resist substance use. The program included nine interactive sessions delivered online, which included interactive modules for the girls and mothers to complete together. For this study, 108 Asian American mother–daughter dyads were recruited through online advertisements and from community service agencies and randomly assigned to the intervention described or to a test-only control arm. At the 2-year follow-up, mother–daughter dyads who participated in the intervention had higher levels of mother–daughter closeness and communication and higher levels of maternal monitoring and family rules against substance use compared with the controls. Girls in the intervention arm showed sustained improvement in self-efficacy and refusal skills and lower intentions to use substances in the future. Of importance, girls in the intervention arm reported fewer instances of alcohol and marijuana use and prescription drug misuse, compared with girls in the control arm (Fang & Schinke, 2013). In a follow-up study, the effect of the intervention on adolescent girls’ substance use outcomes through family relationships and adolescent self-efficacy over 2 years was examined using path models. Findings showed that receiving the intervention produced a positive effect on girls’ family relationships at 1-year follow-up. This improvement was associated with girls’ increased self-efficacy, which in turn led to decreased alcohol use, marijuana use, and future intention to use substances among girls at the 2-year follow-up (Fang & Schinke, 2014).

Coping Power: Coping Power is a multicomponent child and parent preventive intervention directed at preadolescent children at high risk for aggressiveness and later substance abuse and delinquency. The child component is derived from an anger coping program primarily tested with highly aggressive boys and shown to reduce substance use. The Coping Power Child Component is a 16-month program for children in the 5th and 6th grades. Group sessions usually occur before or after school or during nonacademic periods. Training focuses on teaching children how to identify and cope with anxiety and anger; control impulsiveness; and develop social, academic, and problem-solving skills at school and home. Parents are also trained throughout the program. Efficacy and effectiveness studies show Coping Power to have preventive effects on youths’ aggression, delinquency, and substance use (including alcohol use). In a study of the intensity of training provided to practitioners, greater reductions in children’s externalizing behaviors and improvements in children’s social behaviors and academic skills occurred for those whose counselors received more intensive Coping Power training than for those in the basic Coping Power training or control conditions (Lochman et al., 2009). NIDA funded a study of Coping Power comparing the child component delivered in the usual small-group format with a newly developed individual format to determine whether the latter will produce greater reductions in substance use, children’s externalizing behavior problems, and delinquency at a 1-year follow-up assessment. This study included 365 4th-grade children randomly assigned by their school to group coping power (GCP) or individual coping power (ICP). Analyses of longitudinal assessments of teacher and parent reports of behavior collected from baseline through 1-year follow-up revealed that children in both conditions reduced teacher- and parent-reported externalizing behavior problems and internalizing problems by the end of the 1-year follow-up. However, the findings revealed that improvement in teacher-reported outcomes were significantly greater for children receiving the individual version of the program. In addition, the findings showed children with low initial levels of inhibitory control to

respond poorly in teacher-rated outcomes to group intervention compared with those who received the individually delivered intervention (Lochman et al., 2015). NIDA is also supporting an adaptation study of Coping Power with fewer in-person child and parent sessions that are augmented by multimedia, Internet-based intervention content.

EcoFIT (previously Adolescent Transitions Program; also referred to as Family Check-Up [FCU]): This tiered intervention targeted to children, adolescents, and their parents recognizes the multiple environments of youth (e.g., family, caregivers, peers, school, neighborhood). EcoFIT in schools uses a tiered approach to provide prevention services to students in middle and junior high school and their parents. The universal intervention level, directed to parents of all students in a school, establishes a Family Resource Room to engage parents, establish parenting practice norms, and disseminate information about risks for problem behavior and substance use. The selective intervention level uses the FCU, which offers family assessment and professional support to identify families at risk for problem behavior and development of youth substance use and mental health problems. The indicated level, the Parent Focused curriculum, provides direct professional support to parents to make the changes indicated by the FCU. Services may include behavioral family therapy, parenting groups, or case management services. Findings showed that the EcoFIT model reduced substance use in high-risk students 11 to 14 years old (grades 6–9), with an average of 6 hours of contact time with the parents. Adolescents whose parents engaged in the FCU had less growth in substance use and problem behaviors from ages 11 to 18, including arrests (Connell, Dishion, Yasui, & Kavanagh, 2007; Stormshak & Dishion, 2009).

Another study of the FCU on outcomes through grade 9, delivered in middle school with a sample of ethnically diverse families, found that youth whose parents engaged in the program had significantly lower rates of growth in behavioral health problems, from grades 6–9 as compared to a matched control group. This included lower rates of growth in involvement with deviant peers and alcohol use (Van Ryzin, Stormshak, & Dishion, 2012).

The FCU has been consistently associated with reductions in youth antisocial behavior, deviant peer group affiliation, and substance use. In a more recent study, the proximal changes in student-level behaviors that account for links between implementation of the FCU and changes in youth problem behavior were explored using data from a randomized controlled trial efficacy study of the FCU with students followed from 6th through 8th grades. The findings were that assignment to the FCU intervention was related to increased levels of students' self-regulation from 6th to 7th grades, which in turn reduced the risk for growth in antisocial behavior; involvement with deviant peers; and alcohol, tobacco, and marijuana use through the 8th grade (Fosco, Frank, Stormshak, & Dishion, 2013). The *Eunice Kennedy Shriver* National Institute on Child Health and Human Development funded a study in 2012, with cofunding from NIDA, to examine the role of parent–youth relationships in late adolescence on substance use and abuse during the transition to adulthood. This study also evaluates the preliminary efficacy of a late adolescence version of the FCU for preventing escalation of substance use during this developmental period and promoting positive behavioral health outcomes in early adulthood.

Strengthening Families Program for Parents and Youth 10–14 (SFP 10–14): SFP is a seven-session skill-building program for parents, youth, and families to strengthen parenting and family functioning and to reduce risk for substance abuse and related problem behaviors among youth. Program implementation and evaluation have been conducted through partnerships that include

state university researchers, cooperative extension system staff, local schools, and community implementers. Longitudinal comparisons with control group families showed positive effects on parents' child management practices (e.g., setting standards, monitoring children, applying consistent discipline) and on parent-child affective quality. In addition, an evaluation of this program found delayed initiation of substance use at the 6-year follow-up. Other findings showed improved youth resistance to peer pressure to use alcohol, reduced affiliation with antisocial peers, and reduced levels of problem behaviors. Importantly, conservative benefit-cost calculations indicate returns of \$9.60 per dollar invested in SFP 10–14. A longitudinal study of SFP 10–14 and LST together and LST alone found that 5.5 years after baseline (end of grade 12), both interventions together and LST alone reduced growth in substance initiation. Both interventions also prevented more serious substance use outcomes among youth at high risk (use of at least two substances) at baseline. SFP (Iowa Strengthening Family Program, SFP 10–14), alone and in combination with other universal school-based prevention interventions, has also been found to have an impact on prescription drug use in late adolescence and young adulthood (Spoth et al., 2013). In addition, a study that used data from three randomized trials of SFP, delivered in middle school, found significant long-term effects on prescription opioid misuse and prescription drug misuse overall during late adolescence and young adulthood (Spoth et al., 2013). This study supports the potential for broad public health impact of universal prevention interventions.

A currently funded study is supporting a long-term follow-up of a randomized trial of the multicomponent SFP 10–14 plus LST compared with LST alone, or a minimal contact control condition, following youth during late adolescence and emerging adulthood to further understand the long-term public health impact of universal prevention. Findings from a replication randomized controlled trial to extend the earlier study to examine outcomes into young adulthood showed reduced substance misuse in young adulthood through delayed substance use initiation in adolescence and revealed greater intervention benefits for those at higher risk for substance misuse (Spoth et al., 2014).

Good Behavior Game (GBG): GBG is a universal preventive intervention that provides teachers with a method of classroom behavior management. It was tested in randomized prevention trials in 1st- and 2nd-grade classrooms in 19 Baltimore City public schools beginning in the 1985–1986 school year and was replicated in the 1986–1987 school year with a second cohort. The intervention was aimed at socializing children to the student role and reducing early antecedents of substance abuse and dependence, smoking, and antisocial personality disorder—specifically, early aggressive or disruptive behavior problems. Analyses of long-term effects in the first-generation sample (1985–1986) at ages 19 to 21 show that, for men displaying more aggressive and disruptive behaviors in 1st grade, GBG significantly reduced drug and alcohol abuse and dependence disorders, regular smoking, and antisocial personality disorder. Currently, NIDA is supporting a long-term second-generation (1986–1987) follow-up through age 25, including DNA collection for gene x environment analyses. NIDA supported a trial of GBG delivery in a whole-school-day context that emphasizes reading achievement, along with pilot research on models for implementing GBG in entire school districts. In addition, NIDA supported a pilot study for formative research on the large-scale implementation of GBG within a school district that could inform a system-level randomized trial on scaling up GBG. The pilot research focused on developing district partnerships; determining community-level factors that influence program implementation; and ensuring the acceptance, applicability, and relevance of measures

and intervention design requirements for a large-scale trial. The conceptual framework guiding the development of the partnership and lessons learned are described in an article (Poduska, Gomez, Capo, & Holmes, 2012) that also addresses the implications for implementing evidence-based universal prevention programs such as GBG through research and practice partnerships.

Life Skills Training (LST): LST addresses a wide range of risk and protective factors by teaching general personal and social skills, along with drug resistance skills and normative education. This universal program consists of a 3-year prevention curriculum for students in middle or junior high school, with 15 sessions during the first year, 10 booster sessions during the second year, and 5 sessions during the third year. The program can be taught in grades 6, 7, and 8 (for middle school) or grades 7, 8, and 9 (for junior high school). LST covers three major content areas: drug resistance skills and information, self-management skills, and general social skills. The program has been extensively tested and found to reduce the prevalence of tobacco, alcohol, and illicit drug use relative to controls by 50 to 87 percent. NIDA currently funds a study examining the dissemination, adoption, implementation, and sustainability of LST.

Community-Level Studies: Community-level studies address questions related to the dissemination and implementation of evidence-based substance abuse prevention programs. Examples include the following:

- ***Communities That Care (CTC):*** An operating system for quality implementation of evidence-based preventive interventions targeted to specific risk and protective factors within the community, CTC provides a framework for assessing and monitoring community-level risk and protective factors, training, technical assistance, and planning and action tools for implementing science-based prevention interventions through community service settings and systems. The *Community Youth Development Study (CYDS)* is testing CTC in 7 states with 12 matched pairs of communities randomized to receive the CTC system or serve as controls. CYDS targets youth in grades 6 through 12. Participating communities selected and implemented evidence-based prevention interventions based on their community profile of risk and protective factors. A panel of 4,407 5th graders was recruited and followed annually to assess impact of the CTC system on substance use and related outcomes. Annual surveys of youth in grades 6, 8, 10, and 12 were also conducted.

CTC has demonstrated significant effects on substance use outcomes and delinquency from grades 5 through 10, including alcohol outcomes. For example, from grades 5 through 8, youth in the intervention condition had lower incidences of alcohol, cigarette, and smokeless tobacco initiation and significantly lower delinquent behavior than those in the control condition (Hawkins et al., 2008, 2009). At grade 10, the odds of initiating alcohol use by this grade were significantly lower (38 percent lower) in CTC communities than in the control communities (Hawkins et al., 2012). Youth in CTC communities also had a lower prevalence of current cigarette use and past-year delinquent and violent behavior than youth in control communities (Hawkins et al., 2012). At 12th grade, students in the CTC communities were more likely to have abstained from drinking alcohol, smoking cigarettes, and any drug use than students in the control communities. There were no significant differences in the prevalence of past-month or past-year substance use for youth in the CTC communities versus in the control communities. The findings at 12th grade suggest that the CTC system continued to prevent the initiation of substance use through 12th grade, 8 years

after implementation of CTC, but did not produce reductions in current levels of risk in 12th grade (Hawkins, Oesterle, Brown, Abbott, & Catalano, 2014).

Arthur and colleagues (2010) examined the implementation of core intervention elements by coalitions in CYDS and found that, compared with control coalitions, CYDS coalitions implemented significantly more of the CTC core elements (e.g., using community-level data on risk and protective factors to guide selection of effective prevention programs) and also implemented significantly higher numbers of tested, effective prevention programs. In addition, CTC communities had greater sustainability of tested and effective programs and delivered the programs to more children and parents than control communities (Fagan, Arthur, Hanson, Briney & Hawkins, 2011). Also, greater adoption of the CTC science-based approach to prevention was found to mediate the effects of CTC on youth outcomes in 8th grade (Brown et al., 2014). This finding supports use of the CTC model to impact youth outcomes at the community level. An economic analysis of CTC outcomes through 8th grade found a benefit–cost ratio of \$5.30 per dollar invested (Kuklinski, Briney, Hawkins, & Catalano, 2012). A more recent economic analysis of CTC outcomes through grade 12 found a benefit–cost ratio of \$8.22 per dollar invested (Kuklinski, Fagan, Hawkins, Briney, & Catalano, 2015). CTC materials are in the public domain and can be accessed for free through SAMHSA and through the Center for Communities that Care at the University of Washington.

- *PROmoting School/Community-University Partnerships to Enhance Resilience (PROSPER)*: An innovative partnership model for the diffusion of evidence-based preventive interventions that reduce youth substance use and other problem behaviors, the PROSPER partnership model links land-grant university researchers, the cooperative extension system, the public school system, and community stakeholders. A randomized trial of PROSPER was conducted in 28 school districts in rural and semi-urban communities in Iowa and Pennsylvania, blocked on size, and randomly assigned to the PROSPER partnership model or to a usual programming control condition. Approximately 10,000 6th graders recruited across two cohorts were enrolled in the study along with approximately 1,200 students and their parents. In the PROSPER condition, communities received training and support to implement evidence-based prevention through the partnership and selected interventions from a menu of efficacious and effective universal prevention programs.

Analyses 18 months after baseline revealed significant effects, compared with the control condition, on lifetime/new-user rates of substance use, particularly reduced new-user rates of marijuana, methamphetamine, ecstasy, and inhalant use; lower rates of initiation of gateway and illicit substance use; and lower rates of past-year marijuana and inhalant use and drunkenness (Spoth et al., 2007). Similar results were found at 4.5 years past baseline, with youth in the PROSPER condition reporting significantly lower lifetime/new-user rates of marijuana, cigarettes, inhalants, methamphetamine, ecstasy, alcohol use, and drunkenness compared with the control condition (Spoth et al., 2011). At grades 11 and 12, significant impacts on substance use were maintained for multiple substance use outcomes, and there were significantly greater impacts on youth at higher risk at baseline (Spoth et al., 2013). In terms of alcohol outcomes, there was a significant effect on frequency of drunkenness at grade 11 and a marginal effect on frequency of driving after drinking at grade 11 for the overall sample. Both of these outcomes were significant for youth at higher risk at baseline (Spoth et al., 2013). A continuation study was funded in 2012 to understand the effects of

PROSPER in emerging adulthood for participants who received evidence-based interventions in middle school. Reductions in substance abuse, antisocial behaviors, sexual risk behaviors, and improvements in healthy adult functioning are being examined. Effects of PROSPER through 6.5 years past baseline include reductions in conduct problem behaviors. Significant effects were found for students during 9th through 12th grades. Somewhat stronger effects were found for the higher risk subsample who had initiated substance misuse prior to the intervention (Spoth et al., 2015).

- *Community Monitoring Systems—Tracking and Improving the Well-being of America’s Children and Adolescents*: Community Monitoring Systems is a monograph that describes federal, state, and local monitoring systems that provide estimates of problem prevalence; risk and protective factors; and profiles regarding mobility, economic status, and public safety indicators. Data for these systems come from surveys of adolescents and archival records. Monitoring the well-being of children and adolescents is a critical component of efforts to prevent psychological, behavioral, and health problems and to promote successful adolescent development. Research during the past 40 years has helped identify aspects of child and adolescent functioning that are important to monitor. These aspects, which encompass family, peer, school, and neighborhood influences, have been associated with both positive and negative outcomes for youth. As systems for monitoring well-being become more available, communities will become better able to support prevention efforts and select prevention practices that meet community-specific needs. This NIDA publication is available online at <http://www.drugabuse.gov/publications/community-monitoring-systems-tracking-improving-well-being-americas-children-adolescents>.

Preventing Drug Use among Children and Adolescents—A Research-Based Guide for Parents, Educators, and Community Leaders, 2nd Edition: This booklet is based on a literature review of all NIDA prevention research from 1997 through 2002. Before publication, it was reviewed for accuracy of content and interpretation by a scientific advisory committee and reviewed for readability and applicability by a Community Anti-Drug Coalitions of America (CADCA) focus group. The publication presents the principles of prevention; information on identifying and using risk and protective factors in prevention planning; applying principles in family, school, and community settings; and summaries of effective prevention programs. The booklet is available at http://www.drugabuse.gov/sites/default/files/redbook_0.pdf.

National Drug and Alcohol Facts Week (NDAFW): NDAFW is a health observance week for teens that aims to provide accurate information about alcohol, tobacco, and drug abuse. During this week, NIDA and NIAAA also hold a Drug and Alcohol Facts Chat Day, where scientific staff from NIDA, NIAAA, and NIMH respond to questions and concerns from students on substance abuse and mental health topics. A companion NIDA publication, titled *Drug Facts: Shatter the Myths*, is also a resource for NDAFW. This publication answers teens’ most frequently asked questions about alcohol, tobacco, and drug use. The 2016 NDAFW was held in January 2016. Information on NDFW can be found at <http://drugfactsweek.drugabuse.gov>.

Family Check-Up (FCU)—Positive Parenting Prevents Drug Abuse: NIDA developed a web-based tool demonstrating parenting skills that have been found to help prevent the initiation and progression of drug use among youth. The tool presents five questions regarding specific parenting skills (e.g., communication with preadolescents) and provides a video clip for each that shows positive and negative examples of the skill. Additional videos and resources are provided

for parents to practice positive parenting skills. This tool is based on research on the FCU conducted by Dr. Thomas Dishion and colleagues at Oregon State University and the Oregon Social Learning Center. The FCU tool is housed on the NIDA website:

<http://www.drugabuse.gov/family-checkup>.

Monitoring the Future (MTF): MTF is an ongoing study of substance abuse (including alcohol) behaviors and related attitudes of secondary school students, college students, and young adults. Students in grades 8, 10, and 12 participate in annual surveys (8th and 10th graders since 1991, and 12th graders since 1975). Within the past 5 years, 45,000 to 47,000 students have participated in the survey each year. Follow-up questionnaires are mailed to a subsample of each graduating class every 2 years until age 35 and then every 5 years thereafter. Information on current findings from MTF can be found on the NIDA website:

<http://www.drugabuse.gov/related-topics/trends-statistics/monitoring-future>.

Substance Abuse and Mental Health Services Administration (SAMHSA)/HHS

Activities Specific to Underage Drinking

Summit on Behavioral Health Issues Among College Students: On March 16-17, 2015, SAMHSA convened this summit to bring together SAMHSA staff and prevention practitioners from the field to discuss SAMHSA’s Strategic Initiative on Prevention of Substance Abuse and Mental Illness and its implications for colleges and universities, as well as inform future potential products (e.g., funding, materials, training and technical assistance). Approximately 50 individuals representing institutions of higher education, states, national organizations, and federal agencies met to discuss current and emerging prevention issues related to underage drinking, prescription drug misuse and abuse, suicide, and mental health promotion related to college students.

“Talk. They Hear You.” National Media Campaign: SAMHSA’s Center for Substance Abuse Prevention (CSAP) continues with the national rollout of “Talk. They Hear You.,” a national media campaign to prevent underage drinking among youth ages 9 to 15 by providing parents and caregivers with information and resources they need to start addressing the issue of alcohol with their children early.

The campaign features a series of TV and print PSAs in English and Spanish. The PSAs show parents “seizing the moment” to talk with their children about alcohol. By modeling behaviors through the PSAs, parents can see the many “natural” opportunities for initiating the conversation about alcohol with their children. The campaign continues to expand its reach, and to date has distributed the PSAs to 10,279 outlets across the United States, including major airports, public transportation, billboards, broadcast and cable TV networks, radio stations, newspapers, and select magazines that reach parents. Since campaign inception, the PSAs have been distributed to all 50 states and more than 340 cities including the Greater Washington, DC, area.

The “Talk. They Hear You.” website (<http://www.samhsa.gov/underagedrinking>) includes tools and information for parents and communities to help prevent underage drinking. In 2015, SAMHSA introduced an updated version of the “Talk. They Hear You.” application that features

a science-based, interactive mobile application tool that allows parents to use avatars to practice conversations with their children about alcohol. As of November 4, 2015, the application has been downloaded 2,682 times through the Apple App Store, Google Play, and Windows 10 Store.

A conservative estimate of the overall reach of the campaign to date is 4.6 billion media impressions, or the number of times people have seen the campaign ads or messages. These figures are supplemented in part by a recent placement in national retailers.

“Talk. They Hear You.” has the support of more than 40 national groups, including CADCA and National Parent Teacher Association, which are assisting SAMHSA in disseminating the campaign.

Underage Drinking Prevention Education Initiatives: This SAMHSA/CSAP effort provides resources, message development, public outreach and education, and partnership development for preventing underage alcohol use among youth up to age 21. The initiative provides ongoing support for the ICCPUD web portal and the nationwide Town Hall Meetings initiative, Too Smart To Start (TSTS), the State/Territory Videos Project, and other national and community-based prevention initiatives conducted by SAMHSA and CSAP.

- ***ICCPUD Web Portal:*** SAMHSA, on behalf of ICCPUD, maintains a web portal (<http://www.stopalcoholabuse.gov>) dedicated to the issue of underage drinking. This portal consolidates comprehensive research and resources developed by the federal agencies of ICCPUD. The portal includes information on underage drinking statistics (i.e., prevalence, trends, consequences), evidence-based approaches, and other resources and materials that support prevention efforts. The web portal also contains on-demand copies of all webinars hosted by the ICCPUD agencies about evidence-based prevention of underage drinking. Direct links are provided to federally supported websites designed to prevent substance abuse, including alcohol. Information is intended to serve all stakeholders (e.g., community-based organizations involved in prevention, policymakers, parents, youth, educators). During 2015, SAMHSA added 132 news and research summaries to the ICCPUD web portal, reflecting the broad range of programs, products, services, initiatives, and research introduced or advanced by ICCPUD agencies throughout the year. The portal also includes a section for the Town Hall Meeting initiative and its supporting resources. During December 2015, the web section received an average of 1,230 visits per day, and the average time spent on the site was 6 minutes 20 seconds.
- ***Town Hall Meetings:*** In 2015, no Town Hall Meetings to prevent underage drinking were funded. The next biennially funded round of Town Hall Meetings will occur in 2016. SAMHSA, nevertheless, continued its substantial supports for past Town Hall Meeting event host organizations by providing a series of periodic electronic newsletters addressing emerging issues, promoting availability of resources, and providing tips for implementing evidence-based underage drinking prevention strategies. SAMHSA supports also included online trainings to help communities address the environmental factors contributing to underage drinking problems. In 2015, SAMHSA offered three webinar trainings in implementing underage drinking prevention at the local level: “Preventing Substance Abuse in the Middle Level,” “Happy Hour Restrictions from Theory to Practice,” and “Restricting Alcohol Outlet Density from Theory to Practice.” Strategic planning for the impending 2016 round of SAMHSA-funded Town Hall Meetings took place throughout 2015.

- *Partnership Development:* During 2015, SAMHSA increased its efforts to engage institutions of higher education in preventing underage and high-risk drinking. Toward that end, SAMHSA held a series of discussions with a variety of college, university, and community stakeholders. Discussions were designed to elicit insights into challenges and opportunities for addressing underage and high-risk drinking at colleges and universities nationwide. Engagement with institutions of higher education spanned a wide variety of activities including the following:
 - International Town and Gown Association (ITGA): A conference workshop was conducted at the 2015 ITGA Conference in Washington, DC, to engage university and community members in a discussion about the benefits of using SAMHSA-funded Town Hall Meetings as a catalyst for addressing underage and high-risk drinking.
 - Student Affairs Administrators in Higher Education (NASPA): SAMHSA’s deepening relationship with NASPA resulted in the student affairs organization conducting a small poll with members to discern their opportunities for SAMHSA to provide them with timely materials and services to assist their efforts to prevent and reduce the effect of high-risk alcohol consumption by students.
 - Campus Ministries: SAMHSA convened a meeting of campus ministry representatives to discuss possible collaborative activities.
 - Virtual Meeting with Campus Stakeholders: A meeting was conducted using online technologies to link more than 20 representatives of colleges and universities to discuss the challenges and opportunities of implementing evidence-based prevention strategies on campuses and overcoming the structural and perceptual barriers they face.
- *Too Smart to Start (TSTS):* TSTS is a national community education program targeting youth and teens as well as their parents, other caregivers, and educators. The program actively involves entire communities in sending clear, consistent messages about why children should reject underage drinking. The TSTS website provides factsheets, the Ready, Set, Listen! Game, and other information that encourages parents to talk with children about alcohol use. It also provides lesson plans for 5th- and 6th-grade classroom use on the effects of alcohol on the brain and body (<http://www.toosmarttostart.samhsa.gov>). SAMHSA plans to soon release a mobile application about the effects of alcohol on the brain in response to requests from 5th- and 6th-grade classroom educators for more interactive materials about underage drinking prevention.
- *Higher Education Video Pilot Project:* SAMHSA initiated the development of video series to assist the higher education field in creating a format for sharing ideas, success stories, and best practices with their local communities on underage drinking prevention strategies. A pilot video was created in 2015 with the working title “Lessons Learned” that highlights stories of successful underage and high-risk drinking prevention efforts as reflected by the professionals who have implemented these programs. The pilot video focuses on the value of top-down involvement in preventing student alcohol use and consequences, and contains interviews with Jonathan Gibraltar, Ph.D., former President of Frostburg State University, as well as members of his President’s Alcohol Task Force. Dr. Gibraltar also is Chair of NIAAA’s College Presidents Working Group on student alcohol use and an advocate of prevention.

Strategic Prevention Framework Network State Incentive Grant (SPF SIG) Program: The SPF SIG program is both an infrastructure and a service delivery grant program. The program supports an array of activities to help grantees build a solid foundation for delivering and sustaining effective substance abuse prevention services and reducing substance abuse problems. Following the SPF's five-step process, SPF SIG grantees develop comprehensive plans for prevention infrastructure and systems at the state and tribal levels. Ultimately, SPF SIG states/tribes assist and support selected subrecipient communities to implement effective programs, policies, and practices to reduce substance abuse and its related problems. Eighty-five percent of the SPF SIG grant award must be allocated to communities to address identified priority substance abuse problems. CSAP has awarded SPF SIGs to 50 states, the District of Columbia, 8 U.S. territories, and 19 tribes. Cohort I grants were awarded in FY 2004, Cohort II in FY 2005, Cohort III in FY 2006, Cohort IV in FY 2009, Cohort V in FY 2010, and Cohort VI in 2012. Cohort VI consists of Idaho, the final state to receive SPF SIG funding. The SPF SIG program provides the foundation for success of the SPF - Partnerships for Success (PFS) Grant Program.

All SPF SIGs support the goals of the underage drinking initiative, because all grant tasks, including needs assessment, capacity building, planning, implementation, and evaluation, must be carried out with consideration for the issue of underage drinking. As of 2014, 77 of the 79 grantees funded in Cohorts I through VI had approved SPF SIG plans and had disseminated funds to communities. In FY 2013, 64.6 percent of grantee states in Cohorts I, II, III, IV, and V demonstrated a decrease in past 30-day use of alcohol among respondents ages 12 to 20, down from 78.0 percent in FY 2012. Likewise, 42.0 percent demonstrated a decrease for individuals age 21 or older, down from 56 percent in FY 2012.

Strategic Prevention Framework Partnerships for Success (SPF PFS) Program: The SPF PFS program was initiated in FY 2009 with the goals of reducing substance abuse-related problems; preventing the onset and reducing the progression of substance use disorders; strengthening prevention capacity and infrastructure at the state and community levels in support of prevention; and leveraging, redirecting, and realigning statewide funding streams for substance abuse prevention. Beginning in FY 2012, the PFS program has concentrated on addressing two of the nation's top substance abuse prevention priorities: underage drinking among youth and young adults ages 12 to 20 and prescription drug misuse and abuse among individuals ages 12 to 25. SAMHSA awarded 15 grants in 2012. In FY 2013, 16 grants were awarded, and in FY 2014, 21 PFS grants were awarded.

SPF-PFS grantees are expected to meet several key requirements. First, states must use a data-driven approach to identify which of the substance abuse prevention priorities they propose to address using the SPF-PFS funds. States must use SPF-PFS funds to address one or both of these priorities. At their discretion, states may also use SPF-PFS funds to target an additional, data-driven prevention priority in their state. Second, states must develop an approach to funding communities of high need (i.e., subrecipients) that ensures that all funded communities receive ongoing guidance and support from the state, including technical assistance and training. Grants awarded in FY 2014 included tribal applicants. These grantees were encouraged to address marijuana and heroin use as emergent priority issues. Of the 52 states/tribes awarded

funding, 42 have chosen to target underage drinking. Nine of the 42 have chosen underage drinking as their sole priority.

Strategic Prevention Framework Partnerships for Success (SPF PFS) Program II: Over a 3-year period, the SPF-PFS II is designed to address two of the nation's top substance abuse prevention priorities: (1) underage drinking among people ages 12 to 20 and (2) prescription drug misuse and abuse among people ages 12 to 25. PFS II grantees are permitted to choose a subset of these respective age ranges for the two prevention priorities based on their data findings. The SPF-PFS II is also intended to bring SAMHSA's SPF to a national scale. These awards provide an opportunity for recipients of the Substance Abuse Prevention and Treatment Block Grant (SABG) that have completed a SPF SIG and are not currently funded through SAMHSA's PFS grants to acquire additional resources to implement the SPF process at the state and community levels. Equally important, the SPF-PFS II program promotes alignment and leveraging of prevention resources and priorities at the federal, state, and community levels.

SPF-PFS II grantees are expected to meet several key requirements. First, states must use a data-driven approach to identify which of the substance abuse prevention priorities they propose to address using the SPF-PFS II funds. States must use SPF-PFS II funds to address one or both of these priorities. At their discretion, states may also use SPF-PFS II funds to target an additional, data-driven prevention priority in their state. Second, states must develop an approach to funding communities of high need (i.e., subrecipients) that ensures that all funded communities receive ongoing guidance and support from the state, including technical assistance and training. Of the 15 states awarded funding, 11 have chosen to target underage drinking. Three of the 11 have chosen underage drinking as their sole priority.

STOP Act Grant Program: In December 2006, the STOP Act was signed into public law establishing the STOP Act grant program. The program requires SAMHSA's CSAP to provide \$50,000 per year for 4 years to current or previously funded Drug-Free Communities Program (DFC) grantees to enhance the implementation of evidence-based practices that are effective in preventing underage drinking. It was created to strengthen collaboration among communities, the federal government, and state, local, and tribal governments; enhance intergovernmental cooperation and coordination on the issue of alcohol use among youth; and serve as a catalyst for increased citizen participation and greater collaboration among all sectors and organizations of a community that have demonstrated a long-term commitment to reducing alcohol use among youth.

STOP Act grant recipients are required to develop strategic plans using SAMHSA's Strategic Prevention Framework process, which includes a community needs assessment, an implementation plan, a method to collect data, and the evaluation, monitoring, and improvement of strategies being implemented to create measurable outcomes. Grantees are required to report every 2 years on four core Government Performance and Results Act (GPRA) measures: frequency of use (past 30 days), perception of risk or harm, perception of parental disapproval and attitude toward peer use across at least three grades from grades 6 through 12. SAMHSA's CSAP currently funds 97 community coalitions in 29 states across the United States. CSAP awarded 80 grants in Cohort III (which extends from FY 2012 to FY 2016) and 17 grants in Cohort IV (which extends from FY 2013 to FY 2017).

Activities Related to Underage Drinking

Substance Abuse Prevention and Treatment Block Grant (SABG): The SABG is a major funding source for substance abuse prevention and treatment in the United States, including the prevention and treatment of alcohol use disorders among adolescents. SABG grantees are required to use at least 20 percent of their grant allotment on primary prevention services targeted to individuals not in need of substance abuse treatment. Many grantees use prevention funding to target the prevention of alcohol use, particularly among youth. Almost all (98.3 percent) of SABG grantees reported that they planned to use 2015 SABG funding to target underage drinking, making alcohol use among youth the most targeted prevention priority among SABG grantees.

Partnership for Success (PFS): State and Community Prevention Performance Grant: The PFS is designed to provide states with up to 5 years of funding to achieve quantifiable decline in statewide substance abuse rates, incorporating a strong incentive to grantees that have met or exceeded their prevention performance targets by the end of the third year of funding. Grant awards were made to states with the infrastructure and demonstrated capacity to reduce substance abuse problems and achieve specific program outcomes. The overall goals of the PFS are to reduce substance abuse-related problems; prevent the onset and reduce the progression of substance abuse, including childhood and underage drinking; strengthen capacity and infrastructure at the state and community levels in support of prevention; and leverage, redirect, and realign statewide funding streams for prevention. Four states were funded in Cohort I and one state was funded in Cohort II of the grant.

National Helpline (1-800-662-HELP): Individuals with alcohol or illicit drug problems or their family members can call the SAMHSA National Helpline for referral to local treatment facilities, support groups, and community-based organizations. The Helpline is a confidential, free, 24-hour-a-day, 365-days-a-year information service available in English and Spanish. Information can be obtained by calling the toll-free number or visiting the online treatment locator at <http://www.samhsa.gov/treatment>.

State Adolescent Treatment Enhancement and Dissemination (SAT-ED) Grant: SAT-ED brings together stakeholders across the state/territory systems serving adolescents (12 to 18 years old) to develop and enhance a coordinated network that will develop policies, expand workforce capacity, disseminate EBPs, and implement financial mechanisms and other reforms to improve the integration and efficiency of the treatment and recovery support system for adolescent substance use and co-occurring substance use and mental disorders.

State Adolescent and Transitional Aged Youth Treatment Enhancement and Dissemination (SYT-ED) Grant: SYT-ED brings together stakeholders across the state/tribal systems serving adolescents and transitional-age youth to develop and enhance a coordinated network that will develop policies, expand workforce capacity, disseminate EBPs, and implement financial mechanisms and other reforms to improve the integration and efficiency of the adolescent and transitional-age youth substance use and co-occurring substance use and mental disorders treatment and recovery support system. The population targeted is 12 to 24 years of age.

Screening, Brief Intervention, Referral, and Treatment (SBIRT) Grants: SBIRT involves implementation of a system in community and specialist settings that screens for and identifies

individuals with substance use-related problems. Depending on the level of problems identified, the system either provides for a brief intervention in a generalist setting or motivates and refers individuals with high-level problems and probable substance dependence disorder diagnoses to a specialist setting for assessment, diagnosis, and brief or long-term treatment. This includes training in self-management and involvement in mutual help groups as appropriate. SBIRT grants are administered by SAMHSA's Center for Substance Abuse Treatment (CSAT). Several SBIRT grantees have developed programs that are available to individuals under age 21. CSAT has awarded 63 SBIRT student training grants for FY 2016. Additional SBIRT information, including related publications, is available at <http://www.samhsa.gov/sbirt>.

Offender Reentry Program (ORP): This CSAT program addresses the needs of juvenile and adult offenders who use substances and are returning to their families and communities from incarceration in prisons, jails, or juvenile detention centers. ORP forms partnerships to plan, develop, and provide community-based substance abuse treatment and related re-entry services for target populations. The juvenile ORP targets youths ages 14 to 18, and the adult ORP includes adults ages 19 to 20.

Program to Provide Treatment Services for Family, Juvenile, and Adult Treatment Drug Courts: By combining the sanctioning power of courts with effective treatment services, drug courts break cycles of child abuse and neglect, criminal behavior, alcohol and drug use, and incarceration or other penalties. Motivational strategies are developed and used to help adolescents deal with the often powerful negative influences of peers, gangs, and family members. SAMHSA/CSAT funds Juvenile Treatment Drug Court grants to provide services to support substance abuse treatment, assessment, case management, and program coordination for those in need of treatment drug court services.

Programs for Improving Addiction Treatment: SAMHSA/CSAT supports a variety of programs to advance the integration of new research into service delivery and improve addiction treatment nationally. For example, the Addiction Technology Transfer Center (ATTC) Network identifies and advances opportunities for improving addiction treatment. It assists practitioners and other health professionals in developing their skills and disseminates the latest science to the treatment community, providing academic instruction to those beginning their careers as well as continuing education opportunities and technical assistance to people already working in the addictions field. Ten ATTCs are located in the 10 HHS-designated regions, and four ATTCs focus on areas of specific issues in addiction treatment (Hispanic/Latino issues, AI/AN issues, rural and frontier issues, and SBIRT). For more information on the ATTC Network, including related publications and resources, see <http://www.ATTCNetwork.org>.

In addition, CSAT has produced several Treatment Improvement Protocols (TIPs) that address a wide array of concerns. These TIPs include TIP 16: *Alcohol and Drug Screening of Hospitalized Trauma Patients*; TIP 24: *A Guide to Substance Abuse Services for Primary Care*; TIP 31: *Screening and Assessing Adolescents for Substance Use Disorders*; TIP 32: *Treatment of Adolescents with Substance Use Disorders*; TIP 34: *Brief Interventions and Brief Therapies for Substance Abuse*; TIP 36: *Substance Abuse Treatment for Persons with Child Abuse and Neglect Issues*; and TIP 39: *Substance Abuse Treatment and Family Therapy*. Another relevant CSAT publication is the five-volume, evidence-based *Cannabis Youth Treatment* series.

Fetal Alcohol Spectrum Disorders (FASDs): SAMHSA’s FASD Center for Excellence (CFE) is an alcohol prevention initiative addressing innovative techniques and effective strategies for preventing alcohol use among women of childbearing age and providing assistance to people and families affected by FASD. States, communities, juvenile justice systems, and academic institutions are in the process of improving their service delivery systems and policies and procedures to screen at intake for FASD among children, youth, and adults and refer individuals for interventions or for diagnosis, if necessary. These systems also participate in surveillance to create sustainable evidence-based responses to FASD. This initiative does not specifically target underage drinkers, but it is expected that through the current FASD CFE’s collaboration with SAMHSA/CSAP underage drinking programs, more children, youth, and adults will be reached, educated, and trained on co-occurring issues (substance use/abuse) across the lifespans of individuals with FASD.

The FASD CFE website (<http://www.fasdcenter.samhsa.gov>), reported 187,467 unique visitors and 493,276 total visits from January to December 2011 and 160,364 unique visitors and 429,991 total visits from January to September 2012. SAMHSA is also a member of ICCFASD, comprising federal partners such as NIAAA, HRSA, IHS, and the National Center for Birth Defects and Disabilities of the CDC.

Tribal Training and Technical Assistance Center: The Tribal TTA Center provides TTA on mental and substance use disorders, suicide prevention, and promotion of mental health to federally recognized tribes, other AI/AN communities, SAMHSA tribal grantees, and organizations serving Indian Country. The TTA is culturally relevant, evidence based, and holistic. It is designed to support Native communities in their self-determination efforts through infrastructure development and capacity building, as well as program planning and implementation. TTA includes targeted site visits, virtual learning communities, Gatherings of Native Americans, and Tribal Action Plan training.

Office of Indian Alcohol and Substance Abuse (OIASA): OIASA is responsible for aligning, leveraging, and coordinating with federal agencies and departments in carrying out the responsibilities delineated in the Tribal Law and Order Act. The office director chairs the Indian Alcohol and Substance Abuse Interagency Coordinating Committee. This committee coordinates across federal agencies responsible for addressing alcohol and substance abuse issues, including the Department of Interior’s Bureau of Indian Affairs and Bureau of Indian Education, DOJ’s Office of Justice Programs and Office of Tribal Justice, and HHS’ IHS and other agencies in charge of assisting Indian Country.

Safe Schools/Healthy Students (SS/HS) Initiative: SS/HS seeks to create healthy learning environments that help students thrive, succeed in school, and build healthy relationships. A central goal of the initiative is to prevent children from consuming alcohol and drugs, and the implementation of evidence-based programs such as Class Action, Family Matters, and Project Alert helps achieve this goal. The initiative also supports a variety of prevention activities involving families and communities such as “Safe Home Pledges” that ask parents to commit to maintaining a safe and alcohol-free environment (e.g., not serve alcohol to minors) and public forums and town hall meetings on drug and alcohol abuse. The results demonstrate that the initiative has been successful in reducing alcohol consumption among students at participating SS/HS school districts. Between Year 1 and Year 3 of the grant, the percentage of students who reported drinking declined from 25.4 percent to 22.4 percent (according to GPRA data). This

represents a decrease from 27,521 students drinking in Year 1 to 24,270 students drinking in Year 3. Furthermore, more than 80 percent of school staff reported the SS/HS grant helped reduce alcohol and other drug use among students. Reported 30-day alcohol use decreased nearly 12 percent from year 1 to year 3 of the grant (25.4 percent to 22.4 percent) for the 2005–2007 cohorts. This correlates to approximately 3,250 fewer students drinking in year 3, enough to fill 130 classrooms.

Implementing Evidence-Based Prevention Practices in Schools (Prevention Practices in Schools): This grant program provides funding to schools to implement the GBG, a universal classroom preventive evidence-based practice provided to school-aged children. It has been proven to reduce antisocial behavior, alcohol and tobacco addiction, and suicidal ideation in young adults. Disruptive and aggressive behavior in classrooms as early as the 1st grade has been identified as a risk factor for the development of substance abuse, antisocial behavior, and violent criminal behavior. The GBG was rigorously tested in clinical trials in Baltimore City public schools. Prevention Practices in Schools is a pilot grant program in its third year of a 5-year grant and has reached 16,019 of students so far.

National Survey on Drug Use and Health (NSDUH): NSDUH is an annual survey of the civilian, noninstitutionalized population of the United States age 12 or older. It is the primary source of information for both national and state use of illicit drugs, alcohol, and tobacco. Estimates also include substance use disorders, substance use treatment, mental health measures, mental health service use, and co-occurring substance use disorders. Approximately 68,000 persons are interviewed in NSDUH each year through in-person residential visits.

Behavioral Health Services Information System (BHSIS): BHSIS, conducted by SAMHSA’s Center for Behavioral Health Statistics and Quality, is the primary source of national data on substance abuse treatment services. BHSIS offers information on treatment facilities with special programs for adolescents as well as demographic and substance abuse characteristics of adolescent treatment admissions. BHSIS comprises the following components:

- *Inventory of Behavioral Health Services (I-BHS)* is a list of all known public and private substance abuse and mental health treatment facilities in the United States and its territories.
- *National Survey of Substance Abuse Treatment Services* is an annual survey of all substance abuse treatment facilities in the I-BHS. It collects data on location, characteristics, services offered, and usage. It is used to update the National Directory of Drug and Alcohol Abuse Treatment Programs and the online Behavioral Health Treatment Services Locator.
- *National Mental Health Services Survey (N-MHSS)* is an annual survey of all mental health treatment facilities. It collects data on location, characteristics, services offered, and usage. It is used to update the Behavioral Health Treatment Facility Locator.
- *Treatment Episode Data Set (TEDS)* is a compilation of data on the demographic and substance abuse characteristics of admissions to and discharges from substance abuse treatment, primarily at publicly funded facilities. State administrative systems routinely collect treatment admission information and submit it to SAMHSA in a standard format.

Drug Abuse Warning Network (DAWN): Conducted by SAMHSA, DAWN was a nationally representative public health surveillance system that continuously monitored drug-related visits to hospital emergency departments. DAWN ceased data collection at the end of 2011.

In 2012, SAMHSA began a partnership with National Center for Health Statistics (NCHS) to incorporate DAWN into the National Hospital Care Survey (NHCS). The NHCS combines two NCHS surveys, the National Hospital Ambulatory Medical Care Survey (NHAMCS) and the National Hospital Discharge Survey (NHDS), as well as DAWN. By moving DAWN into the NHCS, SAMHSA was able to improve response rate with a large, nationally representative sample of hospital emergency departments, reduce cost, and expand information collected (e.g., health insurance coverage information, diagnoses, treatment, ability to track emergency department patients who have been admitted into the hospital through the emergency department). In addition, the NHCS will collect data on mental health-related emergency department visits. Under this new data collection effort, SAMHSA will publish drug- and mental health-related visit data as SAMHSA's Emergency Department Surveillance System (SEDSS). SAMHSA continues to work with NCHS to implement content and develop the survey methodology and statistical design. Currently, NCHS is working to recruit hospitals with publishable data expected in 2016.

Between 2012 and 2015, SAMHSA continued to analyze and report existing DAWN data. Currently, SAMHSA is investigating other data resources to report drug and mental health-related emergency department visits until SEDSS data are available.

Substance Abuse Prevention Interagency Working Group (IWG) and the Treatment Coordination Group (TCG): ONDCP coordinates the Interagency Working Group and the Treatment Coordination Group. Both groups are comprised of federal agencies whose programs and initiatives related to substance use support the goals of the National Drug Control Strategy. Agency representatives identified major issues for focus: preventing substance use, including nonmedical use of opioid pain relievers and heroin use, and expanding treatment and recovery support services. These groups have helped shape the National Drug Control Strategy. Underage drinking is also a key area of attention. In 2012, ONDCP along with its federal partners participated in several events on underage drinking with associations and institutions of higher education. The goal was to encourage implementation of EBPs and strategies and foster ongoing collaboration and communication on effective programs, policies, and practices.

Drug Free Communities Support Program (DFC): The DFC Program, created by the Drug-Free Communities Act of 1997, is the nation's leading effort to mobilize communities to prevent youth substance use. DFC is a program of the Office of National Drug Control Policy administered by SAMHSA under an inter-agency agreement. DFC provides grants to community coalitions to strengthen the infrastructure among local partners to create and sustain a reduction in local youth substance use. Recognizing the fundamental concept that local problems need local solutions, the program requires funded coalitions to implement environmental strategies—broad initiatives aimed at addressing the entire community through the adaptation of policies and practices related to youth substance use. Since 1997, the program has funded more than 2,000 community coalitions and mobilized community coalition members throughout the United States, the District of Columbia, Puerto Rico, American Samoa, and the Federated States of Micronesia (Palau).

To support the DFC goal of increased community collaboration regarding prevention of youth substance use, DFC grantees are required to engage community members from 12 sectors in order to conduct their work. Based on the median number of staff and active sector members from each community coalition, the FY 2013 DFC grantees mobilized approximately 25,000

individuals to engage in youth substance use prevention work. DFC grantees report core measures data every 2 years on four substances—alcohol, tobacco, marijuana, and illicit use of prescription drugs—for at least three grade levels between 6th and 12th grades. Grantees collect data on the following four measures: past 30-day use, perception of risk or harm of use, perception of parental disapproval of use, and perception of peer disapproval of use. Among the four core substances tracked by DFC, alcohol is reported by coalitions to be the most prevalent substance used at the high school level (92.7 percent of grantees) and at the middle school level (79.9 percent of grantees). In the past 10 years of program evaluation, DFC-funded communities have achieved significant reductions in youth substance use. The 2014 DFC National Evaluation Report found significant decreases in youth substance use across alcohol, marijuana, tobacco, and illicit use of prescription drugs, and generally found increases in youth perception of risk. For additional information, visit the DFC website at <https://www.whitehouse.gov/ondcp/drug-free-communities-support-program>.

National Youth Anti-Drug Media Campaign: Through its teen brand “Above the Influence” (ATI), the National Youth Anti-Drug Media Campaign provided ongoing messaging and tools to prevent teen use of drugs and alcohol. Among the channels used to reach youth were an ATI Facebook page, an ATI website, and teen-targeted national media coupled with local outreach. In May 2014, the ATI Campaign was transitioned to the Partnership for Drug-Free Kids. The Partnership was a close collaborator of the ATI campaign since its launch in 2005 and is committed to maintaining teens’ awareness and engagement with the brand at the national level through donated and social media efforts, and will continue to support local outreach activities at the following website: <http://www.ATIpartnerships.com>.

National Registry of Evidence-based Programs and Practices (NREPP): NREPP is a searchable online registry of mental health and substance abuse interventions that have been reviewed and rated by independent reviewers. It identifies scientifically tested approaches to preventing and treating mental and substance use disorders that can be readily disseminated to the field. NREPP exemplifies SAMHSA’s work to improve access to information on tested interventions and thereby reduce lag between the creation of scientific knowledge and its practical application in the field. For every intervention NREPP reviews, it publishes an intervention summary on its website that describes the intervention and its targeted outcomes and provides expert ratings of the quality of the research and its readiness for dissemination. This information helps individuals and organizations determine whether a particular intervention may meet their needs. SAMHSA advises having direct conversations with intervention developers and other contacts listed in the summary before selecting and implementing an intervention. As of fall 2015, more than 360 programs were evaluated by NREPP and posted on the NREPP website. For more information on NREPP, visit <http://www.nrepp.samhsa.gov>.

Center for the Application of Prevention Technologies (CAPT): SAMHSA’s CAPT is a national TTA system committed to regional, state, and local efforts to prevent substance use and misuse, and to strengthening and building the nation’s prevention workforce. SAMHSA’s CAPT provides face-to-face and virtual TTA services to 76 entities (50 states, 17 tribes, and 9 jurisdictions) receiving funding through any of the following SAMHSA grant programs: SPF State/Tribal Incentive Grants (SPF SIGs/TIGs); PFS II, 2013 and 2014; and the SABG.

During FY 2014 and FY 2015, CAPT provided a range of services focusing on underage drinking prevention. In April, CAPT facilitated a national peer-sharing conference call titled

“From Underage Drinking to Rx Drugs: Lessons for Addressing New Prevention Priorities.” The event included presentations from PFS II and PFS 2013 grantees, and provided an opportunity for grantees to discuss their successes developing partnerships with new stakeholders, as well as their experiences implementing an assortment of evidence-based strategies. Participants included state and tribal practitioners from New York, Tennessee, Delaware, Illinois, Indiana, Oklahoma, Texas, Iowa, South Dakota, Colorado, Rocky Mountain Tribal Leaders Council, California Native America Health Center, Idaho, Oregon, and Cook Inlet Tribal Council.

The CAPT also worked to strengthen the capacity of multiple states, tribes, and jurisdictions across the country to prevent underage drinking. For example, in September, the CAPT delivered a virtual training to Montana’s T/TA contractors, evaluators, and subrecipients on environmental change strategies to prevent underage drinking. The training reviewed examples of environmental strategies and explored opportunities for using the SPF process to identify and implement such strategies. In October, CAPT staff members trained members of the Guam Alternative Lifestyle Association on preventing underage drinking among the island’s LGBTQ population. The training explored risk and protective factors associated with underage drinking, evidence-based programs and strategies shown to address salient factors, and opportunities to develop partnerships with other organizations that provide services to LGBT individuals.

Also in FY 2015, CAPT provided the 4-day *Substance Abuse Prevention Skills Training (SAPST)* 22 times to 215 prevention practitioners. Seven of the trainings were for prevention practitioners working in states, tribes, and jurisdictions; five were customized SAPSTs for practitioners serving AI/AN, and 10 were trainings-of-trainers (TOT) events designed to develop the capacity of grantees to deliver the SAPST independently. Grounded in current research, the SAPST prepares practitioners to implement the five steps of SAMHSA’s SPF: assessment, capacity-building, planning, implementation, and evaluation.

Finally, the CAPT developed a number of tools to support the prevention of underage drinking. For example, the CAPT revised two existing decision-support tools to highlight current research on college/campus populations: *Risk and Protective Factors Associated with Binge or Episodic Drinking Among Adolescents and Young Adults* and *Strategies to Prevent Binge or Heavy Episodic Drinking Among Adolescents and Young Adults*.

Office of the Assistant Secretary for Health (OASH), Office of the Surgeon General (OSG), and Office of Adolescent Health (OAH)/HHS

Activities Specific to Underage Drinking

Dissemination of the Surgeon General’s Call to Action and the Guides: The ICCPUD agencies continue to promote the 2007 *Surgeon General’s Call to Action* and the accompanying *Guides to Action* as a key source of information on addressing the national health problem of underage drinking. The *Surgeon General’s Call to Action* and the *Guides* are available at <http://www.surgeongeneral.gov/library/calls/index.html>.

Activities Related to Underage Drinking

National Prevention Strategy: America’s Plan for Better Health and Wellness: In June 2011, the National Prevention, Health Promotion, and Public Health Council announced the release of the National Prevention Strategy, a comprehensive plan to help increase the number of

Americans who are healthy at every stage of life. Included in the Prevention Strategy is the section “Preventing Drug Abuse and Excessive Alcohol Use,” which specifically addresses the need to prevent excessive alcohol use, including underage drinking. Recommendations made in this section of the strategy identify the need for more stringent alcohol control policies, advocate for the creation of environments that empower young people not to drink, and promote the use of SBIRT to screen for abuse. OSG continues to work with the 20 federal departments and agencies that compose the National Prevention Council to support implementation of the National Prevention Strategy. More information is available from the 2014 Annual Status Report at <http://www.surgeongeneral.gov/initiatives/prevention/about/index.html>.

Office of Adolescent Health Website: The OAH website provides resources for parents and adolescents who are struggling with alcohol use (<http://www.hhs.gov/ash/oah/adolescent-health-topics/substance-abuse/alcohol.html> and <http://www.hhs.gov/ash/oah/resources-and-publications/info/parents/other-conversations/alcohol>). State-level data on adolescent alcohol use are at <http://www.hhs.gov/ash/oah/adolescent-health-topics/substance-abuse/fact-sheets>.

Adolescent Health: Think, Act, Grow (TAG): In November 2014, OAH announced TAG. OAH worked with 80 youth-related organizations to develop this national call to action to promote all aspects of adolescent health. The TAG section of the OAH website includes free resources for youth-serving professionals, family members, and teens, including state and national data and a TAG Playbook and Toolkit. Planned TAG activities include Twitter chats, webcasts, and additional free materials for download. More information about TAG is at <http://www.hhs.gov/ash/oah/tag>.

Office of Juvenile Justice and Delinquency Prevention (OJJDP), Department of Justice (DoJ)

Activities Specific to Underage Drinking

Enforcing the Underage Drinking Laws (EUDL): The EUDL block grant program has provided national leadership in ensuring that states, territories, and communities have the information, training, and resources needed to enforce underage drinking laws since 1998. Because of reductions in funding for the EUDL initiative in FY 2014, the OJJDP was no longer able to support the block grant program. Alternatively, in FY 2014, OJJDP directed all available EUDL funding to support a new initiative, Tribal Healing to Wellness Court, that addressed underage alcohol access and consumption by Native youth minors in five competitively selected tribes. Those programs remain active in FY 2015.

Underage Drinking Enforcement Training Center (UDETC): UDETC provided TTA to adults and youth as a major component of the EUDL program. UDETC identified science-based strategies, published supporting documents, delivered training, and provided technical assistance to support the enforcement of underage drinking laws for the past 16 years. Since 1999, UDETC worked with EUDL coordinators in all 50 states, the District of Columbia, and 5 U.S. territories to coordinate TTA for prevention and reduction of underage drinking. UDETC accomplished its mission by providing onsite trainings; expert technical assistance by UDETC staff; onsite strategic technical assistance visits; and online virtual trainings (including distance learning courses, national webinars [formerly audio teleconferences], targeted webinars, national conferences, and a EUDL symposium that included strategic meetings with OJJDP and grantees;

podcasts; a dedicated website; numerous documents and toolkits, listserv communications to EUDL coordinators and the field; and research support). As a national program since 1999, UDETC responded to more than 45,632 technical assistance topic requests with an average of 2,852 technical assistance requests each year (1,419 from January to August in 2015); completed 182 national audio calls/webinars reaching more than 30,556 individuals; conducted 888 onsite trainings reaching 38,201 participants; had more than 3,107 participants complete 7 distance learning courses; developed more than 390 publications, success stories, distance learning courses, toolkits, judicial newsletters, and resource alerts to the field; and had more than 42 million website hits. The UDETC also published 31 evidence-based publications with several focused to help states and local communities enforce alcohol retail establishment compliance with underage drinking laws, including:

- *Guide to Responsible Alcohol Sales: Off Premise Clerk, Licensee and Manager Training*—Offers sales personnel training tools that support management policies to prevent sales of alcohol to those under age 21.
- *Preventing Sales of Alcohol to Minors: What You Should Know About Merchant Education Programs*—Describes such programs and their role in comprehensive community strategies to reduce underage drinking. It also identifies necessary components and resources for more information.
- *Reducing Alcohol Sales to Underage Purchasers: A Practical Guide to Compliance Check Investigations*—Indicates the importance of enforcement in retail establishments as the cornerstone of enforcing underage drinking laws and provides the essential elements of carrying out compliance checks using minors or young-looking adults.
- *Strategies for Reducing Third-Party Transactions of Alcohol to Underage Youth*—Dissuades adults from providing alcohol to underage people. Also discusses the problem of nonretail sources of alcohol for underage drinkers and describes the essential elements of shoulder-tap operations, along with other techniques, to deter adults from buying or providing alcohol to underage drinkers.
- *Regulatory Strategies for Preventing Youth Access to Alcohol: Best Practices*—Provides information on the regulations that are most important in reducing youth access to alcohol and underage drinking. It shares best practices for establishing appropriate laws and regulations, suggests priorities for regulatory and enforcement efforts, and discusses implementation issues crucial for the successful adoption and implementation of these regulatory strategies.
- *Law Enforcement Guide to False Identification*—Provides information on the prevalence of illegal identification (ID) use, common security measures and tools used to detect them, and steps for checking IDs that increase the likelihood of detection. Information engages law enforcement and retailers to help reduce illegal ID use in their communities.

Additional publications to support enforcement and prevention work, including 161 success stories (four in 2015 plus a final success story summary document, 1999–2015) that feature measurable outcomes, were made available from the UDETC website at <http://www.udetc.org>. On October 16, 2015, the UDETC officially closed due to lack of funding. Once it closed, certain resources from the website were made available through other OJJDP contractors.

EUDL Discretionary Program:

- ***OJJDP FY 2014 EUDL Tribal Healing to Wellness Court Responses to Underage Drinking Initiative:*** This program supports efforts of Tribal Healing to Wellness Courts to develop or enhance their capacity to address issues related to youth younger than 21 years of age who possess and consume alcohol. Such capacity development and enhancements are for (1) reducing the number of alcohol-related offenses and alcohol-related traffic injuries or fatalities where this age group's use of alcohol may have been a factor, (2) increasing the number of activities to deter underage drinking, (3) increasing the number of youth who participate in activities to deter underage drinking, and (4) decreasing the number of crimes against people or property where youth younger than 21 consuming alcohol may have been a factor. In addition to supporting program implementation and direct service activities in five tribes, this initiative funded a single cooperative agreement to a TTA provider to support project sites. The tribes funded were the Yurok Tribe in California, Lac du Flambeau Band of Lake Superior Chippewa Indians in Wisconsin, Southern Ute Indian Tribe in Colorado, White Earth Band of Chippewa Indians in Minnesota, and Winnebago Tribe of Nebraska. The Cooperative Agreement was awarded to the Center for Court Innovation in New York. The TTA provider is developing technical assistance plans for each site, working closely with each tribe to develop their strategic plans and providing TTA for the tribes as needed. Although EUDL funds are no longer available for FY 2015, OJJDP chose to expand this work in FY 2015 through its Coordinated Tribal Assistance Solicitation.
- ***OJJDP EUDL Partnership with the USAF:*** In FY 2012, OJJDP issued a third solicitation for discretionary EUDL to build on the EUDL/USAF partnerships. Grant activity continued in the two demonstration states of Nevada and California. Due to base populations at the intervention sites (Nellis AFB, Nevada, and Joint Base Charleston, South Carolina), the current program involves partnerships with the USAF and United States Navy. OJJDP is funding and managing ICF International's evaluation of the sites funded in FY 2012.

Office of National Drug Control Policy (ONDCP)

Activities Specific to Underage Drinking

None

Activities Related to Underage Drinking

National Youth Anti-Drug Media Campaign: Through its teen brand "Above the Influence" (ATI), the National Youth Anti-Drug Media Campaign provided ongoing messaging and tools to prevent teen use of drugs and alcohol. Among the channels used to reach youth were an ATI Facebook page, an ATI website, and teen-targeted national media coupled with local outreach. In May 2014, the ATI Campaign was transitioned to the Partnership for Drug-Free Kids. The Partnership was a close collaborator of the ATI campaign since its launch in 2005 and is committed to maintaining teens' awareness and engagement with the brand at the national level through donated and social media efforts and will continue to support local outreach activities at the following website: <http://www.ATIPartnerships.com>.

Drug-Free Communities (DFC) Support Program: The DFC Program, created by the Drug-Free Communities Act of 1997, is the nation's leading effort to mobilize communities to prevent youth substance use. Directed by ONDCP in partnership with SAMHSA, DFC provides grants

to community coalitions to strengthen the infrastructure among local partners to create and sustain a reduction in local youth substance use. Recognizing the fundamental concept that local problems need local solutions, the program requires funded coalitions to implement environmental strategies—broad initiatives aimed at addressing the entire community through the adaptation of policies and practices related to youth substance use. Currently, the program has funded more than 2,000 community coalitions and mobilized nearly 9,000 community coalition members throughout the United States, the District of Columbia, Puerto Rico, American Samoa, and the Federated States of Micronesia (Palau). DFC grantees collect data every 2 years on four substances—alcohol, tobacco, marijuana, and prescription drugs—for at least three grade levels between 6th and 12th grades. Grantees collect data on the following four measures: past 30-day use, perception of risk or harm of use, perception of parental disapproval of use, and perception of peer disapproval of use. Among the four core substances tracked by DFC, alcohol is reported by coalitions to be the most prevalent substance used at the high school level (94 percent of grantees) and at the middle school level (89 percent of grantees). In the past 10 years of program evaluation, DFC-funded communities have achieved significant reductions in youth substance use. Significant reductions in the prevalence of past 30-day use have been reported for alcohol, tobacco, and marijuana use at both the middle school and high school levels. For additional information, visit the DFC website at <http://www.whitehouse.gov/ondcp/Drug-Free-Communities-Support-21> Program.

Demand Reduction Interagency Working Group (IWG): In 2009, ONDCP reinstated the IWG, comprising 35 federal agencies whose missions involve some connection to substance abuse. Agency leaders identified four major cross-cutting issues: prevention and education, prescription drugs, electronic health records, and data. These committees have helped shape the 2010, 2011, 2012, and 2013 National Drug Control Strategies. Underage drinking is an issue receiving great attention in several of these IWG committees. In 2012, ONDCP along with its federal partners, participated in several events with associations and institutions of higher education on underage drinking to encourage implementation of EBPs that are motivational and empowering along with the development of strategies that foster ongoing collaboration and communication on policy, curriculum development, programs, and resources on college and university campuses.

National Highway Traffic Safety Administration (NHTSA) /Department of Transportation (DOT)

Activities Specific to Underage Drinking

Programs Encouraging States to Enact Minimum Drinking Age and Zero Tolerance Laws: NHTSA implemented congressionally mandated programs to encourage states to enact minimum drinking age and zero tolerance laws. Zero tolerance laws establish very low BAC limits of .02 g/dL or less for drivers under the MLDA of 21. Minimum drinking age laws make it unlawful for people under age 21 to possess alcohol. All 50 states and the District of Columbia have enacted both laws. NHTSA continues to monitor state compliance with these federal mandates. Failure to comply results in financial sanctions to the states.

High-Visibility Enforcement of Underage Drinking and Driving Laws/Youth Access to Alcohol and Social Marketing Campaign to Parents: High-visibility enforcement of traffic laws has been proven to be effective in reducing impaired driving, increasing seat belt use, and

otherwise improving traffic safety. A demonstration project, funded by NHTSA, to apply this principle to reduce underage access to alcohol and underage drinking and driving in four locations ended recently. This project demonstrated the use of high-visibility enforcement coupled with communication strategies that publicize the enforcement. Enforcement strategies included saturation patrols, party patrols, compliance checks, and source investigations. Communications included paid, earned, and social media. Strategies varied depending on the characteristics of the participating communities.

National Organizations for Youth Safety (NOYS): Since 1994, NHTSA has supported a variety of NOYS-led efforts to build partnerships that save lives, prevent injuries, and promote safe and healthy lifestyles among all youth. Current projects include NOYS’s annual Teen Safe Driving Summit, which convenes, educates, and engages youth leaders, and a Youth Correspondents Advisory Board that leads the development and delivery of peer-to-peer messages about traffic safety, including the prevention of underage drinking and driving.

Students Against Destructive Decisions (SADD): NHTSA provides support to and works cooperatively with SADD National to improve SADD’s capacity to engage youth leaders in traffic safety efforts specifically focused on underage drinking and driving issues. Under a cooperative agreement, the SADD National Student of the Year is eligible for a summer leadership opportunity at NHTSA.

Activities Related to Underage Drinking

State Highway Safety Funding: NHTSA provides federal funding to states and local communities through SHSOs. Funds may be used for activities related to underage drinking and driving under the following programs: 402 (state and community programs), 405 (national priority safety programs including impaired driving and occupant protection incentive grants), 154 (open container transfers), and 164 (repeat offender transfers).

Youth Traffic Safety Media: NHTSA has created the Teen Driver web page (<http://www.nhtsa.gov/Teen-Drivers>) containing information about graduated driver licensing and driver education and access to Parents Central, which provides additional overviews, recommendations, and facts about teen driver safety. More information is available at: <http://www.safercar.gov/parents/TeenDriving/teendriving.htm>.

The accompanying media campaign, 5 to Drive, shares tips, resources, and ideas for setting ground rules and specifying consequences related to alcohol, seat belts, speed, distraction, and extra passengers. Additional communications news, campaign materials, and marketing techniques are available at the Traffic Safety Marketing website: <http://www.trafficsafetymarketing.gov>.

To address the issue of underage drinking, NHTSA joined with the Ad Council to launch a new PSA campaign that targets new drivers 16 and 17 years old, and is built around the idea of “Underage Drinking and Driving: The Ultimate Party Foul.” The campaign includes a TV ad, a Tumblr site, web banners, and outdoor advertising. A branded emoji keyboard will be available on both the iOS and Android platforms.

Exhibit 3.1: Expenditures by Select Interagency Coordinating Committee on Preventing Underage Drinking (ICCPUD) Agencies for Programs Specific to Underage Drinking

ICCPUD Agency	FY 2010 actual	FY 2011 actual	FY 2012 actual	FY 2013 actual	FY 2014 actual	FY 2015 actual
CDC	\$1,200,000	\$1,041,730	\$1,081,200	\$986,587	\$949,894	\$1,100,000
ED	\$40,580,995	\$8,782,000 ^a	— ^b	— ^b	— ^b	0
NIAAA	\$56,000,000 ^c \$2,000,000 ^d	\$57,000,000	\$62,000,000	\$62,000,000	\$59,350,175	\$52,190,438
SAMHSA ^e	\$62,542,390	\$63,779,872	\$67,953,616	\$84,555,315	\$89,422,285	\$103,104,523
OJJDP ^f	\$25,000,000	\$20,708,500	\$4,862,895	\$5,000,000	\$2,500,000	0
NHTSA	\$625,000	\$600,000	\$645,000	\$600,000	\$600,000	\$600,000
TOTAL	\$187,948,385	\$151,912,102	\$136,542,711	\$153,141,902	\$152,822,354	\$156,944,961

^a ED's Office of Safe and Drug Free Schools received significant budget cuts in FY 2011, and this figure represents continuation costs for the Grants to Reduce Alcohol Abuse program, which was eliminated in FY 2012. In FY 2011, ED also provided support (\$1,874,450) for the Higher Education Center for Alcohol and Other Drug Abuse and Violence Prevention, which focused in part on underage drinking on college campuses.

^b In FYs 2012 and 2013, ED consolidated the functions of the HEC Center into a new technical assistance center, the NCSSE. However, the exact amount of funding of that Center specific to underage drinking cannot be determined. Similarly, although underage drinking prevention was one activity among many in certain grant projects funded by ED in FYs 2011, 2012, and 2013, the exact amount of funding specific to underage drinking cannot be determined. Not included, as in prior years, are estimates of SS/HS grant activity that focuses on alcohol abuse prevention.

^c NIAAA FY 2010 non-American Recovery and Reinvestment Act (ARRA) funding

^d NIAAA FY 2010 ARRA funding

^e FY 2010–2013 figures include SPF/SIG, UAD, Adult Media Campaign, STOP Act grants, and ICCPUD. FY 2010–2013 figures also include PFS, which is a subset of SPF/SIG.

^f OJJDP's EUDL program received significant budget cuts in FY 2012. Support for EUDL programming was \$25 million annually from FY 1998 until FY 2011, when there was a reduction to \$5 million, which resulted in the elimination of the EUDL block grant program for all states and territories

CHAPTER 4

Report on State Programs and Policies Addressing Underage Drinking

CHAPTER 4.1

Introduction

The Sober Truth on Preventing Underage Drinking (STOP) Act recognizes the critical role that states play in the national effort to reduce underage drinking, particularly in their role as regulators of the alcohol market. The Act’s preamble includes this statement of the sense of Congress:

Alcohol is a unique product and should be regulated differently than other products by the States and Federal Government. States have primary authority to regulate alcohol distribution and sale, and the Federal Government should support and supplement these State efforts. States also have a responsibility to fight youth access to alcohol and reduce underage drinking. Continued State regulation and licensing of the manufacture, importation, sale, distribution, transportation, and storage of alcoholic beverages are ... critical to ... preventing illegal access to alcohol by persons under 21 years of age.

To this end, the Act directs the Secretary of the Department of Health and Human Services (HHS), working with the Interagency Coordinating Committee on the Prevention of Underage Drinking (ICCPUD), to provide an annual report on state activities pertaining to underage drinking prevention programs, policies, related enforcement efforts, and state expenditures.

This year’s report provides the following information for the 50 states and the District of Columbia (henceforth referred to as “states”):

1. Information on 26 underage drinking prevention policies focused on reducing youth access to alcohol and youth involvement in drinking and driving. Consistent with the STOP Act requirement to report on “evidence-based best practices to prevent and reduce underage drinking and provide treatment services to those youth who need them,” most policies have been identified as best practices by a variety of relevant federal agencies (see “Best Practices” below).
2. Data from a survey addressing underage drinking enforcement programs; programs targeted to youth, parents, and caregivers; collaborations, planning, and reports; and state expenditures on the prevention of underage drinking.

Underage Drinking Prevention Policies

This section presents summaries of the 26 policies that describe each policy’s key components, the status of the policy across states, and trends over time. Summaries are followed by a state-by-state analysis of each policy.

Seventeen of these policies were included in original STOP Act legislation or were recommended by Congress during the 2009–2010 appropriations process. The remaining nine policies were added at the request of SAMHSA following input from various stakeholders. The report obtained data for 13 of the policies, including the 9 added by SAMHSA, from the National Institute on Alcohol Abuse and Alcoholism (NIAAA) Alcohol Policy Information System (APIS).

It is important to note that not all of these state policies will apply on tribal lands. Some will vary by tribe and land type. Such variations are beyond the scope of this report.

The following policies are included (underlined policies are available on APIS):³⁶

³⁶ For a detailed chart of non-APIS policies in each state, go to stopalcoholabuse.gov and see “Supplemental Materials for 2016 RTC”.

Laws Addressing Minors in Possession of Alcohol

1. Underage possession
2. Underage consumption
3. Internal possession by minors
4. Underage purchase and attempted purchase
5. False identification

Laws Targeting Underage Drinking and Driving

6. Youth blood alcohol concentration (BAC) limits
7. Loss of driving privileges for alcohol violations by minors
8. Graduated driver's licenses

Laws Targeting Alcohol Suppliers

9. Furnishing of alcohol to minors
10. Compliance check protocols
11. Penalty guidelines for sales to minors
12. Responsible beverage service
13. Minimum ages for off-premises sellers
14. Minimum ages for on-premises servers and bartenders
15. Outlet siting near schools
16. Dram shop liability
17. Social host liability
18. Hosting underage drinking parties
19. Retailer interstate shipment
20. Direct sales/shipments
21. Keg registration
22. Home delivery
23. High-proof grain alcoholic beverages

Laws Affecting Alcohol Pricing

24. Alcohol taxes
25. Drink specials
26. Wholesale pricing

Best Practices

The majority of the underage drinking prevention policies analyzed in this chapter have been identified as best practices by one or more of the following four sources:

- Community Preventive Services Task Force (*Guide to Community Preventive Services. Preventing Excessive Alcohol Consumption*; Community Preventive Services Task Force, 2016).
- The Surgeon General (*The Surgeon General's Call to Action to Prevent and Reduce Underage Drinking*; Office of the Surgeon General, 2007).
- Institute of Medicine (*Reducing Underage Drinking: A Collective Responsibility*; NRC and IOM, 2004).
- National Institute on Alcohol Abuse and Alcoholism (*CollegeAIM: Alcohol Intervention Matrix*, NIAAA).

Exhibit 4.1.1 lists the 26 policies analyzed in Chapter 4. An “X” indicates that a given policy is endorsed as a best practice by one or more of the four sources.

As depicted in Exhibit 4.1.1, 17 policies are endorsed as best practices by at least one source document, and more than half of the policies are endorsed as best practices by two or more source documents. Ten policies are not endorsed by any of the four sources. Four of these (Wholesaler Pricing, Minimum Age for On-premises Servers, Minimum Age for Off-premises Servers, and Internal Possession) are included on NIAAA’s APIS website.

One policy—Outlet Siting Near Schools—was not specifically endorsed by any of the sources examined. However, that policy was addressed at a more general level by two sources: the Community Services Prevention Task Force and the NIAAA *CollegeAIM*. These sources included restrictions on alcohol outlet density as a best practice without specifically endorsing the reduction of alcohol outlet density near schools.

Direct Sales and Retailer Interstate Shipment are closely linked to the Home Delivery policy (which is endorsed). Some of the non-endorsed policies reflect more recent concerns and may not have been thoroughly studied at the time the federal source documents were prepared.

It is important to note that, although all 26 of the policies can be described as evidence based, the data that support each of them are different. Some policies find greater or lesser support in the research literature and in the source documents.

State Survey

This section provides both the complete responses of the states to the survey (included in the state-by-state analysis described above) and a cross-state report. The cross-state report summarizes the findings across states and presents data on variables amenable to quantitative analysis.

Survey content was derived directly from the STOP Act, covering topics and using terminology from the Act. Survey questions were structured to allow states maximum flexibility in deciding which initiatives to describe and how to describe them. Open-ended questions were used whenever possible to allow states to “speak with their own voices.”

Exhibit 4.1.1: Underage Drinking Prevention Policies – Best Practices

Underage Drinking Prevention Policies	Recommended by the Community Preventive Services Task Force	Addressed in the Surgeon General's Call to Action	IOM Report, Reducing Underage Drinking: A Collective Responsibility	CollegeAIM (Alcohol Intervention Matrix; NIAAA)
Policies included in original STOP Act legislation or added in 2009–2010 appropriations				
Purchase or attempt to purchase alcohol by minor		X	X	X
Consumption by minor		X	X	X
Possession by minor		X	X	X
False identification/Incentives for retailers to use ID scanners or other technology		X	X	X
Penalty guidelines for violations of furnishing laws by retailers				
Furnishing or sale to a minor		X	X	X
Hosting underage drinking parties		X	X	X
Dram-shop liability	X		X	X
Social-host liability			X	X
Compliance checks	X	X	X	X
Mandatory/voluntary server-seller training (responsible beverage service programs)		X	X	X
Direct sales (Internet/mail order)				
Home delivery			X	
Graduated driver's licenses		X	X	
Increasing alcohol tax rates	X		X	X
Restrictions on drink specials		X	X	X
Wholesaler pricing provisions				
Policies added at the request of SAMHSA				
Keg registration		X	X	X
Minimum age for on-sale server				
Minimum age for off-sale server				
Internal possession				
Youth BAC limits (zero tolerance)		X	X	
Loss of privileges for alcohol violations by minors (use/lose law)				
Outlet siting near schools				
Retailer interstate shipment				
High-proof grain alcoholic beverages				

The survey addressed four main areas:

- Enforcement programs
- Programs targeted to youth, parents, and caregivers
- Collaborations, planning, and reports
- State expenditures on prevention of underage drinking

Enforcement

A significant component of the STOP Act's mission is to collect data and report on each state's performance in enforcing policies designed to prevent or reduce underage drinking. As indicated above, the annual STOP survey includes a section devoted to enforcement of these laws, ranging from the types of programs or actions implemented, whether they are conducted at both the state and local level, number(s) of enforcement actions taken (when available), and state expenditures made on enforcement activities. The following discussion of enforcement provides the background and context for these data.

Concepts

Mechanisms

Typically, an alcohol policy seeks to change the behavior of targeted individuals, groups, or organizations. The intended change in behavior may or may not occur, depending in part on the extent to which the policy is enforced.

The role of enforcement in policy effectiveness varies depending on the nature of the policy. At one extreme, policies such as alcohol taxes are virtually self-enforcing in that sellers must regularly report sales data. By contrast, laws that prohibit sales to minors require relatively high enforcement levels to achieve compliance at desirable levels. In this case, detecting a violation may require regular compliance checks and recording sources of alcohol from minor in possession arrests.

It is important to distinguish between compliance and enforcement. *Compliance* is the extent to which an individual, organization, group, or population acts in accordance with a specific public policy. *Enforcement* is the sum total of actions taken by public entities to increase compliance. Enforcement includes three components: policing, adjudication, and sanctioning. Enforcement data collected by the STOP Act generally combine adjudication and sanctioning because the latter usually requires the former.

The impact of enforcement on compliance with alcohol policies is a function of both actual and perceived levels of enforcement (i.e., levels of policing, adjudication, and sanctioning). *Actual* enforcement levels may vary depending on the strategies employed (e.g., random vs. complaint-based compliance checks) and on quantitative differences in policing, adjudication, and sanctioning (e.g., numbers of officers on patrol, severity of sanctions). *Perception* of the probability of apprehension (policing), swiftness and certainty of a penalty (adjudication), and severity of the penalty (sanctioning) also affect compliance with a particular policy. These perceptions are key factors in the extent to which an alcohol-related policy functions as a deterrent to illegal behavior (Ross, 1992). Factors that affect these perceptions, such as publicity about enforcement efforts, may be construed as part of enforcement (Hingson et al., 1996). Compliance may also be affected by extra-legal factors (See Exhibit 4.1.2).

Exhibit 4.1.2: Contextual Factors Affecting Compliance³⁷

Variable	Relevance to Enforcement	Relevance to Compliance
Knowledge and awareness on the part of enforcement personnel and the public	Enforcement personnel who lack knowledge of a law or policy or lack skills in using enforcement technologies (e.g., field identification of intoxication) may be less effective in enforcement activities.	Increasing public awareness of the existence or enforcement of a policy and efforts to enforce it tend to increase compliance.
Costs	Increasing costs of enforcement (either absolute or relative to benefits) can decrease the attractiveness of an enforcement effort to policymakers, who must balance enforcement against other priorities.	Policy complexity may tend to reduce compliance if (1) the burden of complying is increased in terms of details that must be addressed, work that is required, or costs that must be incurred, or (2) the risk that noncompliance with specific provisions will be detected is perceived as low.
Complexity	All else being equal, complex laws or policies may be more difficult to enforce (detect and prosecute) than simple laws or policies.	When laws or policies are complex, compliance may be reduced (1) due to the sheer amount of detail involved in complying, (2) due to the work and cost involved in complying, or (3) if the risk of detection of small deviations is low.
Norms	Enforcement personnel tend to act in accordance with prevailing norms, more vigorously enforcing laws and policies prohibiting behavior that is counter-normative in a given community than behavior that is socially acceptable.	Avoidance of specific behaviors may be as much a function of social acceptability as of legal proscriptions. Thus, for a given level of enforcement, compliance may vary as a function of community norms.
Public support	High public support can facilitate enforcement through allocation of public funds, political support for public officials who advocate strong enforcement, or formal or informal cooperation between citizens and public safety officials.	Public support is a visible manifestation of norms. As such, public support for a given law or policy should tend to increase compliance.
<i>Note:</i> For further discussion and analyses of these factors and a literature review, see: http://alcoholpolicy.niaaa.nih.gov/enforcement#lit . Also see Holder (1998) and Gruenewald, Treno, Taff, & Klitzner (1997).		

A large body of literature addresses the factors related to effective enforcement (Klitzner, 2002; Klitzner & Sole-Brito, 2002; Levy, 2002). It is important to note that policies and their enforcement cannot be distinguished easily in practice. Laws may specify sanctions (e.g., use/lose laws) or enforcement practices (e.g., administrative license revocation).

³⁷ Adapted from the Alcohol Policy Information System (APIS) Enforcement and Compliance resource, Table 3 (Sample Contextual Factors), http://alcoholpolicy.niaaa.nih.gov/uploads/Table_3_-_Sample_Contextual_Factors_12_18_07.pdf.

Deterrence Theory (Ross, 1984) is the most widely used model of enforcement effectiveness. It stipulates that undesirable behavior will be reduced to the extent that those targeted by enforcement activities (e.g., alcohol retailers) perceive that threatened sanctions are certain, severe, and promptly imposed (celerity). Ross argued that severity is largely irrelevant when certainty of punishment is low and, conversely, that even mild penalties have a deterrent effect when sanctions are a near certainty (e.g., parking enforcement). As noted by Klitzner and Sole-Brito (2002), Ross is essentially stating that deterrence is a multiplicative function of the perceived risk of being punished and the perceived severity of penalties. The importance of celerity is debatable, because the most commonly cited example (administrative license revocation for impaired driving offenses) increases both celerity and certainty. Although the deterrence literature is largely focused on criminal activity, the same concepts apply in a variety of other areas not generally considered criminal, for example, compliance with health care regulations (Bartrum & Bryant, 1997; Walker, 2002).

Deterrence is generally divided into two types, deterrence aimed at convicted offenders (secondary or specific deterrence) and deterrence aimed at the general public (primary or general deterrence). Incapacitation (supervision, incarceration, a number of hybrids such as electronic monitoring, license revocation, etc.) is a widely used form of specific or secondary deterrence in the United States. Whatever effects incapacitation may have on individuals' propensity to engage in future crime, they are less likely to recidivate while incarcerated or under supervision.

Vingilis (1990) suggested that the importance of classical deterrence diminishes as norms against a behavior increase. Social norms may change through social marketing or other media campaigns (e.g., aimed at reducing drinking and driving), altering the dynamic of deterrence. When norms are strong, only those who are "abnormally socialized" need an additional motivation to behave. The author argues that the behavior of most citizens is governed by informal social sanctions, and cautions that (a) effective enforcement and deterrence are interactions among individuals and environments and (b) deterrence is dynamic, with the population that is deterred by a given enforcement activity constantly in flux.

Measures

Research literature relies on three types of measurements to assess the extent and effectiveness of enforcement interventions. *Categorical measures* assess which of a set of possible enforcement strategies (e.g., random vs. complaint-based compliance checks) or sanctions (e.g., use/lose penalties) are implemented in a jurisdiction. *Quantitative measures* assess the resources devoted to enforcement (personnel, budgets, specialized equipment), number of enforcement activities (e.g., shoulder tap operations) conducted, number or percentage of persons or entities targeted, number of sanctions imposed, and severity of sanctions imposed. These measures are sometimes referred to as "enforcement pressure." *Surrogate measures* use compliance rates (e.g., number of retail outlets that fail compliance checks, number of minors in possession (MIP) arrests, or number of young people and retailers that actually receive sanctions) to measure enforcement. These measures reflect an amalgam of both enforcements and compliance (Gruenewald et al., 1997) and should be viewed with some caution.³⁸

³⁸ To be fully useful as measures of enforcement, these data must be corrected for enforcement pressure. However, measures of enforcement pressure can be difficult and expensive to obtain. Accordingly, arrests, compliance check failures, and similar data are often used in enforcement research.

Literature

Historically, studies that have tested enforcement interventions in relation to outcomes such as incidents of drinking and driving and underage drinking parties make clear that enforcement can result in greater compliance and better public health outcomes (Preusser, Ulmer, & Preusser, 1992). However, enforcement of underage drinking policies is often uneven, inconsistent, and sporadic, and outcomes generally diminish over time (Ferguson, Fields, & Voas, 2000; Forster et al., 1994; Montgomery, Foley, & Wolfson, 2006; Mosher, Toomey, Good, Harwood, & Wagenaar, 2002; Preusser et al., 1992; Voas, Lange, & Tippetts, 1998; Wagenaar & Wolfson, 1995; Wolfson, Wagenaar, & Hornseth, 1995).

Of all enforcement practices, compliance checks (or decoy operations) have been most frequently studied (and are one focus of the STOP Act State Survey data presented later in this report). These practices, in which trained underage (or apparently underage) operatives (“decoys”) working with law enforcement officials enter retail alcohol outlets and attempt to purchase alcohol, are a way of reducing sales of alcohol to minors. The 2003 IOM report on preventing underage drinking (NRC and IOM, 2004) includes the recommendation that compliance checks be carried out regularly and comprehensively, at the state and local levels.

A national study collected data from state alcohol beverage control agencies and a random sampling of local law enforcement agencies (Erickson, Smolenski, Toomey, Carlin, & Wagenaar, 2013; Rutledge et al., 2013). Respondents were asked to report on the number of compliance checks they conducted and on such recommended practices as (a) checking all outlets in their jurisdiction; (b) conducting checks at least three or four times a year; and (c) conducting a follow-up check of establishments within 3 months of having failed a compliance check. Thirty-nine percent of local agencies and 79 percent of state agencies indicated they conducted compliance checks (Toomey, Lenk, Nelson, Jones-Webb, & Erickson, 2012). Although 60 percent of the agencies reported checking all outlets in their jurisdiction, only one fifth conducted checks three to four times a year, and one third conducted follow-up checks. Only 4 to 6 percent conducted all three recommended practices (Erickson et al., 2014). As with previous studies, the use of compliance checks to enforce underage sales policies was found to be uneven and inconsistent in intensity.

A number of studies have used experimental designs to determine whether increasing the number of compliance checks results in lower rates of sales to minors. The NIAAA-funded Community Trials Project conducted experimental interventions to reduce underage drinking in three cities, including a six-fold increase in compliance checks in a randomly selected group of test outlets. At follow-up, the test outlets were half as likely to sell to minors as control sites (Grube, 1997). An enhanced enforcement campaign in Concord, New Hampshire, employed quarterly compliance checks of all off-sale licensees, enhanced administrative penalties, and a media campaign (Centers for Disease Control and Prevention, 2004b). As with the Community Trials Project, this campaign resulted in a 64-percent reduction in sales to minors, and a temporary reduction in alcohol consumption and binge drinking among high school students. A multi-community time series trial, *Complying with the Minimum Drinking Age (CMDA)*, also tested increased enforcement compliance checks, comparing this strategy with training retail outlet managers to reduce risks associated with alcohol sales (Wagenaar, Toomey, & Erickson, 2005). Although the effects of the training program were mixed, the compliance check intervention resulted in an immediate 17 percent reduction in underage sales. Over a 3-month

period, these effects decayed completely in the case of off-sale premises and by half among on-sale premises. Data from the CMDA study also demonstrated that the effects of compliance checks may spill over to neighboring establishments (Erickson et al., 2013). Outlets that had a close neighbor that had been checked were less likely to serve to underage-appearing decoys.

Some of these experimental studies have included media campaigns to increase (a) public awareness of enforcement efforts, (b) the perception of risk of arrest, or (c) the perception of risk of sanctions. As discussed above, these perceptions can play an important role in compliance with the law. When community-based interventions to prevent underage drinking or other alcohol-related harms include a media campaign, this may increase public perception of the likelihood that the law will be enforced, and violators sanctioned. The Saving Lives Program was a comprehensive, multifaceted program undertaken in six Massachusetts communities to reduce alcohol-impaired driving and related problems (Hingson et al., 1996). In addition to enhanced enforcement and educational programs, media campaigns were implemented to increase public awareness of the issue. Among other results, these communities showed a 42 percent decline in alcohol-related fatal crashes relative to the rest of the state. Awareness of enforcement notably increased among teenagers. For example, the percentage of this group that believed the license of a person caught drinking and driving could be suspended before a trial increased from 61 percent to 76 percent in the test communities, compared with no change in the rest of the state. The Community Trials Project discussed above also combined enhanced enforcement with local media coverage. Highly visible enhanced enforcement, such as roadside checkpoints, also served to increase both actual enforcement and perceived risk of arrest (Grube, 1997; Holder et al., 2000). This combination of environmental strategies resulted in lower volumes of self-reported drinking and fewer nighttime crashes.

A key determinant of enforcement effectiveness is the resources devoted to enforcement actions. A study that examined the relationship among underage alcohol policies in 50 California cities, enforcement of these policies, and adolescent alcohol use, identified an inverse relationship between the funding of enforcement of underage drinking laws and frequency of past-year underage alcohol use (Paschall, Grube, Thomas, Cannon, & Treffers, 2012). Similarly, a study of binge drinking among college students found a significant association between binge drinking rates and state ratings for resources devoted to enforcement (Nelson, Naimi, Brewer, & Wechsler, 2005).

Practices

The STOP Act survey includes questions about the practices used by the states and (to the extent known) by local law enforcement to enforce underage drinking policies. Whether at the point of sale or through other forms of illegal access to alcohol, these practices aim to both prevent current underage possession and consumption and deter future incidents.

In addition to compliance checks (discussed above), two other enforcement strategies are employed at the point of sale to prevent youth access to alcohol: Cops in Shops and shoulder tap operations (NRC and IOM, 2004; Paschall, Flewelling, & Grube, 2009). Cops in Shops is a program developed by the Century Council (sponsored by the alcohol industry) in which undercover law enforcement officers pose as employees or customers in retail alcohol outlets in order to catch underage persons who attempt to purchase alcohol or adults who purchase alcohol for minors. Cops in Shops campaigns involve voluntary participation of retailers and are often

well publicized, with the goal of educating the public and providing a deterrent effect to underage access to alcohol.

Shoulder tap operations are another type of decoy operation. Because young people may perceive asking an adult to purchase alcohol for them as a less risky strategy for obtaining alcohol, this is another important point of access for law enforcement to address. In actual transactions, both the underage person and the adult are in violation of the law. In shoulder tap operations, trained young people (decoys) approach individuals outside of retail alcohol outlets and ask them to make an alcohol purchase. If the adult makes the purchase and gives it to the decoy, law enforcement may cite or arrest the adult.

Away from the point of sale, youth frequently are able to access alcohol at parties or other social gatherings. Parties are often cited as a high-risk setting for underage alcohol consumption, and are linked to impaired driving, violence, and property damage (Hoover, 2005). In response, many local law enforcement agencies have used party patrols to intervene. Party patrols (or party dispersal) operations are patrols that identify underage drinking parties, make arrests, and issue citations at underage drinking parties. Police may use local noise or nuisance ordinances as the basis for entering the premises of parties involving underage drinking. They may conduct regular weekend patrols of locations where underage parties or gatherings are known to occur (NRC and IOM, 2004).

The data collected by the STOP Act survey provide greater insight into the use of such practices as compliance checks, Cops in Shops, shoulder tap operations, and party patrols by states and local jurisdictions. Together with the data collected on MIP arrests, penalties imposed for sales to minor violations (fines, license suspensions and revocations), and state expenditures on enforcement, a more detailed picture of the underage drinking enforcement environment is being composed, both by individual states and nationwide.

CHAPTER 4.2

Cross-State Survey Report

Summary

The Sober Truth on Preventing Underage Drinking (STOP) Act mandates annual collection of data from the states and the District of Columbia on their performance in enacting, enforcing, and creating laws, regulations, and programs to prevent or reduce underage drinking. Since 2011, this survey has collected data on the following topics:

- Enforcement programs to promote compliance with underage drinking laws and regulations
- Programs targeted to youth, parents, and caregivers to deter underage drinking
- State interagency collaborations to implement prevention programs, state best-practice standards, and collaborations with tribal governments
- The amount that each state invests on the prevention of underage drinking

Chapter 4.2 discusses the survey responses in detail. A key conclusion to be drawn from the STOP Act State Survey is that the states have demonstrated a commitment to the reduction of underage drinking and its consequences. This commitment is evident in the fact that all states completed the 90-question survey, reported numerous program activities, and in many cases provided substantial detail about those activities (see individual state summaries). (Note: henceforth, the states and the District of Columbia are referred to, together, as “states.”)

The results presented in Chapter 4.2 must be viewed with caution. In many cases, substantial missing data decrease the extent to which a meaningful conclusion can be drawn. Caution must also be exercised in interpreting the changes from 2011 to 2015, given variations in data availability.

Enforcement Programs

The large majority of states collect data on state compliance checks, minor in possession (MIP) charges, and penalties imposed on retail establishments. However, about one third of the states collect data on local enforcement efforts. Thus the ability to draw conclusions about enforcement activities and effectiveness is limited, because a substantial portion of underage drinking law enforcement happens at the local level. Improvements in state enforcement data systems would increase the accuracy of these analyses in future years.

Overall, enforcement activities appear highly variable across the states. Compliance checks and other enforcement activities related to furnishing (Cops in Shops, shoulder tap operations, underage alcohol-related fatality investigations, and enforcement of direct-shipment laws) are fairly widely implemented, although not necessarily at both the state and local levels. The total number of checks is modest, however. Sixty-four percent of those states conducting checks test 20 percent or fewer of their licensees. Sanctions for furnishing are predominantly fines, which are about five times more common than suspensions. Revocations are extremely rare; 66 percent of the states revoked one or no licenses. Data on MIP activities (an index of the enforcement of a variety of laws aimed at deterring underage drinking) revealed medians of 1.15 arrests per 1,000 underage drinking occasions, and 1,238 arrests per 100,000 in a population of 16- to 20-year-olds.

Programs Targeted to Youth, Parents, and Caregivers

States reported implementing a wide variety of underage-drinking-prevention programs for youth, parents, and caregivers. Many well-known programs were reported, including those focused on life skills, refusal skills, media advocacy, community organizing, and environmental change. The programs are predominantly focused on individuals, with approximately one in four programs focused on environmental change. Data on numbers of program participants were limited, owing perhaps to inherent difficulties in estimating program participation for programs focused on entire populations or subpopulations (e.g., environmental change programs). Thirty-seven percent of the states reported implementing programs to measure or reduce youth exposure to alcohol advertising and marketing.

Evaluation of underage drinking prevention programs is not comprehensive. Fifty-eight percent of the programs the states described have been evaluated, and reports are available for 37 percent of these. As with enforcement, assessments of program effectiveness are limited by a lack of relevant data.

Eighty-six percent of the states reported they had best practice standards for underage-drinking-prevention programs. Eighty percent of states with standards reported that a state agency had established their best standards, and nearly three-quarters indicated that they followed a federal standard. More than half (59 percent) included the Substance Abuse and Mental Health Services Administration (SAMHSA) and the Center for Substance Abuse Prevention (CSAP) in their list of agencies from which standards were obtained.

Collaborations, Planning, and Reports

Eighty-two percent of states reported the existence of a state-level interagency body or committee to coordinate or address underage drinking prevention activities. However, of the states with such a committee, only 10 percent included the governor, and only 15 percent included a representative of the legislature. Close to one half of the states with interagency committees included community coalitions and more than half included college or university administrations, campus life departments, or campus police. One third of the states included local law enforcement, and one in five included youth. Thus, key decisionmakers and local stakeholders were underrepresented on the interagency committees.

States were asked whether they had prepared a plan for preventing underage drinking or issued a report on underage drinking in the past 3 years. Fifty-nine percent of the states had prepared a plan, and 57 percent had issued a report.

State Expenditures on the Prevention of Underage Drinking

States were asked to estimate state expenditures for two categories of enforcement activities and five types of programs targeted to youth, parents, and caregivers. The largest expenditure category is for K–12 programs, followed by community-based programs. While the median of expenditures for all enforcement activities (median = \$14,465) is higher than that for all

programs targeted to youth, parents, and caregivers (median = \$0),³⁹ the total dollar amount expended for these nonenforcement programs (approximately \$110 million) is 13 times the total dollar amount spent on enforcement (approximately \$8.6 million). Data reporting was incomplete, with response rates ranging from 19 to 76 percent (median = 50 percent) across the five expenditure categories for programs targeting youth, parents, and caregivers. Thus these results must be viewed with some caution. On the other hand, these data may be difficult for states to assemble given multiple funding streams and asynchronous fiscal years, among other issues.

Comparison of Enforcement Data: 2011–2015

In the 5 years in which the STOP Act State Survey has been implemented, the states varied greatly in their completion of datasets for all years. Fewer than half of the states provided information in all 5 years for eight of the enforcement data categories selected for comparison. Fifty-nine percent of the states provided state compliance check data for all 5 years. Sixty percent of the states that reported data for all 5 years reported an increased number of compliance checks between 2011 and 2015. Only 12 percent of the states reported on local compliance checks and state expenditures for compliance checks in all 5 years. In all penalty categories, larger percentages of the states reported reduced use of these penalties between 2011 and 2015 than reported increased use.

Comment

The data reveal a wide range of activity in the areas studied, although the activities vary in scope and intensity from state to state. Clearly, all states have areas of strength and areas where improvements can be realized. A recurrent theme is the inadequacy of some state data systems to respond to the data requested in the survey, especially for local law enforcement and expenditures. Accurate and complete data are essential both for describing current activities to prevent underage drinking and for monitoring progress in future state surveys.

Introduction

The STOP Act mandates this annual report on the states' performance in enacting, enforcing, and creating laws, regulations, and programs to prevent or reduce underage drinking. An annual survey of the states is conducted to collect data on many of the performance measures described in the STOP Act. Since 2011, this survey has collected data on the following topics derived directly from the STOP Act:

- Enforcement programs to promote compliance with underage drinking laws and regulations
- Programs targeted to youth, parents, and caregivers to deter underage drinking
- State interagency collaborations to implement prevention programs, state best-practice standards, and collaborations with tribal governments
- The amount that each state invests on the prevention of underage drinking

³⁹ The median is zero if more than half the responses are zero. The difference between the two types of expenditures can also be expressed by comparing the average (mean) expenditure: The mean expenditure for enforcement activities is around \$210,000, compared with a mean of around \$910,000 in expenditures for programs targeted to youths, parents, and caregivers.

The survey instrument comprised approximately 90 questions divided into four sections consistent with the topics and performance measures described in the STOP Act.

1. Enforcement of underage drinking laws, including:
 - The extent to which states implement checks of retail outlets to assess compliance with laws prohibiting the sale of alcohol to minors and the results of these checks
 - The extent to which the states implement other strategies for underage drinking enforcement, including Minors in Possession, Cops in Shops, shoulder taps, party patrol operations or programs, and underage alcohol-related fatality investigations
 - Sanctions imposed for violations
2. Underage drinking prevention programs targeted to youth, parents, and caregivers, including data on the number of people served by these programs and whether these programs are evaluated
3. State interagency collaboration to implement prevention programs, state best-practice standards, and collaborations with tribal governments
4. State funds invested in the following categories, along with descriptions of any dedicated fees, taxes, or fines used to raise funds:
 - Compliance checks and provisions for technology to aid in detecting false IDs at retail outlets
 - Checkpoints and saturation patrols
 - Community-based, school-based, and higher education-based programs
 - Programs that target youth within the juvenile justice and child welfare systems
 - Other state efforts as deemed appropriate

Survey questions were structured to allow states maximum flexibility in deciding which initiatives to describe and how to describe them. Open-ended questions were used whenever possible to allow states to “speak with their own voices.” The survey offered the opportunity to respond “Don’t Know” or “Data Not Available” in those instances where the requested information was not accessible.

This chapter offers a summary of the survey data collected across the 50 states and the District of Columbia. Each state’s full survey responses appear in the State Reports section of this report.

Methods

State governors and the Office of the Mayor of the District of Columbia were sent letters requesting confirmation of a designated representative to serve as the contact and be responsible for completing the survey. In most cases, this representative was the same person designated for the 2014 survey. Designated contacts are typically staff members from state substance abuse program agencies and state alcohol beverage control (ABC) agencies. The survey was uploaded to a web-based platform in four segments, and the designated contacts were sent a link to this platform. They were also sent a copy of the report compiled from their responses to the 2014 survey, so that data that remained unchanged between years could be readily copied into the web survey. Contacts were given technical instructions for filling out the survey.

The online survey was available for completion by the states beginning in May 2015. The CDM Group, Inc., a SAMHSA contractor, provided both telephone and online technical support to state agency staff while the survey was in the field. Representatives from the National Liquor

Law Enforcement Association provided review and support for any questions pertaining specifically to enforcement.

As with all State Surveys since 2011, responses were received from all 50 states and the District of Columbia—a 100 percent response rate. Each state’s response was reviewed by senior staff members, who made inquiries when necessary about apparent omissions, ambiguities, or other content issues. Responses were also copyedited, and the edited responses were returned to each state by email. States either approved the proposed copyedits or provided their own changes, and also provided any requested clarifications.

Results

Individual state reports provide a full presentation of the survey data submitted by each state. This Results section provides summary information about all variables amenable to quantitative analysis. It is important to keep in mind that each state determined how much information to provide, and that the range of information respondents provided was highly variable.

The results are grouped under five broad headings:

1. Enforcement Programs
2. Programs Targeted to Youth, Parents, and Caregivers
3. Collaborations, Planning, and Reports
4. State Expenditures on the Prevention of Underage Drinking
5. Comparison of Enforcement Data: 2011 to 2015

The final section, Comparison of Enforcement Data: 2011 to 2015, provides a limited comparison of state survey data collected between 2011 and 2015 for selected activities. It should be noted that not all states reported data for all years. This section should be viewed with this caution in mind.

In all cases, where numerical estimates are reported, the reporting period is the most recent year for which complete data were available to the state. Average values are reported as medians. The median is the numerical value separating the higher half of a sample from the lower half and is the best representation of the “average” value when, as is often the case with the state survey responses, the data include outliers (a data point that is widely separated from the main cluster of data points in a dataset).

Enforcement Programs

The STOP Act State Survey requested enforcement data⁴⁰ in four areas:

1. Whether the state encourages and conducts comprehensive enforcement efforts—such as compliance checks and shoulder tap programs—to prevent underage access to alcohol at retail outlets
2. Whether data are collected on local enforcement efforts to prevent underage access to alcohol

⁴⁰ For charts showing individual state responses to all enforcement program questions on the 2015 survey, visit stopalcoholabuse.gov and go to Report to Congress, Supplemental Information, “2011-2015 Enforcement Data.”

3. The number of compliance checks conducted on alcohol retail outlets, including random checks, checks in response to complaints, and checks resulting from previous compliance check failures, and the results of these compliance checks
4. Enforcement of selected state laws aimed at deterring underage drinking (see Chapter 4.3: Policy Summaries) and penalties imposed for violation of these laws, using arrest data for MIP offenses to index enforcement of these laws

Exhibit 4.2.1 shows the percentage of states that collect data on compliance checks, MIP charges, and penalties levied against retail establishments for furnishing alcohol to minors. As illustrated in Exhibit 4.2.1, a large majority of states collect data on state compliance checks, MIP charges, and penalties imposed on retail establishments. However, the number of states that collect data on local enforcement efforts is limited. Thus, it is likely that the enforcement statistics that follow underestimate the total amount of underage drinking enforcement occurring in the states.

Compliance Checks

Compliance checks (or decoy operations) are defined as those enforcement actions in which trained underage (or apparently underage) operatives (“decoys”), working with law enforcement officials, enter retail alcohol outlets and attempt to purchase alcohol. States were asked to provide an estimate of the total number of retail licensees in their state so that the percentage of licensees checked annually could be measured. A median of 16 percent of licensed establishments are checked across all 39 states that conduct compliance checks and collect associated data.⁴¹ Exhibit 4.2.2 provides a state-by-state picture of the percentage of licensees checked. Sixty-four percent of those states conducting checks tested 20 percent or fewer of their licensees, indicating that checking is generally not comprehensive. Nearly all (97 percent) of the states reported that checks were conducted at both on- and off-premise establishments.

In addition to questions about the number of state checks and check failures, states were asked whether they conduct random compliance checks. Of the 40 states that conduct and collect data on compliance checks, 80 percent indicated that some or all of the checks conducted were done randomly, as opposed to being conducted in response to a complaint or as part of a convenience sample. For 71 percent of the states that report conducting random checks, all state checks were conducted randomly.

Exhibit 4.2.1: Percentage of Jurisdictions that Reported Enforcement Data Collection at the State and Local Levels

	State collects data on compliance checks		State collects data on MIP arrests/citations	State collects data on MIP, including arrests/citations by local law enforcement agencies	State collects data on penalties imposed on retail establishments		
	State-conducted	Locally conducted			Fines	License suspensions	License revocations
Percentage	78	35	76	35	75	76	75

⁴¹ One state that conducts compliance checks and collects data on these checks did not provide sufficient information to calculate the percentage of all licenses checked.

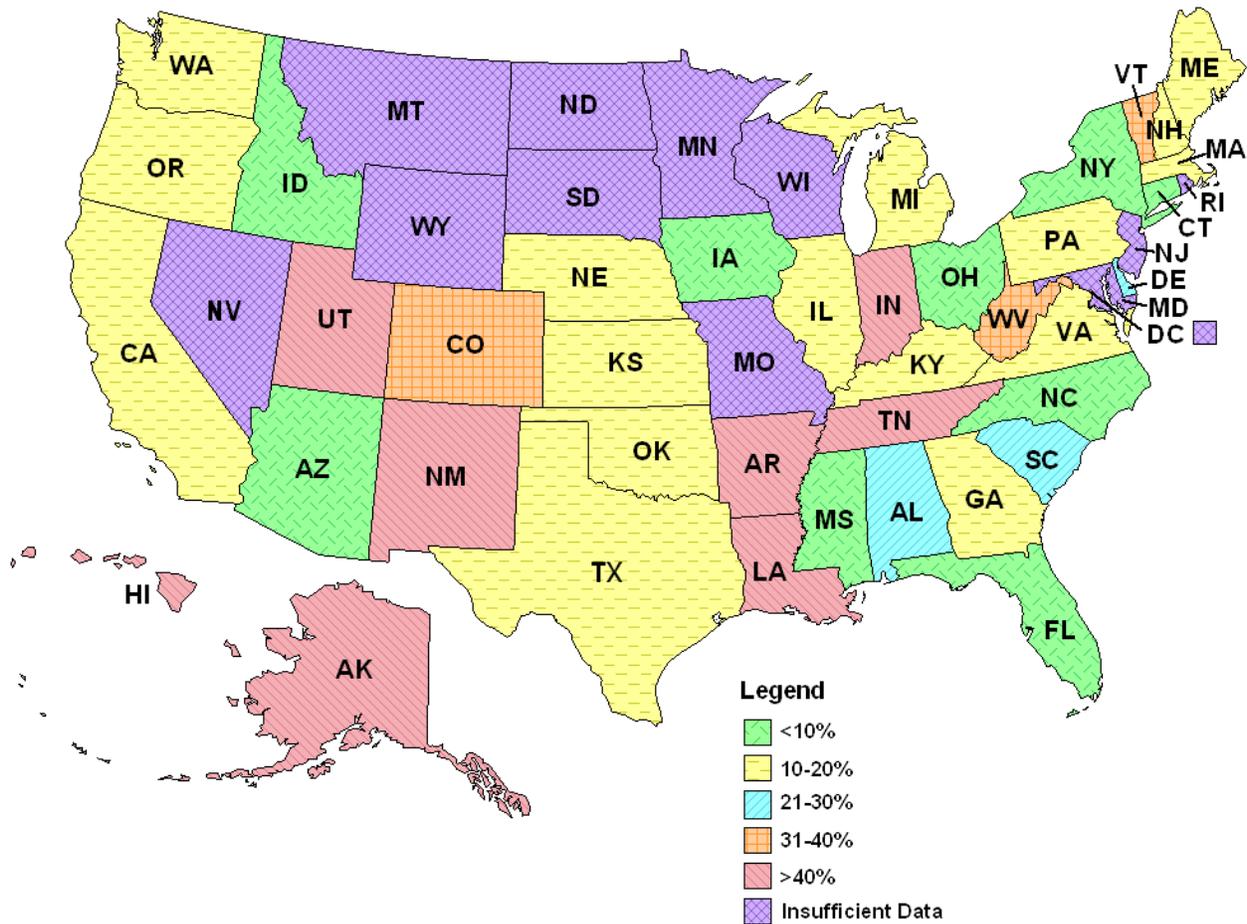
Exhibit 4.2.2: Percentage of Licenses Checked by State

Exhibit 4.2.3 compares the number and failure rates of all state compliance checks, those state checks conducted randomly, and local compliance checks. Localities in 18 states also conduct compliance checks and collect data. Eleven states report conducting and collecting data for *both* state and local compliance checks; 47 states conduct and collect data on either state or local compliance checks; and 4 states conduct neither state nor local checks. As shown in Exhibit 4.2.3, the number of licensees checked and licensee failures varies widely.

Exhibits 4.2.4 and 4.2.5 provide state-by-state licensee failure rates for all compliance checks conducted by state and local agencies based on data reported by the states. Most state-level checks report failure rates of 20 percent or less, with 10 states reporting higher rates. Exhibit 4.2.5 highlights the lack of data on local compliance checks for most states. Only 14 states report any data, with 13 of those states reporting rates of 20 percent or less.

As noted above, there is great variation among the states in the percentage of the total number of outlets checked during this period. Some states indicate that they make multiple checks on single outlets during the year in question, and this may be true of other states. Compliance check protocols also vary by state. For example, states use differing procedures and requirements for choosing underage decoys (see Compliance Check Protocols in Chapter 4.3, Policy Summaries).

Exhibit 4.2.3: Compliance Checks

	Number of licensees on which checks were conducted		Percentage of licensees on which checks were conducted that failed the checks	
	Median for those that collect data		Median for those that collect data	
State agencies all checks (n=39)	Median for those that collect data	1,629	Median for those that collect data	15
	Minimum	14	Minimum	2
	Maximum	13,102	Maximum	100
State agencies random checks only (n=24)	Median for those that collect data	1,537	Median for those that collect data	12
	Minimum	406	Minimum	2
	Maximum	13,102	Maximum	38
Local agencies (n=14)	Median for those that collect data	889	Median for those that collect data	11
	Minimum	241	Minimum	8
	Maximum	9,043	Maximum	22

Note: The “n” figures in this exhibit differ from the total numbers of states that answered “yes” to collecting and conducting state, random, and local compliance checks, because some states provided incomplete data.

Exhibit 4.2.4: State Compliance Checks Failure Rate

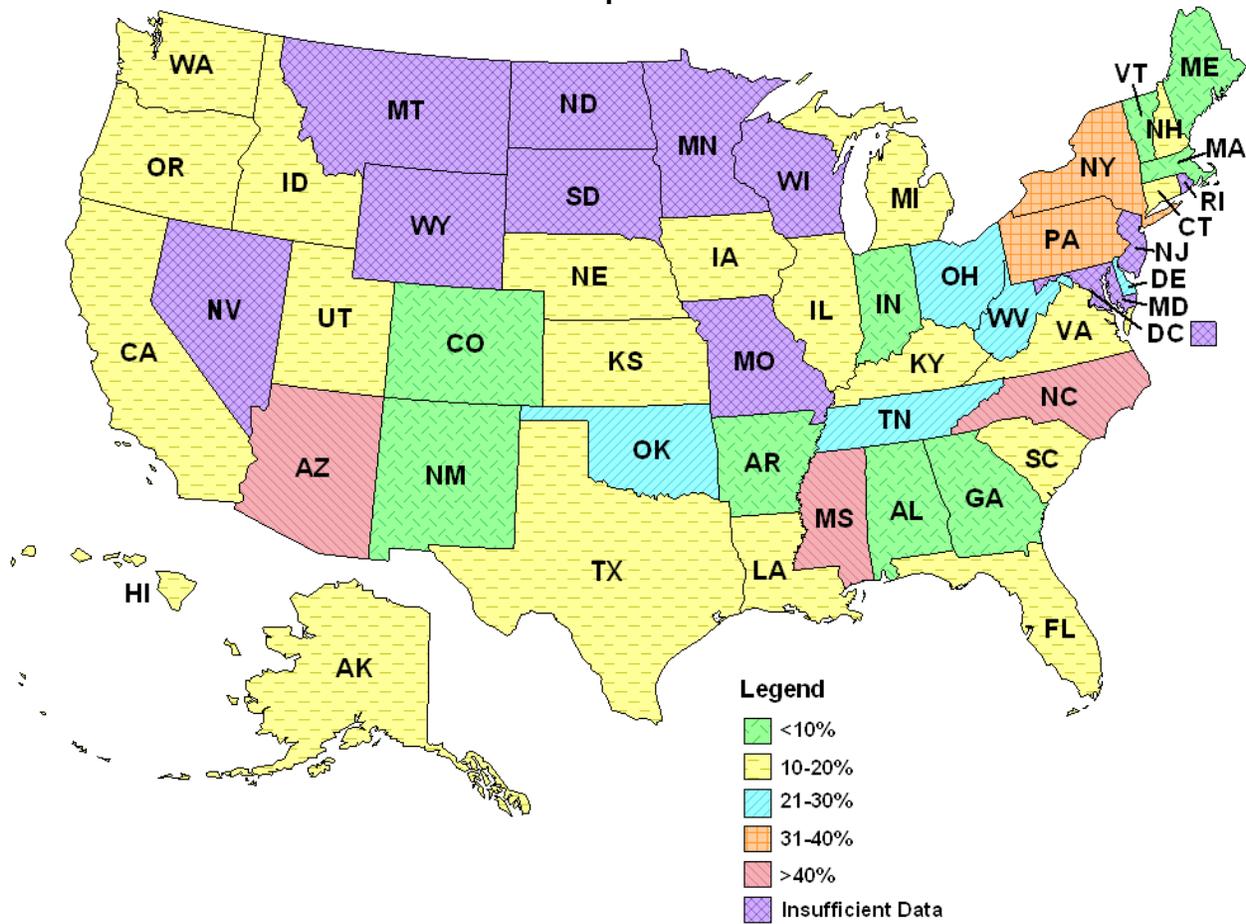
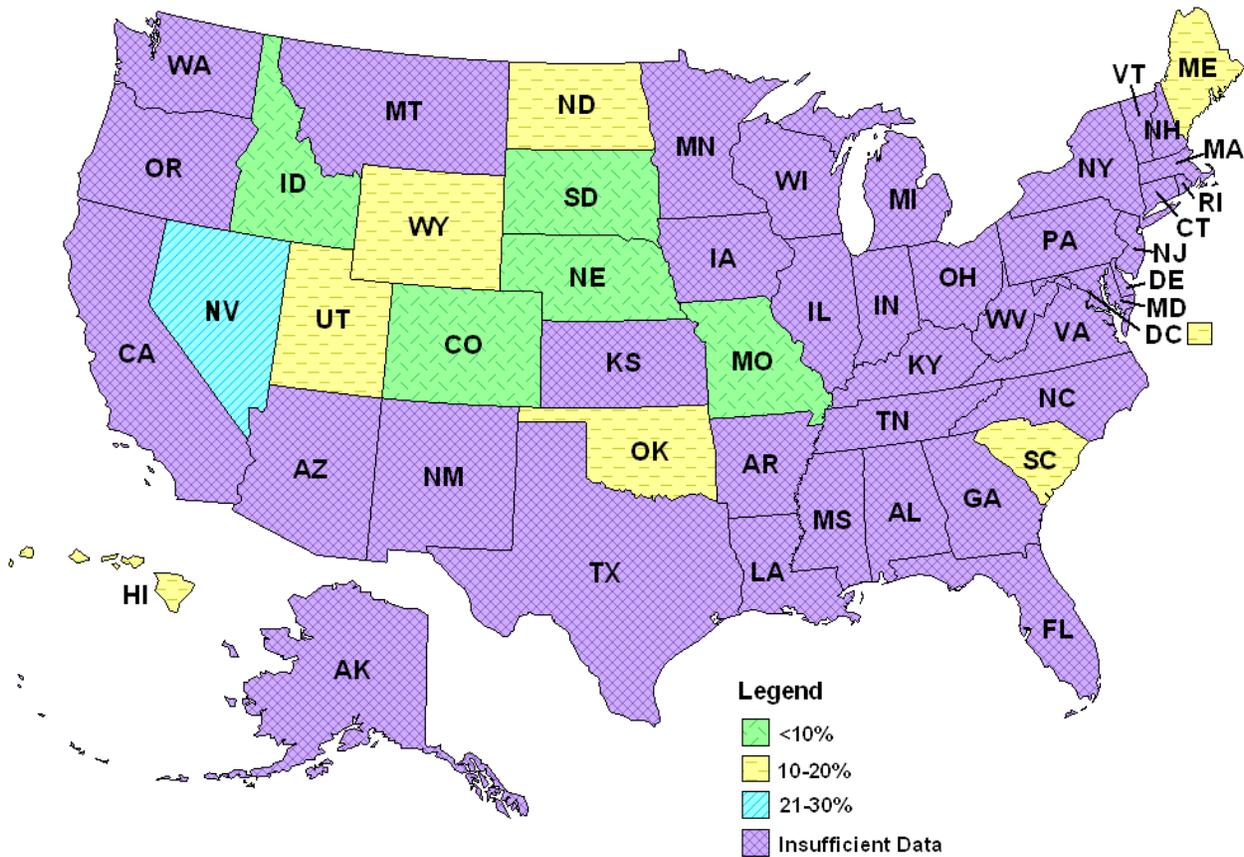


Exhibit 4.2.5: Local Compliance Checks Failure Rate



States may also conduct compliance checks randomly in response to complaints or as a result of a previous compliance check failure. Hence, differences in compliance check protocols may affect the number of outlets checked, the frequency of checks at a particular establishment, and the failure rates.

Other Enforcement Strategies

States were asked to report on four other state and local strategies to enforce underage drinking laws: Cops in Shops, shoulder tap operations, party patrol operations or programs, and underage alcohol-related fatality investigations. Definitions of these enforcement strategies follow. An expanded discussion of these strategies is found in the Enforcement section in Chapter 4.1:

- **Cops in Shops:** A well-publicized enforcement effort in which undercover law enforcement officers are placed in retail alcohol outlets
- **Shoulder tap:** Trained young people (decoys) approach individuals outside of retail alcohol outlets and ask them to make an alcohol purchase
- **Party patrol operations or programs:** Operations that identify underage drinking parties, make arrests and issue citations, and safely disperse participants
- **Underage alcohol-related fatality investigations:** Investigations to determine the source of alcohol ingested by fatally injured minors

As shown in Exhibit 4.2.6, the most common enforcement activities at both state and local levels are party patrol operations or programs and underage alcohol-related fatality investigations. Given that much of the enforcement of laws pertaining to minors in possession occurs at the local level, it is not surprising that more states report implementation of related programs (shoulder tap and party patrol operations) by local law enforcement than at the state level.

Exhibit 4.2.7 displays states that implement one, two, three, or all four of the strategies listed in Exhibit 4.2.6. Exhibit 4.2.8 displays states in which local law enforcement agencies implement one, two, three, or all four of the strategies.

Exhibit 4.2.6: Implementation of Other Enforcement Strategies

State enforcement: Percentage of states that implement:				Local enforcement: Percentage of states in which localities implement:			
Cops in Shops	Shoulder tap operations	Party patrol operations or programs	Underage alcohol-related fatality investigations	Cops in Shops	Shoulder tap operations	Party patrol operations or programs	Underage alcohol-related fatality investigations
37	24	53	76	33	45	63	53

Exhibit 4.2.7: Number of Enforcement Strategies Implemented by States

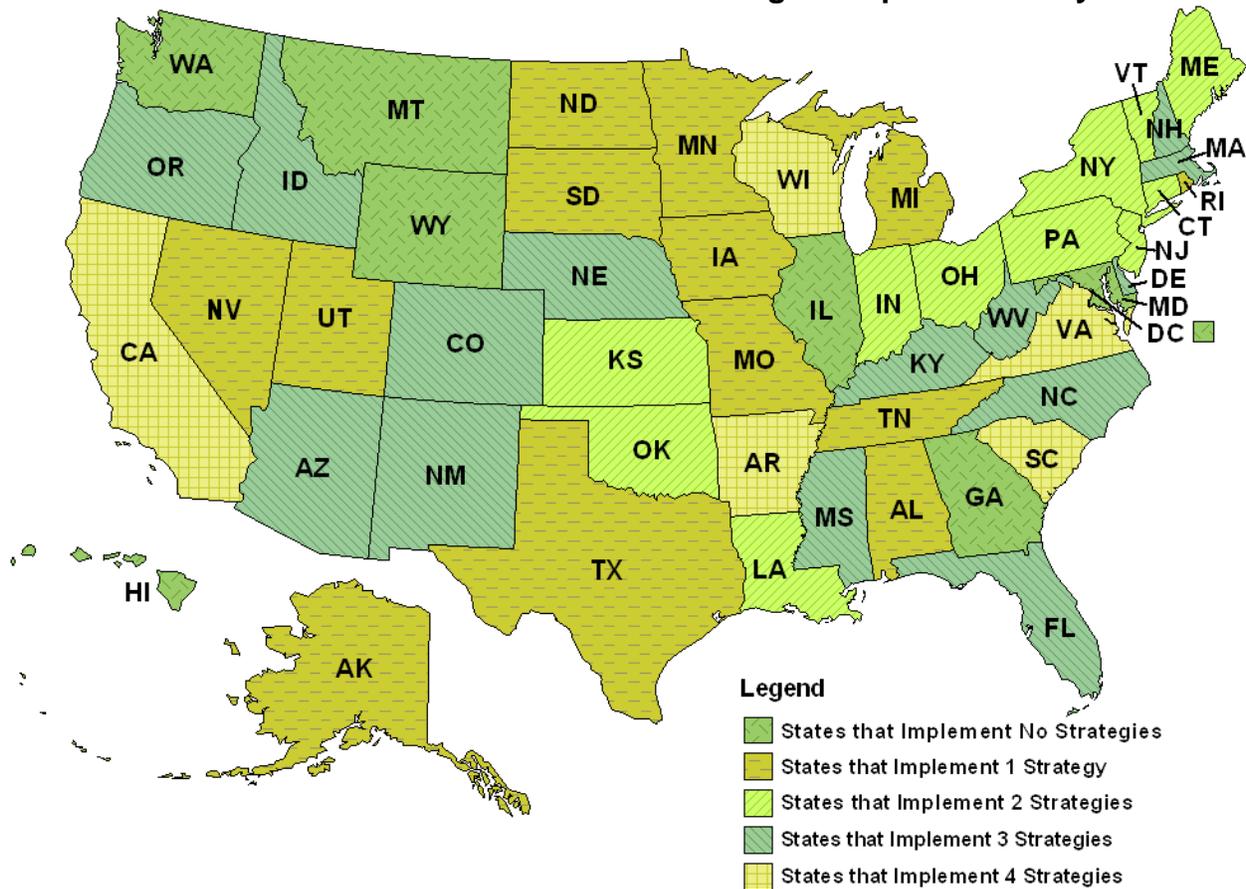
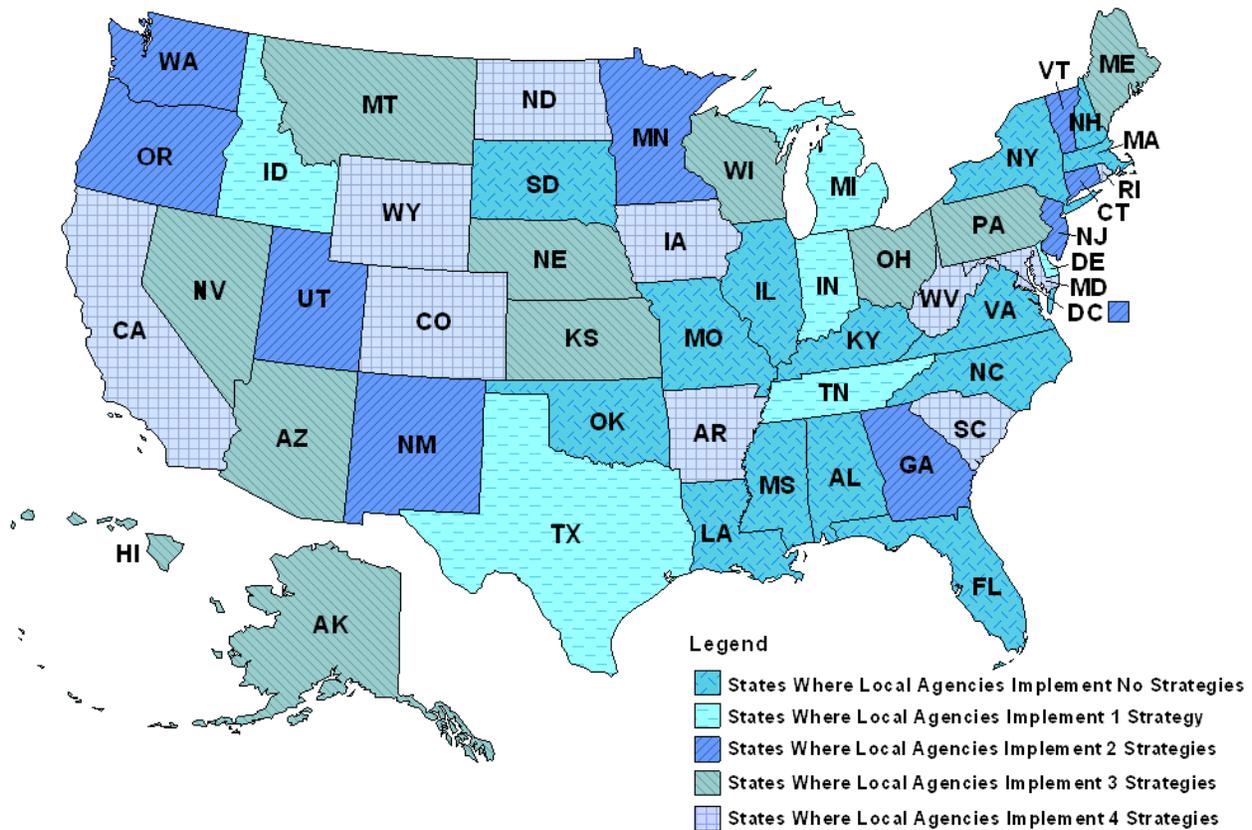


Exhibit 4.2.8: Number of Enforcement Strategies Implemented by Local Law Enforcement Agencies



In addition, all states regulate or prohibit direct sales and direct shipment of alcohol from producers to consumers, typically through Internet orders and delivery by common carriers. (These laws do not address home delivery or Internet sales by retailers.) States were asked whether they have a program to investigate and enforce direct-sales or direct-shipment laws and whether these laws are also enforced by local law enforcement agencies. As shown in Exhibit 4.2.9, 59 percent of the states report having direct-shipment enforcement programs, but only 6 percent report that local law enforcement enforce these laws.

Exhibit 4.2.9: Enforcement of Direct-Shipment Laws

State has a program to investigate and enforce direct-sales/shipment laws (%)		Law is also enforced by local law enforcement agencies (%)
Yes	59%	6%
No	33%	29%
Don't know/No answer	8%	65%

Sanctions Imposed on Retail Establishments for Violations

The State Survey requested information on penalties imposed on retail establishments for furnishing to minors (see Exhibits 4.2.10–4.2.14; note that the “*n*” figures in these exhibits differ from the total number of states that answered “yes” to collecting data on fines, suspensions, and revocations, because some states provided incomplete data).

As would be expected, fines are the most common sanction, imposed about five times as often as suspensions. However, revocations are rare. Of the states that collect data on revocations, percent revoked one or no licenses. Eighty-eight percent of the states revoked fewer than six licenses.

The survey asked states to report the lowest and highest fine imposed, and the shortest and longest number of suspension days. Exhibits 4.2.11 and 4.2.13 illustrate great variation among the states in the amount of fines and the length of license suspensions imposed.

Exhibit 4.2.10: Fines Imposed on Retail Establishments for Furnishing to Minors

Number of outlets fined for furnishing		Total amount of fines in dollars across all licensees
Median for those that collect data (<i>n</i> =31)	235	\$131,675
Minimum	0	\$0
Maximum	2,831	\$7,328,472

Exhibit 4.2.11: Lowest and Highest Fines Imposed on Retail Establishments for Furnishing to Minors

Lowest fine imposed	Dollar amount of fines across all licenses
Median for those that collect data (<i>n</i> =33)	\$450
Minimum	\$0
Maximum	\$2,000
Highest fine imposed	Dollar amount of fines across all licenses
Median for those that collect data (<i>n</i> =34)	\$5,000
Minimum	\$500
Maximum	\$80,000

Exhibit 4.2.12: License Suspensions Imposed on Retail Establishments for Furnishing to Minors

Number of outlets suspended for furnishing		Total days of suspension across all licensees
Median for those that collect data (<i>n</i> =32)	30	163
Minimum	0	2
Maximum	676	5,862

Exhibit 4.2.13: Shortest and Longest License Suspensions Imposed on Retail Establishments for Furnishing to Minors

Shortest suspension imposed		Number of days across all licenses
Median for those that collect data (n=29)		2
Minimum		0
Maximum		30
Longest suspension imposed		Number of days across all licenses
Median for those that collect data (n=29)		21
Minimum		1
Maximum		150

Exhibit 4.2.14: License Revocations Imposed on Retail Establishments for Furnishing to Minors

Number of outlets revoked for furnishing	
Median for those that collect data (n=32)	0*
Minimum	0
Maximum	69

*The median will be zero if more than half the responses are zero.

Sanctions for furnishing to minors can be put into perspective by considering rates per 100,000 drinking occasions among youth who are 16 to 20 years old. Exhibit 4.2.15 presents these rates for 26 states that collect complete sanctions data (fines, suspensions, and revocations).

Minor in Possession Offenses

States were also asked to provide statistics on MIP offenses. As noted earlier, arrest data for MIP offenses provide an index of the enforcement of laws designed to deter underage persons from drinking. Some states reported data that included arrests/citations issued by local law enforcement agencies; others did not.

The first three rows of Exhibit 4.2.16 present the number of arrests/citations reported by all states that collect such data. These data may not provide an accurate picture of MIP enforcement, because much of it is conducted at the local level and, therefore, is not represented in state data. The last three rows of Exhibit 4.2.16 present data only from those states that collect both state and local data. When only those states that collect local data are considered, the median number of arrests/citations increases by 46 percent, highlighting the importance of local enforcement efforts and data.

Exhibit 4.2.15: Retailer Sanctions for Furnishing to Minors

Sanctions per 100,000 drinking occasions	
Median for those that collect data (n=26)	7.64
Minimum	0.54
Maximum	30.68

Exhibit 4.2.16: Number of Minors Found In Possession of (or Having Consumed or Purchased per State Statutes) Alcohol

	Number of arrests/citations
Median for all states that collect data (n=38)	1,000
Minimum	4
Maximum	20,233
Median for states that collect both state and local data (n=18)	1,856
Minimum	19
Maximum	20,233

To explore the meaning of these data, two indices were calculated for states with both state and local MIP enforcement. The first index compares the rates of MIP arrests/citations with an estimate of yearly drinking occasions among 16- to 20-year-olds.⁴² The second index reflects arrests per 100,000 youth in each state who are 16 to 20 years old. Results appear in Exhibit 4.2.17.

Sanctions Against Youth vs. Sanctions Against Retailers

Comparing rates of MIP arrests and rates of retailer sanctions (totals of fines, suspensions, and revocations) highlights enforcement priorities. Twenty-two states provided the complete dataset needed for this analysis (Exhibit 4.2.18).

Exhibit 4.2.17: State and Local Arrests/Citations for Minors in Possession: 16- to 20-Year-Olds

	Number of arrests/citations	Arrests/Citations per 1,000 drinking occasions	Arrests/Citations per 100,000 population 16–20
Median for those that collect data (n=18)	1,856	1.15	1,238
Minimum	19	0.02	22
Maximum	20,233	6.88	7,425

Exhibit 4.2.18: Ratio of State and Local MIP Arrests to Retailer Sanctions

	MIP arrests per retailer sanctions
Median for those that collect data (n=21)	4
Minimum	0.03
Maximum	63

⁴² This estimate is based on the calculations of Wagenaar and Wolfson (1994). Using *Monitoring the Future* data, they estimated a rate of 90 drinking occasions per 100 youth per month. To maintain consistency of analysis over the years, this formula is used in every Report to Congress.

In most states, MIP arrests greatly outnumber retailer sanctions, indicating that priority is given to individual arrests over enforcement at the retail level. The ratio of MIP arrests to retailer sanctions (indicating a priority on retailer enforcement) was less than one in seven states.

Programs Targeted to Youth, Parents, and Caregivers

States were asked to list general prevention programs that have underage drinking as one objective funded or operated directly by the state. The survey provided space to provide detailed descriptions of up to 15 programs, plus additional space to briefly list any other programs that the states wanted to highlight. States were also asked:

- The numbers of youth, parents, and caregivers served by each program (if the program was aimed at a specific, countable population)
- Whether the program has been evaluated
- Whether an evaluation report is available and where the report can be found

Specific populations served were defined as follows:

Youth: People younger than 21 years old

Parents: People who have primary responsibility for the well-being of a minor (e.g., biological and adoptive parents, grandparents, foster parents, extended family)

Caregivers: People who provide services to youth (e.g., teachers, coaches, health and mental healthcare providers, human services and juvenile justice workers)

In addition to program descriptions, states were asked whether they had programs to measure and reduce youth exposure to alcohol advertising and marketing, and best practice standards for selecting or approving underage-drinking programs.

Program Content

States varied widely in the number of programs described, in part because some states provided detailed information on local variations of some program types (e.g., community coalitions), whereas others described umbrella programs. Many well-known programs were reported, including those focused on life skills, refusal skills, media advocacy, community organizing, and environmental change. Prevention initiatives developed by individual states were also well represented.

As a method for summarizing the types of programs states are implementing, all programs were coded into one of four categories:

- **Programs focused on individuals**—Programs designed to impart knowledge, change attitudes and beliefs, or teach skills. Although individual youths or adults (usually parents) are the focus of these programs, the programs are almost always conducted with groups (e.g., classrooms, Boys/Girls Clubs, PTAs, members of a congregation). Also in this category are programs for offenders (MIP, driving while intoxicated [DWI]). Certain kinds of education and skills development were considered part of the environment. These include training for alcohol sellers and servers, health care workers, public safety personnel, and others whose activities affect large numbers of people.
- **Programs focused on the environment**—Programs that seek to alter physical, economic, and social environments, which may be focused on entire populations (e.g., everyone in a state or community) or a subpopulation (e.g., underage people, youth who drive). The main

mechanisms for environmental change include state laws and local ordinances and their enforcement, institutional policies (e.g., enforcement priorities or prosecutorial practice, how alcohol is to be served at public events, carding everyone who looks younger than 35 years old, alcohol screening of all ER injury admissions), and changing norms. These changes are generally designed to decrease physical availability of alcohol (e.g., home delivery bans, retailer compliance checks), raise economic costs (drink special restrictions, taxation), and limit social availability, such as policies that affect the extent to which alcohol and alcohol users are visible in the community (e.g., banning alcohol in public places and at community events, banning outdoor alcohol advertising).

- **Mixed**—Cases where both individual and environmental approaches are a substantive part of the effort. So-called “comprehensive” prevention programs are a relevant example.
- **Media campaigns**

In total, 283 programs (86 percent of all programs) were described in sufficient detail to allow coding. The results are presented in Exhibit 4.2.19. As shown, programs focused on individuals were more than twice as common as programs focused on the environment. States tended to favor either an individual or an environmental approach in the programs they described; and 43 percent of the states that reported any programs that could be coded focused exclusively on one or the other.

Numbers Served

States were asked to estimate the numbers of youths, parents, and caregivers served by programs aimed at specific populations. These data were incomplete, with 53 percent of the states ($n=27$) providing data for at least one program for youths served, 29 percent ($n=15$) for parents served, and 20 percent ($n=10$) for caregivers served. These data may be difficult for certain types of programs to estimate. In particular, the target populations for programs focused on the environment may be entire populations or subpopulations. Estimating the actual numbers reached is therefore problematic. Exhibit 4.2.20 gives the reported number of youths, parents, and caregivers served across all states that reported data.

Evaluation Data

For each program, states were asked whether the program has been evaluated and whether an evaluation report is available. Summary data for these questions appear in Exhibit 4.2.21. Clearly, states vary widely in their emphasis on evaluation.

Exhibit 4.2.19: Types of Programs Implemented by the States

Program category	Percentage of programs implemented
Focused on individuals	50
Focused on the environment	24
Mixed focus	20
Media campaigns	6

Exhibit 4.2.20: Reported Numbers of Youths, Parents, and Caregivers Served

	Youths served	Parents served	Caregivers served
Median	264	0	0
Minimum	0	0	0
Maximum*	960,912	650,000	425,480

*Maximum numbers served are high in those instances where states reported that a program served the entire state population, or in those instances in which individuals may be served by the program multiple times.

Exhibit 4.2.21: Evaluation of Underage Drinking–Specific Programs

	Percentage of state programs evaluated	Percentage of evaluated programs with reports available
Median	67	23
Minimum	0	0
Maximum	100	100

Programs to Measure and Reduce Youth Exposure to Alcohol Advertising and Marketing

States were asked whether they have programs to measure or reduce youth exposure to alcohol advertising and marketing. Thirty-seven percent ($n=19$) of the states reported they had such programs, which tend to implement four approaches:

1. Environmental scans to assess the degree of youth exposure to alcohol advertising
2. Counter-advertising initiatives
3. Eliminating environmental advertising aimed at youth
4. Social marketing

Best Practice Standards

States were asked whether they have adopted or developed best practice standards for underage-drinking-prevention programs and, if so, the type of agency or organization that established the standards. Eighty-six percent ($n=44$) reported they had best practices standards. As shown in Exhibit 4.2.22, state agencies play a significant role in their establishment, followed by federal agencies. Sixty-four percent of those states with best practices standards reported that more than one type of agency was responsible for their establishment. More than half (59 percent) included SAMHSA and CSAP in their list of agencies.

Collaborations, Planning, and Reports

The STOP Act Survey included two questions about collaborations. The first question asked whether states collaborated on underage drinking issues with federally recognized tribal governments (if any). Fifty-four percent ($n=27$) said they did collaborate, 26 percent said they did not collaborate, and the remainder reported no federally recognized tribes in their states.

Exhibit 4.2.22: Agencies Establishing Best Standards

Type of agency establishing best practice standards	Percentage of states adhering to best practice standards
Federal (n=32)	73
State (n=35)	80
Nongovernmental (n=8)	18
Other (n=5)	11

The second question asked whether the states had a state-level interagency body or committee to coordinate or address underage-drinking-prevention activities. Eighty-two percent of the states reported that such a committee exists, although the composition of the committee varied somewhat from state to state. Most states' interagency committees included a variety of state agencies directly involved in underage-drinking-prevention policy implementation and enforcement, as well as educational- and treatment-program development and oversight. These include the states' departments of health and human services and alcohol beverage control, their substance abuse agency, and their state police/highway patrol. Of interest is the extent to which the committee included representatives of the governor, legislature, and attorney general, given that they are so critical in setting priorities, providing funding, and generating political and public support. As shown in Exhibit 4.2.23, about 1 in 10 states with a committee included the governor, 1 in 7 a legislative representative, and 1 in 3 an attorney general.

Exhibit 4.2.24 shows the extent to which the interagency committee included relevant entities and constituencies outside of state government. Approximately half of the states with interagency committees included college/university administrations, campus life departments, or campus police and community coalitions or concerned citizens. About one in three states included local law enforcement, and one in five included youth.

States were asked whether they had prepared a plan for preventing underage drinking or issued a report on underage drinking in the past 3 years. Fifty-nine percent of the states had prepared a plan, and 57 percent had issued a report. The majority of states provided a source for obtaining the plans or reports (see individual state reports).

Exhibit 4.2.23: Composition of the Interagency Group—State Government Entities

	Office of the Governor	Legislature	Attorney General
Percentage of states with a committee (n=41)	10	15	32

Exhibit 4.2.24: Composition of the Interagency Group—Other Entities

	Local law enforcement	College/University administration, campus life department, campus police	Community coalitions/ Concerned citizens	Youth
Percentage of states with a committee (n=41)	34	51	49	20

State Expenditures on the Prevention of Underage Drinking

States were asked to estimate state expenditures for two categories of enforcement activities and five types of programs targeted to youths, parents, and caregivers. Exhibit 4.2.25 provides the data in \$1,000 units reported for the enforcement activities, program activities, and an “other” category. An entry of zero in the “Minimum reported” row means that at least one state that maintains data reports no expenditures in that category.

The largest expenditure category is for K–12, followed by community-based programs. As the median of expenditures for all enforcement activities (\$14,465) is higher than that for all programs targeted to youths, parents, and caregivers (\$0), the total dollar amount expended for these nonenforcement programs (approximately \$110 million) is 13 times the total dollar amount spent on enforcement (approximately \$8.6 million).⁴³

States were also asked whether funds dedicated to underage drinking are derived from taxes, fines, and fees. Ninety-two percent of the states provided data for these questions. The use of these funding sources for underage-drinking-prevention activities is limited (see Exhibit 4.2.26).

Exhibit 4.2.25: 12-Month Expenditures* (in thousands) for Enforcement Activities; Programs Targeted to Youths, Parents, and Caregivers; and Other Programs†

	Enforcement activities		Programs targeted to youths, parents, and caregivers					Other programs
	Compliance checks	Checkpoints and saturation patrols	Community-based programs	K–12 programs	College/ University programs	Juvenile justice system programs	Child welfare system programs	
Number of states providing data	22	19	34	27	24	20	16	14
Median expenditure*	\$22	\$4	\$190	\$4	\$6	\$0	\$0	\$32
Minimum reported	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Maximum reported	\$250	\$4,432	\$9,621	\$31,021	\$304	\$5,285	\$1,108	\$2,500
Percentage of states providing data that invest in this category	64	53	76	52	50	25	19	57

*The median is zero if more than half the responses are zero.

†These data must be viewed cautiously. Response rates ranged from 19 percent to about 76 percent. Thus the extent to which some of these data reflect national trends is unclear.

⁴³ The median of the combined expenditures for programs targeted to youths, parents, and caregivers is affected by the number of states reporting zero expenditures, as is clear from Exhibit 4.2.25.

Exhibit 4.2.26: Sources of Funds Dedicated to Underage Drinking

Source	Number of states providing data	Percentage reporting yes*
Taxes	45	27
Fines	44	18
Fees	43	21

*Percentages reflect only those states that provided data for these questions.

Comparison of Enforcement Data: 2011 to 2015

The STOP Act State Survey is now in its fifth year of data collection. The following exhibits offer a snapshot of the results for 2011, 2012, 2013, 2014, and 2015 for several key components of the enforcement data. Caution should be used in interpreting these data. Data collection and reporting vary greatly from year to year among the states, so it is not possible to compare all states over these 5 years. Fewer than half the states provided information in all 5 years for eight of the datasets.⁴⁴

Twenty-four percent of the states provided minor in possession data over all 5 years. As shown in Exhibit 4.2.27, of these states, 17 percent reported a larger number of MIP arrests in 2015 than in 2011, and 83 percent reported a decrease in the number of arrests. Increases and decreases in the number of arrests were not necessarily continuous over the 5 years. For 92 percent of the states, there was some variation across the years.

Exhibit 4.2.28 shows that 59 percent of the states provided state compliance check data for all 5 years. Sixty percent of the states reported an increased number of compliance checks between 2011 and 2015, and 40 percent reporting a decreased number. As with MIP arrests, increases and decreases were not continuous across the years; 90 percent of the states reported some fluctuation. Fewer data are available addressing compliance checks conducted by local law enforcement. Only six states provided data for all years. Of this small group, three states reported a decrease in the number of local compliance checks between 2011 and 2015.⁴⁵

Exhibits 4.2.29–4.2.31 describe state reporting on penalties for retail establishments between 2011 and 2015. In most penalty categories, larger percentages of the states reported reduced use of these penalties than reported increased use. Given that revocations are relatively infrequent, it is not surprising that about one third (36 percent) of all states reporting showed no change between 2011 and 2015. Given the great variation in reporting rates for all 5 years (18 percent to 43 percent), these data should be viewed with caution.

⁴⁴ For detailed charts of all state enforcement data reported from 2011 to 2015, visit <http://www.stopalcoholabuse.gov> and go to Report to Congress, Supplemental Information, “2011-2015 Enforcement Data.”

⁴⁵ In previous reports, a comparison of state expenditures for compliance checks was included. As only three states have reported these data for all 5 years (2011 to 2015), a meaningful comparison is not possible.

Exhibit 4.2.27: Minors in Possession 2011–2015

	Number	Percentage
States reporting in all 5 years (n=12)		
States showing increased arrests across all 5 years	0	0
States showing decreased arrests across all 5 years	1	8
States showing variation across all 5 years, but increased number of MIP arrests between 2011 and 2015	2	17
States showing variation across all 5 years, but decreased number of MIP arrests between 2011 and 2015	9	75
States not reporting in all 5 years (n=39)		

Exhibit 4.2.28: State Compliance Checks 2011–2015

	Number	Percentage
States reporting in all 5 years (n=30)		
States showing increasing number of compliance checks across all 5 years	2	7
States showing decreasing number of compliance checks across all 5 years	1	3
States showing variation across all 5 years, but increased number of compliance checks between 2011 and 2015	16	53
States showing variation across all 5 years, but decreased number of compliance checks between 2011 and 2015	11	37
States not reporting in all 5 years (n=21)		

Exhibit 4.2.29: Fines on Retail Establishments 2011–2015

	Fines: Total number	Fines: Total dollar amount
	States reporting in all 5 years (n=13)	States reporting in all 5 years (n=12)
States showing consistent increases over all 5 years	8% (n=1)	0% (n=0)
States showing consistent decreases over all 5 years	0% (n=0)	0% (n=0)
States showing variation across all 5 years, but increases between 2011 and 2015	38% (n=5)	50% (n=6)
States showing variation across all 5 years, but decreases between 2011 and 2015	54% (n=7)	50% (n=6)

Exhibit 4.2.30: License Suspensions of Retail Establishments 2011–2015

	Suspensions: Total number	Suspensions: Total number of days
	<i>States reporting in all 5 years (n=20)</i>	<i>States reporting in all 5 years (n=9)</i>
States showing consistent increases over all 5 years	5% (n=1)	0% (n=0)
States showing consistent decreases over all 5 years	5% (n=1)	0% (n=0)
States showing variation across all 5 years, but increases between 2011 and 2015	30% (n=6)	11% (n=1)
States showing variation across all 5 years, but decreases between 2011 and 2015	60% (n=12)	89% (n=8)

Exhibit 4.2.31: Revocations of Retail Establishment Licenses 2011–2015

	Revocations: Total number
	<i>States reporting in all 5 years (n=22)</i>
States showing consistent increases over all 5 years	0% (n=0)
States showing consistent decreases over all 5 years	0% (n=0)
States showing variation across all 5 years, but 2011 and 2015 were equal	36% (n=8)
States showing variation across all 5 years, but increases between 2011 and 2015	18% (n=4)
States showing variation across all 5 years, but decreases between 2011 and 2015	45% (n=10)

Discussion

A key conclusion to be drawn from the STOP Act State Survey is that the states have demonstrated a commitment to the reduction of underage drinking and its consequences. This commitment is evident in the fact that all states completed the survey, reported numerous program activities, and in many cases provided substantial detail about those activities (see individual state summaries). Completion of the lengthy survey required the cooperation of multiple state agencies, including those charged with enforcement of underage drinking laws and policies and those involved in prevention of underage consumption. The fact that the survey has had a 100 percent response rate over its 5-year existence is evidence of the seriousness with which the task of preventing underage drinking is taken by the states.

Although data provided by the state survey is informative and useful, it should be noted that enforcement activities appear highly variable across the states. Compliance checks and other enforcement activities related to furnishing (Cops in Shops, shoulder tap operations, underage alcohol-related fatality investigations, and enforcement of direct-shipment laws) are fairly widely implemented, although not necessarily at both the state and the local level. However, the total number of checks is modest. Sixty-four percent of those states conducting checks test 20 percent or fewer of their licensees. Sanctions for furnishing are predominantly fines, which are about five times more common than suspensions. Revocations are extremely rare; 66 percent of the states revoked one or no licenses.

Some of the variability found in the enforcement data may be due as much to data unavailability as to whether the activities were actually conducted. As discussed in the enforcement results

section, the number of states that collect data on local enforcement efforts is limited. Given that much of the enforcement of laws pertaining to furnishing minors and minors in possession occurs at the local level, it is likely that the enforcement statistics reported here actually underestimate the total amount of underage drinking enforcement occurring in the states. Regular and complete collection of both state and local enforcement data is critical to building an accurate picture of the national effort to prevent underage drinking.

Availability of funding for both enforcement and prevention program activities may also play a role in the types of activities conducted and data reported. For example, the termination of discretionary state grants from the Enforcing Underage Drinking Laws (EUDL) program through the Office of Juvenile Justice and Delinquency Prevention following FY 2011 may have an impact on future reports. As several states noted in the survey, EUDL-funded programs (including data collection efforts) either were terminated in previous years or were coming to a close as of 2015. The longer-term impact of this loss of funding remains to be seen.

CHAPTER 4.3
Policy Summaries

Laws Addressing Minors in Possession of Alcohol

Underage Possession, Consumption, and Internal Possession

Policy Description

As of January 1, 2015, all U.S. states and the District of Columbia prohibit possession of alcoholic beverages (with certain exceptions) by those under age 21. In addition, most but not all jurisdictions have statutes that specifically prohibit consumption of alcoholic beverages by those under age 21.

In recent years, a number of jurisdictions have enacted laws prohibiting “internal possession” of alcohol by persons less than 21 years old. These provisions typically require evidence of alcohol in the minor’s body, but they do not require any specific evidence of possession or consumption. Internal possession laws are especially useful to law enforcement in making arrests or issuing citations when breaking up underage drinking parties. Internal possession laws allow officers to bring charges against underage individuals who are neither holding nor drinking alcoholic beverages in the presence of law enforcement officers. As with laws prohibiting underage possession and consumption, jurisdictions that prohibit internal possession may apply various statutory exceptions to these provisions.

Although all jurisdictions prohibit possession of alcohol by minors, some jurisdictions do not specifically prohibit underage alcohol consumption. In addition, some jurisdictions that do prohibit underage consumption allow for exceptions for consumption that differ from those that apply to underage possession. Jurisdictions that may prohibit underage possession or consumption may or may not address the issue of internal possession.

Some jurisdictions allow exceptions to possession, consumption, or internal possession prohibitions when a family member consents or is present. Jurisdictions vary widely in terms of which relatives may consent or must be present for this exception to apply and in what circumstances the exception applies. Sometimes a reference is made simply to “family” or “family member” without further elaboration.

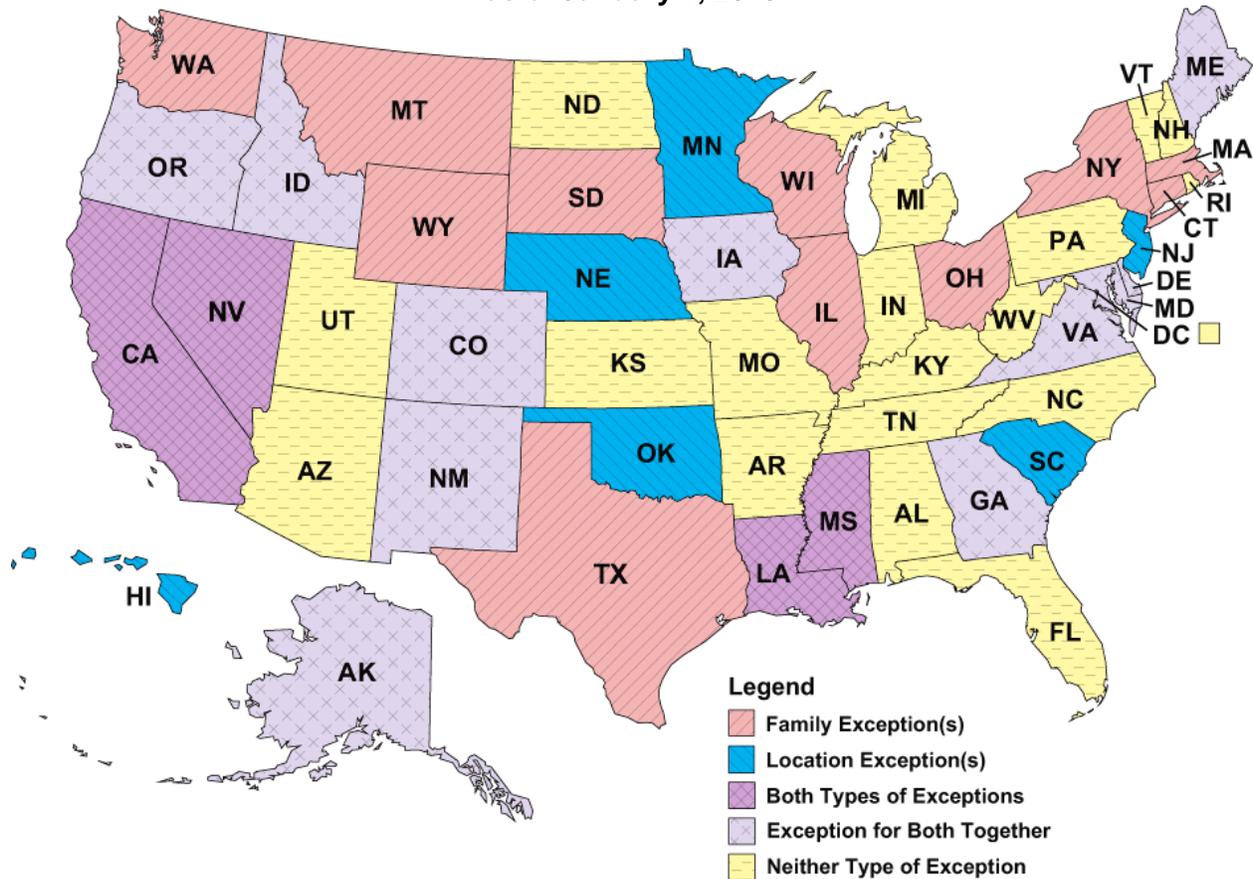
Some jurisdictions allow exceptions to possession, consumption, or internal possession prohibitions on private property. Jurisdictions vary in the extent of the private property exception, which may extend to all private locations, private residences only, or in the home of a parent or guardian only. In some, a location exception is conditional on the presence or consent of a parent, legal guardian, or spouse.

With respect specifically to consumption laws, some jurisdictions prohibit underage consumption only on licensed premises.

Status of Underage Possession Policies

As of January 1, 2015, all 50 states and the District of Columbia prohibit possession of alcoholic beverages by those under age 21. Twenty-six jurisdictions have some type of family exception, 21 have some type of location exception, and 19 have neither (see Exhibit 4.3.1). Four of these limit the location to the parent/guardian’s residence, eight pertain to any private residence, and nine concern any private location.

Exhibit 4.3.1: Exceptions to Minimum Age of 21 for Possession of Alcohol as of January 1, 2015



Trends in Underage Possession Policies

During the period between 1998 and 2015, the number of jurisdictions with family exceptions rose from 23 to 26, the number with location exceptions rose from 20 to 21, and the number of jurisdictions with neither exception decreased from 21 to 19 (see Exhibit 4.3.2).

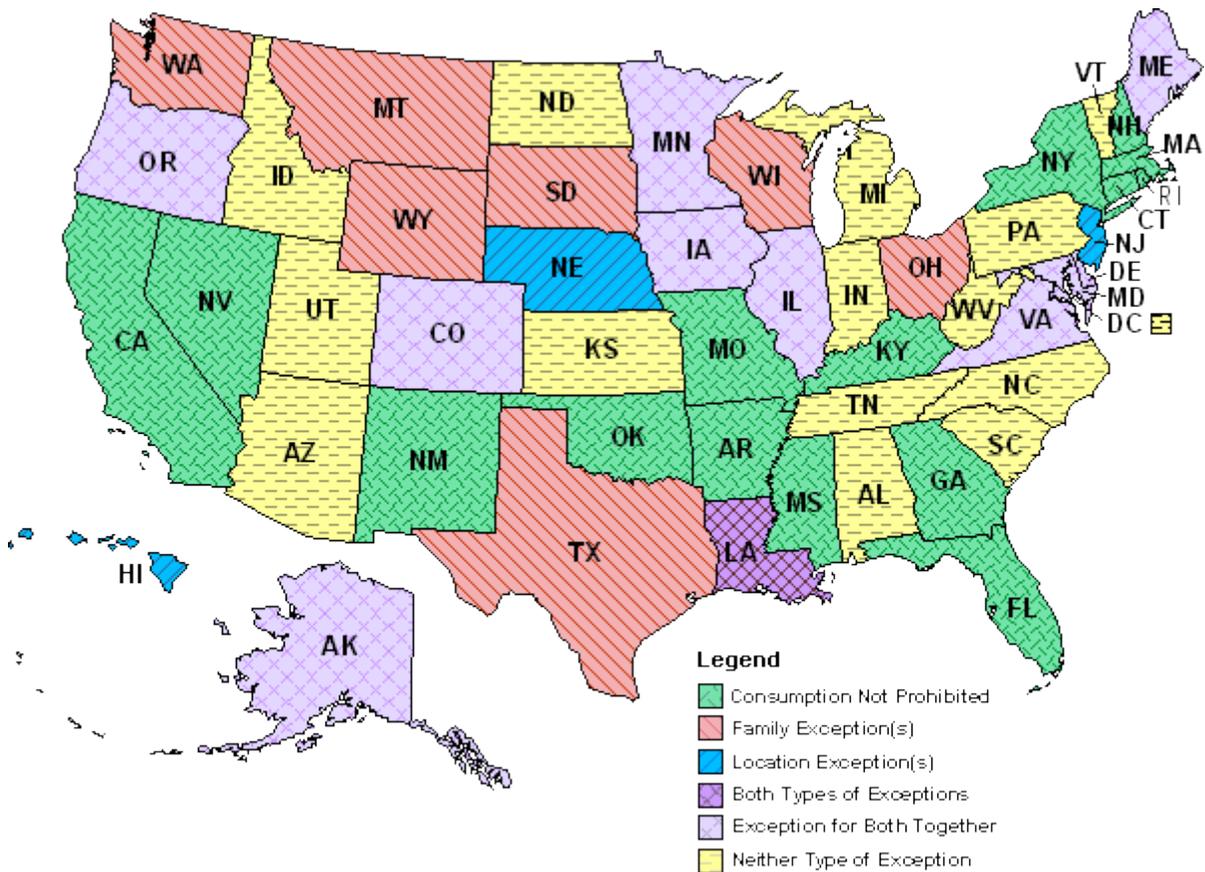
Status of Underage Consumption Policies

As of January 1, 2015, 36 jurisdictions prohibit consumption of alcoholic beverages by those under age 21. Of those, 17 permit family exceptions to the law, 13 permit location exceptions, and 15 permit neither type of exception (see Exhibit 4.3.3). Seven states (Montana, Ohio, South Dakota, Texas, Washington, Wisconsin, and Wyoming) permit only family exceptions; three states (Hawaii, New Jersey, and Nebraska) permit only location exceptions. Eleven states had both types of exceptions, with 10 of the states permitting underage consumption only if both family and location criteria are met.

Exhibit 4.3.2: Number of States with Family and Location Exceptions to Minimum Age of 21 for Possession of Alcohol, January 1, 1998, through January 1, 2015



Exhibit 4.3.3: Exceptions to Minimum Age of 21 for Consumption of Alcohol as of January 1, 2015



Trends in Underage Consumption Policies

As Exhibit 4.3.4 illustrates, during the period between 1998 and 2015, the number of jurisdictions that did not prohibit underage consumption decreased from 24 to 16. Location exceptions rose from 9 to 13; family exceptions rose from 13 to 17; and the number of jurisdictions with neither type of exception rose from 13 to 14.

Status of Underage Internal Possession Policies

As of January 1, 2015, nine states prohibit internal possession of alcoholic beverages for anyone under age 21 (see Exhibit 4.3.5). Of the nine states that prohibit internal possession, six do not make any exceptions. In contrast, Colorado has exceptions for situations in which parents or guardians are present and give consent and the possession occurs in any private location. South Carolina's law makes an exception for internal possession in the homes only of parents or guardians. Wyoming makes exceptions for situations in which parents, guardians, and spouses are present.

Trends in Underage Internal Possession Policies

As Exhibit 4.3.6 illustrates, during the period between 1998 and 2015, the number of states that prohibit underage internal possession grew steadily from two to nine. The most recent state to enact a prohibition on internal possession is Wyoming.

Exhibit 4.3.4: Number of States with Family and Location Exceptions to Minimum Age of 21 for Consumption of Alcohol, January 1, 1998, through January 1, 2015

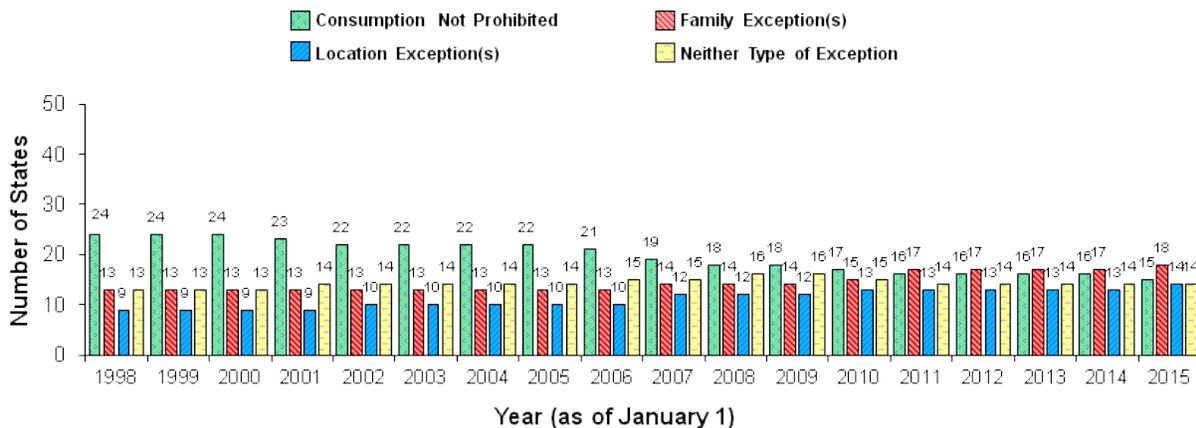


Exhibit 4.3.5: Prohibition of Internal Possession of Alcohol by Persons Under Age 21 as of January 1, 2015

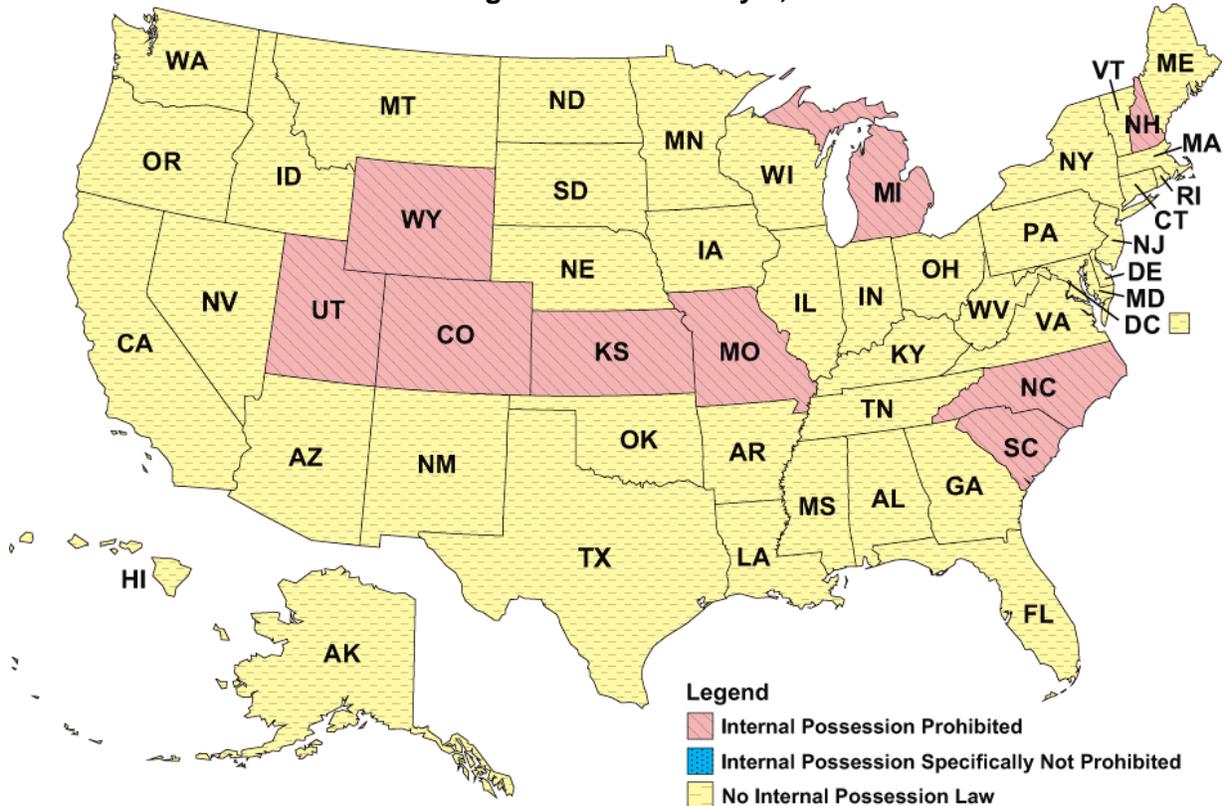
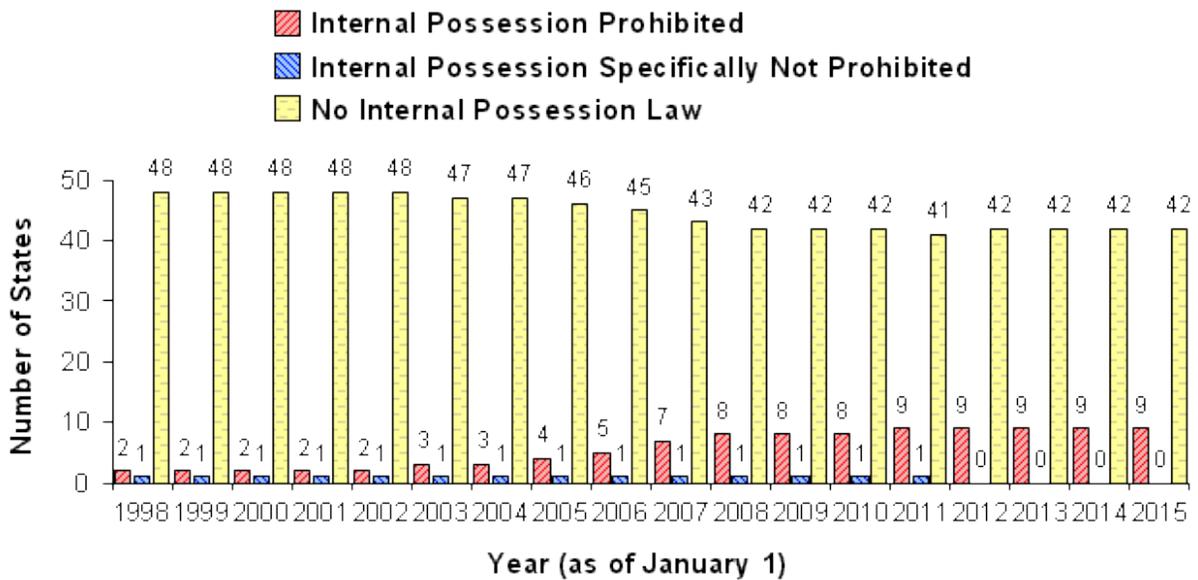


Exhibit 4.3.6: Distribution of States with Laws Prohibiting Internal Possession of Alcohol by Persons Under Age 21, January 1, 1998, through January 1, 2015



References and Further Information

All data for underage possession, consumption, and internal possession policy topics were obtained at <http://www.alcoholpolicy.niaaa.nih.gov> from the Alcohol Policy Information System (APIS). Follow links to the policy titled “Underage Possession/Consumption/Internal Possession of Alcohol.” APIS provides further descriptions of this set of policies and its variables, details regarding state policies, and a review of the limitations associated with the reported data. To see definitions of the variables for this policy, visit stopalcoholabuse.gov and go to Report to Congress, Supplemental Information, “Definitions of Variables.”

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Underage Purchase and Attempted Purchase

Policy Description

Most states, but not all, prohibit minors from purchasing or attempting to purchase alcoholic beverages. A minor purchasing alcoholic beverages can be prosecuted for possession because, arguably, a sale cannot be completed until there is possession on the part of the purchaser. Purchase and possession are nevertheless separate offenses. A minor who purchases alcoholic beverages is potentially liable for two offenses in states that have both prohibitions. See the “Underage Possession/Internal Possession/Consumption” section of this report for further discussion.¹ A significant minority of youths purchase or attempt to purchase alcohol for themselves, sometimes using falsified identification (see the “False Identification” section of this report).

Such purchases increase the availability of alcohol to underage persons, which, in turn, increases underage consumption. Prohibitions and associated sanctions on alcohol purchases by underage persons can be expected to depress rates of purchase and attempted purchase by raising the monetary and social costs of this behavior. Such laws provide a primary deterrent (preventing attempted purchases) and a secondary deterrent (reducing the probability that persons sanctioned under these laws will attempt to purchase in the future).

In some states, a person under age 21 is allowed to purchase alcoholic beverages as part of a law enforcement action. Most commonly, these actions are checks on merchant compliance or stings to identify merchants who illegally sell alcoholic beverages to minors. This allowance for purchase in the law enforcement context may exist even though a state does not have a law specifically prohibiting underage purchase.

Status of Underage Purchasing Policies

As of January 1, 2015, 46 states and the District of Columbia prohibit underage purchase or attempted purchase of alcohol; the remaining 4 states (Delaware, Indiana, New York, and Vermont) do not (see Exhibit 4.3.7). Underage persons are allowed to purchase alcohol for law enforcement purposes in 23 states including Indiana, even though Indiana does not have an underage purchase statute. The three other states without underage purchase statutes have no allowances for such purchases made for law enforcement purposes.

Trends in Underage Purchasing Policies

Since 1998, the number (47) of jurisdictions prohibiting underage purchase of alcohol has remained the same. During that period, the number of states with allowances for underage purchase for enforcement purposes has steadily increased, from 9 in 1998 to 23 in 2015 (Exhibit 4.3.8).

¹ Some states have laws that specifically prohibit both underage purchase and attempted purchase of alcohol. An attempted purchase occurs when a minor takes concrete steps toward committing the offense of purchasing whether or not the purchase is consummated. Courts in states that include only the purchase prohibition in their statutes would likely treat attempted purchase as a lesser included offense. It can, therefore, be assumed that all states that prohibit purchase also prohibit attempted purchases. The two offenses are therefore not treated separately in this report.

Exhibit 4.3.7: Underage Purchase of Alcohol for Law Enforcement Purposes as of January 1, 2015

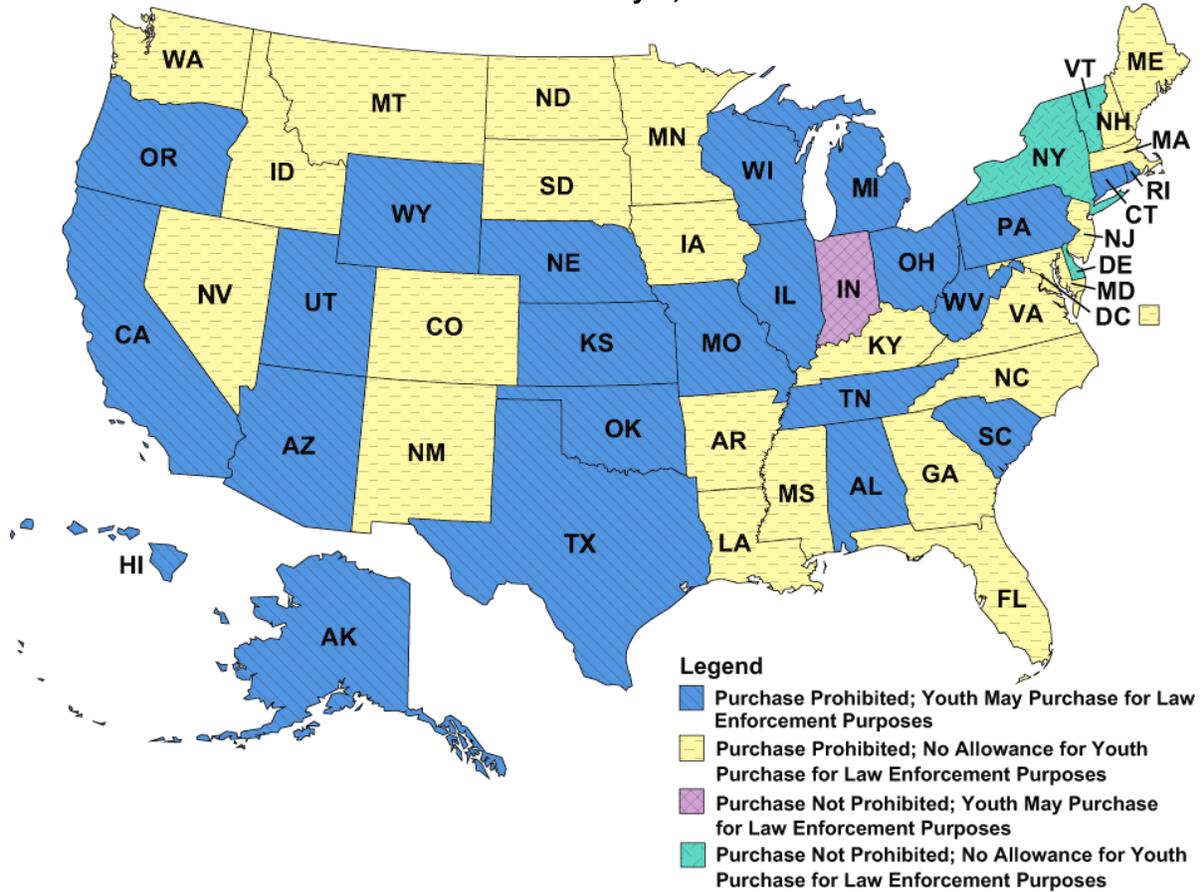
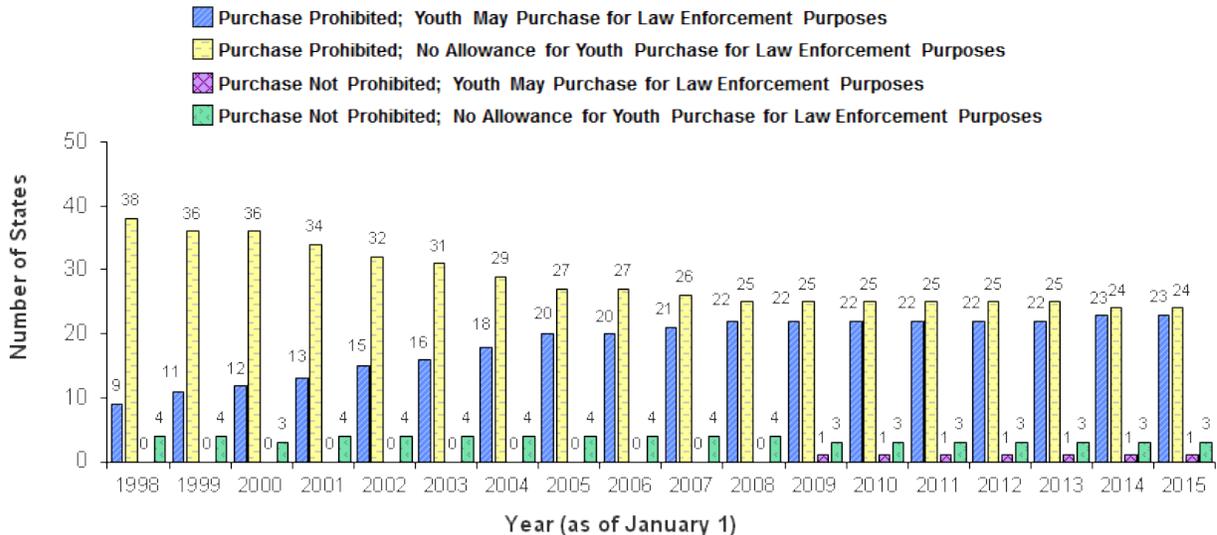


Exhibit 4.3.8: Underage Purchase of Alcohol for Law Enforcement Purposes, January 1, 1998, through January 1, 2015



References and Further Information

All data for this policy were obtained from the Alcohol Policy Information System (APIS) at <http://www.alcoholpolicy.niaaa.nih.gov>. Follow links to the policy titled “Underage Purchase of Alcohol.” APIS provides further descriptions of this policy and its variables, details regarding state policies, and a review of the limitations associated with the reported data. To see definitions of the variables for this policy, visit stopalcoholabuse.gov and go to Report to Congress, Supplemental Information, “Definitions of Variables.”

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False Identification (“False ID”)

Policy Description

Alcohol retailers are responsible for ensuring that sales of alcoholic beverages are made only to individuals who are legally permitted to purchase alcohol. Inspecting government-issued identification (driver’s license, nondriver ID card, passport, and military ID) is one major mechanism for ensuring that buyers meet minimum age requirements. In attempting to circumvent these safeguards, minors may obtain and use apparently valid ID that falsely states their age as 21 or over. Age may be falsified by altering the birthdate on a valid ID, obtaining an invalid ID card that appears to be valid, or using someone else’s ID.

Compliance check studies suggest that underage drinkers may have little need to use false ID because retailers often make sales without any ID inspection. However, concerns about false ID remain high among educators, law enforcement officials, retailers, and government officials. Current technology, including high-quality color copiers and printers, has made false ID easier to fabricate, and the internet provides ready access to a large number of false ID vendors.

All states prohibit use of false ID by minors to obtain alcohol. In addition to the basic prohibitions, states have adopted a variety of legal provisions pertaining to false ID for obtaining alcohol. These provisions can be divided into three basic categories:

- Provisions that target minors who possess and use false ID to obtain alcohol
- Provisions that target those who supply minors with false ID, either through lending of a valid ID or production of invalid (“fake”) IDs
- Provisions that assist retailers in avoiding sales to potential buyers who present false IDs

Government-issued IDs are used for a number of age-related purposes other than the purchase of alcohol: registering to vote, enlisting in the military, entering certain entertainment venues, and so on. The Alcohol Policy Information System (APIS) confines its analysis to statutes and regulations relating to the use of false identification for the purpose of obtaining alcohol.

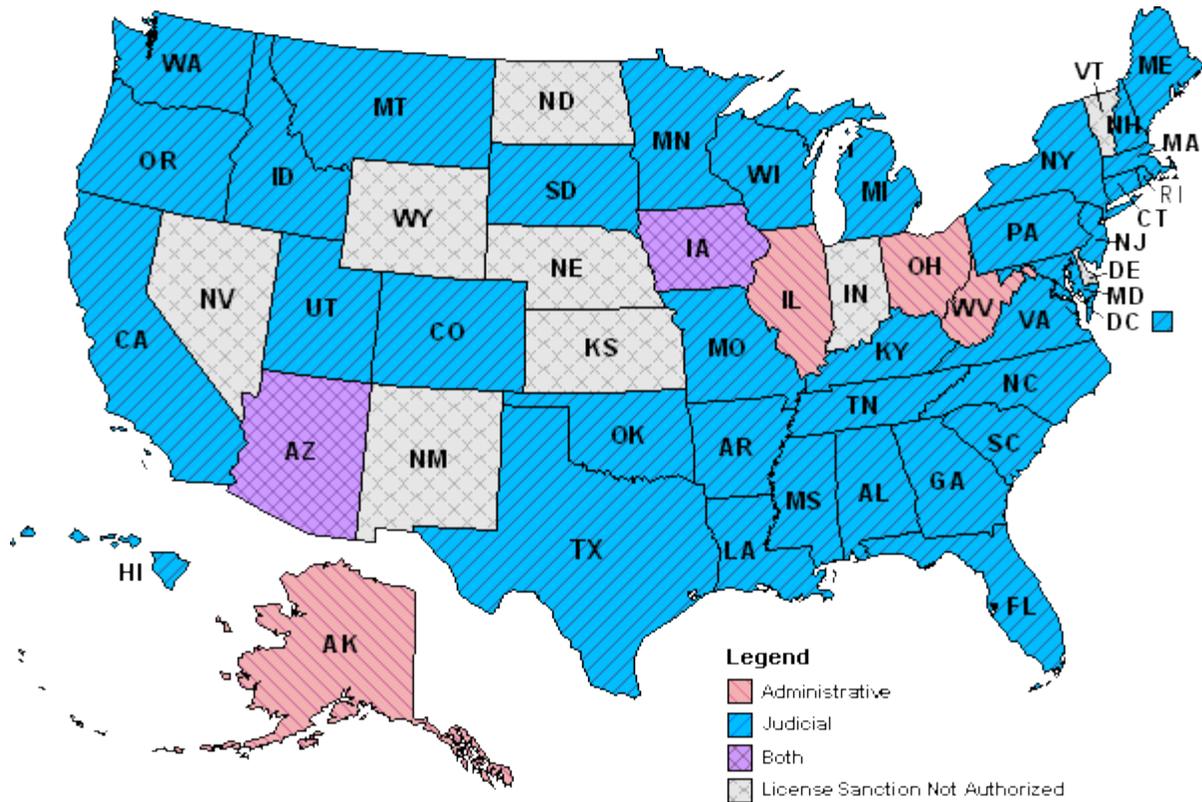
For further discussion of policies pertaining to the purchase of alcohol by minors, see the “Underage Purchase and Attempted Purchase” section of this report; for policies that mandate training of servers to detect false identification, see the “Responsible Beverage Service” section of this report; and for policies on license suspension or revocation, see the “Loss of Driving Privileges for Alcohol Violations by Minors” section of this report.

Status of False ID Policies

Provisions That Target Minors

As of January 1, 2015, all states and the District of Columbia prohibit minors from using false IDs to obtain alcohol (see Exhibit 4.3.9). All but eight states (Delaware, Kansas, Nebraska, Nevada, New Mexico, North Dakota, Vermont, and Wyoming) authorize suspension of minors’ driver’s licenses for using a false ID in the purchase of alcohol. In all but five states (Alaska, Illinois, Indiana, Ohio, and West Virginia), the suspension is through judicial proceedings. Two states (Arizona and Iowa) allow for both judicial and administrative proceedings for license sanctions.

Exhibit 4.3.9: Procedure for Imposing License Sanction for Use of False ID as of January 1, 2015



Provisions That Target Suppliers

As of January 1, 2015, 25 states have laws that target suppliers of false IDs; 24 prohibit lending, transferring, or selling false IDs to minors for the purpose of purchasing alcohol; and 13 prohibit manufacturing such licenses.

Retailer Support Provisions

Retailer support provisions vary widely across the states. In prosecution involving an illegal underage alcohol sale, 44 states and the District of Columbia provide for some type of affirmative defense (the retailer shows that he/she reached a good faith or reasonable conclusion that the false ID was valid); 44 states have laws requiring distinctive licenses for persons under age 21; 11 states permit retailers to seize apparently false IDs; 11 states provide incentives for the use of scanners; 4 states (Arkansas, Colorado, South Dakota, and Utah) allow retailers to detain minors; and 5 states (Alaska, Oregon, New Hampshire, Utah, and Wisconsin) permit retailers to sue minors for damages.

Trends in False ID State Policies

State false ID policies that target minors and suppliers have been relatively stable for the last 12 years. During this period, Hawaii, Maine, Mississippi, and South Dakota implemented judicial license revocation, and Missouri enacted a law making it illegal to lend, transfer, or sell false IDs to minors. By contrast, states have been actively enacting four of the retailer support provisions.

All 11 scanner provisions were enacted over the last 12 years (see Exhibit 4.3.10). Two of the specific affirmative defense laws (Arizona and Vermont), two of the right-to-detain-minors laws (Arkansas and South Dakota), and four of the right-to-sue-minors laws (Alaska, New Hampshire, Utah, and Wisconsin) were enacted during this time period. Idaho is an exception to the general trend; in 2007, it rescinded its law permitting retailers to seize apparently false IDs.

References and Further Information

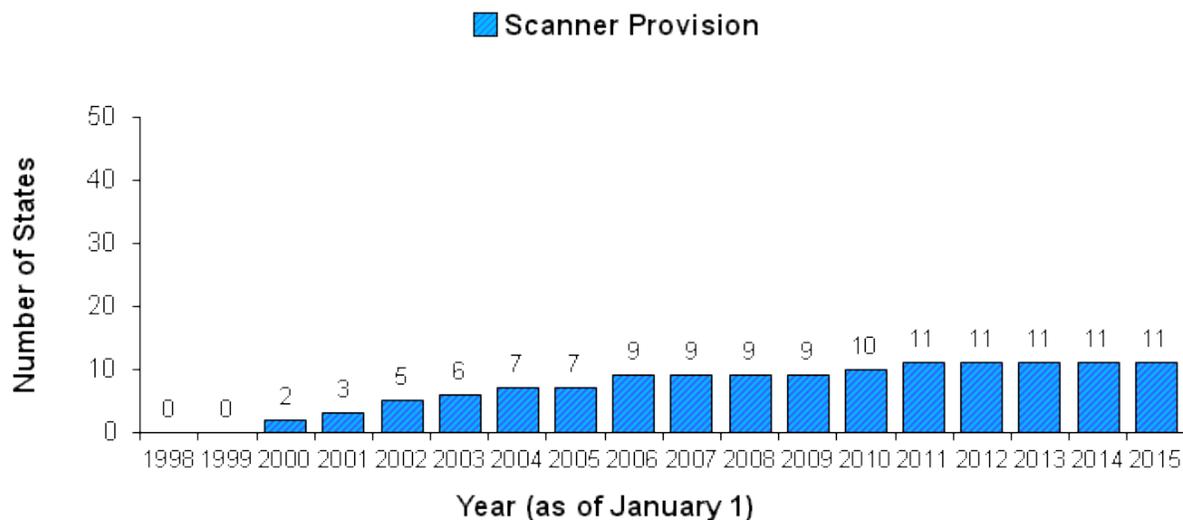
All data for this policy were obtained from the Alcohol Policy Information System (APIS) at <http://www.alcoholpolicy.niaaa.nih.gov>. Follow links to the policy titled “False Identification for Obtaining Alcohol.” APIS provides further descriptions of this policy and its variables, details regarding state policies, and a review of the limitations associated with the reported data. To see definitions of the variables for this policy, visit stopalcoholabuse.gov and go to Report to Congress, Supplemental Information, “Definitions of Variables.”

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Exhibit 4.3.10: Number of States with Scanner Provisions in False ID Laws, January 1, 1998, through January 1, 2015



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Laws Targeting Underage Drinking and Driving

Youth Blood Alcohol Concentration Limits (underage operators of noncommercial motor vehicles)

Policy Description

Blood alcohol concentration (BAC) limits policies establish the maximum amount of alcohol a minor can have in his or her bloodstream when operating a motor vehicle. BAC is commonly expressed as a percentage. For instance, a BAC of 0.08 percent means that a person has 8 parts alcohol per 10,000 parts blood in the body. State laws generally specify BAC levels in terms of grams of alcohol per 100 milliliters of blood (often abbreviated as grams per deciliter, or g/dL). BAC levels can be detected by breath, blood, or urine tests. The laws of each jurisdiction specify the preferred or required types of tests used for measurement.

There is strong scientific evidence that, as BAC increases, the cognitive and motor skills needed to operate a motor vehicle are increasingly impaired. BAC statutes establish criteria for determining when the operator of a vehicle is sufficiently impaired to constitute a threat to public safety and is, therefore, violating the law. Currently, all states and the District of Columbia mandate a BAC limit of 0.08 g/dL for adult drivers.

Owing to differences between young people and adults (e.g., body mass, physiological development, driving experience), young people's ability to safely operate a motor vehicle is impaired at a lower BAC than for adults. Partly as a result of financial incentives established by the federal government, all jurisdictions in the United States have enacted low BAC limits for underage drivers. Laws establishing very low legal BAC limits of 0.02 g/dL or less for drivers under the legal drinking age of 21 are widely referred to as zero-tolerance laws.

A per se BAC statute stipulates that if the operator has a BAC level at or above the per se limit, a violation has occurred without regard to other evidence of intoxication or sobriety (e.g., how well or poorly the individual is driving). In other words, exceeding the BAC limit established in a per se statute is itself a violation.

Status of Youth BAC Limit Policies

As of January 1, 2015, all states have per se youth BAC statutes (see Exhibit 4.3.11). Thirty-four states set the driving BAC limit for underage persons at 0.02 g/dL. The District of Columbia and 14 states consider any underage alcohol consumption while driving to be a violation of the law and have set the limit to 0.00 g/dL. Two states (California and New Jersey) have set the underage BAC limit to 0.01 g/dL.

Trends in Youth BAC Limit Policies

Since 1998, all states have had zero tolerance (0.02 g/dL or lower) youth BAC limit laws (see Exhibit 4.3.12). In the period between 1999 and 2015, the number of states mandating specific BAC limits for underage drivers remained constant with the exception of one state (Maryland), which lowered its underage BAC limit from 0.02 to 0.00 g/dL. Prior to 1998, three states (South Carolina, South Dakota, and Wyoming) had no youth BAC limits and one (Mississippi) set the limit to 0.08 g/dL.

Exhibit 4.3.11: BAC Limits for Youth Operators as of January 1, 2015

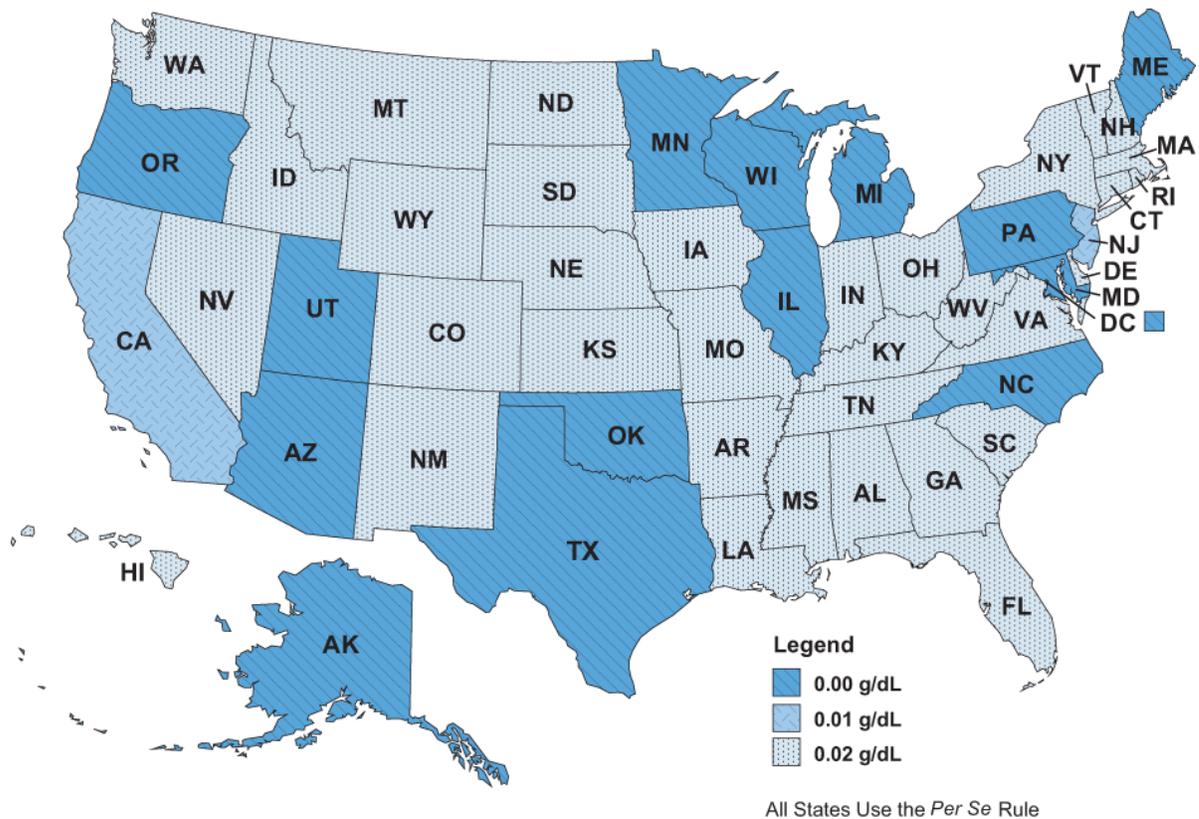
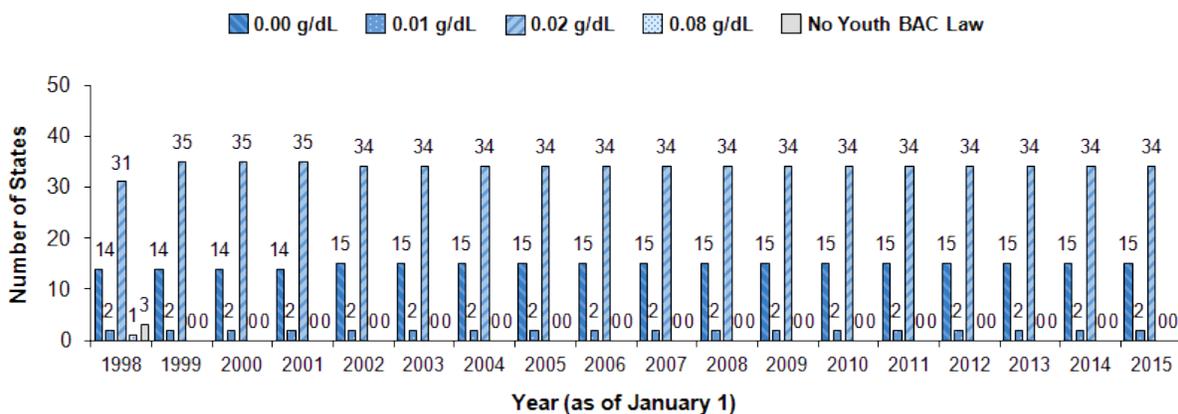


Exhibit 4.3.12: Distribution of Youth (underage operators of noncommercial motor vehicles) BAC Limit Laws, January 1, 1998, through January 1, 2015



References and Further Information

All data for this policy were obtained from the Alcohol Policy Information System (APIS) at <http://www.alcoholpolicy.niaaa.nih.gov>. Follow links to the policy titled “Blood Alcohol Concentration Limits: Youth (Underage Operators of Noncommercial Motor Vehicles).”

APIS provides further descriptions of this policy and its variables, details regarding state policies, and a review of the limitations associated with the reported data. To see definitions of the variables for this policy, visit stopalcoholabuse.gov and go to Report to Congress, Supplemental Information, “Definitions of Variables.”

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Loss of Driving Privileges for Alcohol Violations by Minors ("Use/Lose" Laws)

Policy Description

Use/lose laws authorize suspension or revocation of driving privileges as a penalty for underage purchase, possession, or consumption of alcoholic beverages. States began enacting these statutes in the mid-1980s to deter underage drinking by imposing a punishment that young people would consider significant: the loss of a driver's license. In most states, use/lose laws make it mandatory to impose driver's license sanctions in response to underage alcohol violations. State laws vary as to the type of violation (purchase, possession, or consumption of alcohol) that leads to these sanctions and how long suspensions or revocations stay in effect.

State laws specific to minors (purchase, possession, and consumption of alcoholic beverages) are described in the "Underage Purchase and Attempted Purchase," "Underage Possession," "Underage Consumption," and "Internal Possession by Minors" sections of this report.

Status of Loss of Driving Privileges Policies

Upper Age Limit

Twenty-five states and the District of Columbia set age 21 as the upper limit for which use/lose laws apply. Fourteen states set the upper limit at age 18, and one state (Wyoming) sets the limit at age 19. In four states (Arkansas, Hawaii, Tennessee, and Virginia), some sanction conditions vary depending on whether the violator is under age 18 or under age 21.

Authority To Impose License Sanction

The vast majority of jurisdictions (34 states and the District of Columbia) have made license suspension or revocation mandatory in cases of underage alcohol violations (see Exhibit 4.3.13). Nine states have made this a discretionary penalty for such violations, and 10 states have no use/lose law. One state (Hawaii) makes this a discretionary penalty for minors below age 18, but mandatory for violators ages 18 through 20. (The total of states is greater than 51 because some have both mandatory and discretionary laws.)

Trends in Loss of Driving Privileges Policies

Between 1998 and 2015, the number of jurisdictions that made license suspension or revocation mandatory in cases of underage alcohol violations increased from 25 to 32 (see Exhibit 4.3.14). During this period, the number of jurisdictions with no use/lose laws decreased from 17 to 11, and the number with discretionary authority to impose use/lose sanctions dropped from 10 to 8.

References and Further Information

Data for this policy were obtained from the Alcohol Policy Information System (APIS) at <http://www.alcoholpolicy.niaaa.nih.gov>. Follow links to the policy titled "Loss of Driving Privileges for Alcohol Violations by Minors ("Use/Lose" Laws)." APIS provides further descriptions of this policy and its variables, details regarding state policies, and a review of the limitations associated with the reported data. To see definitions of the variables for this policy, visit stopalcoholabuse.gov and go to Report to Congress, Supplemental Information, "Definitions of Variables."

Exhibit 4.3.13: License Suspension/Revocation for Alcohol Violations by Minors as of January 1, 2015

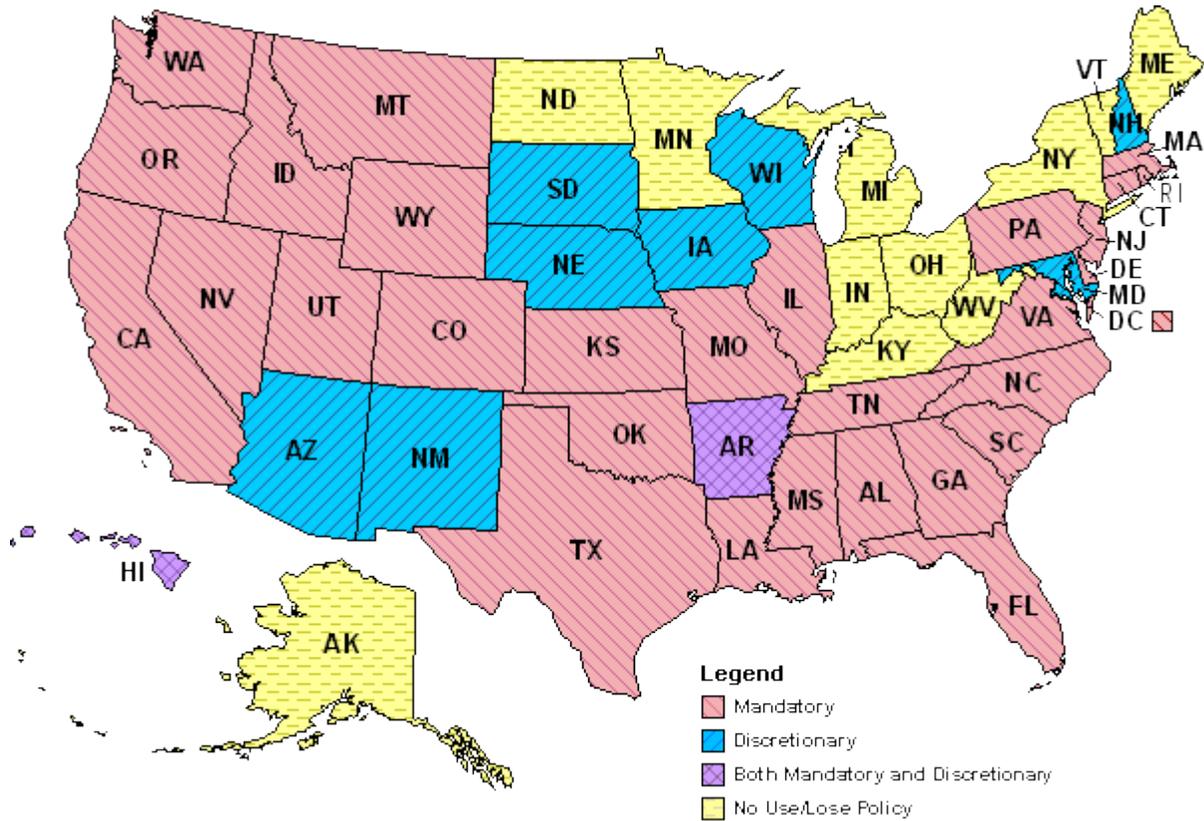
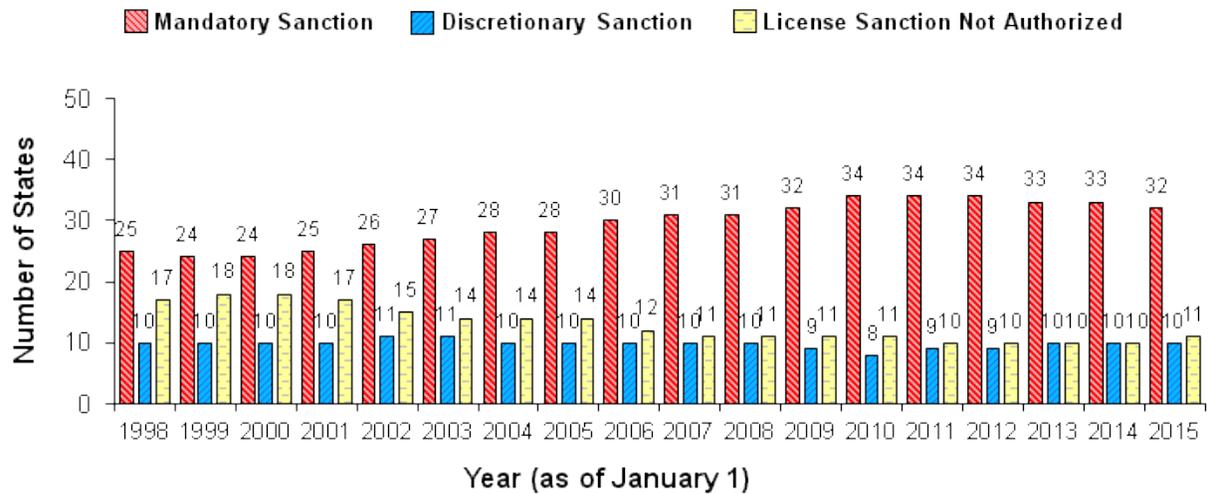


Exhibit 4.3.14: Distribution of License Suspension/Revocation Procedures for Alcohol Violations by Minors, January 1, 1998, through January 1, 2015



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Graduated Driver's Licenses

Policy Description

Graduated driver licensing (GDL) is a system designed to delay full licensure for teenage automobile drivers, thus allowing beginning drivers to gain experience under less risky conditions. Teenagers are targeted because they are at the highest risk for motor vehicle crashes, including alcohol-related crashes. By imposing restrictions on driving privileges, GDL reduces the chances of teenagers driving while intoxicated.

A fully developed GDL system has three stages: a minimum supervised learner's period, an intermediate license (once the driving test is passed) that limits unsupervised driving in high-risk situations, and a full-privilege driver's license available after completion of the first two stages. Beginners must remain in each of the first two stages for set minimum time periods.

The learner's stage has three components:

- Minimum age at which drivers can operate vehicles in the presence of parents, guardians, or other adults
- Minimum holding periods during which learner's permits must be held before drivers advance to the intermediate stage of the licensing process
- Minimum age at which drivers become eligible to drive without adult supervision

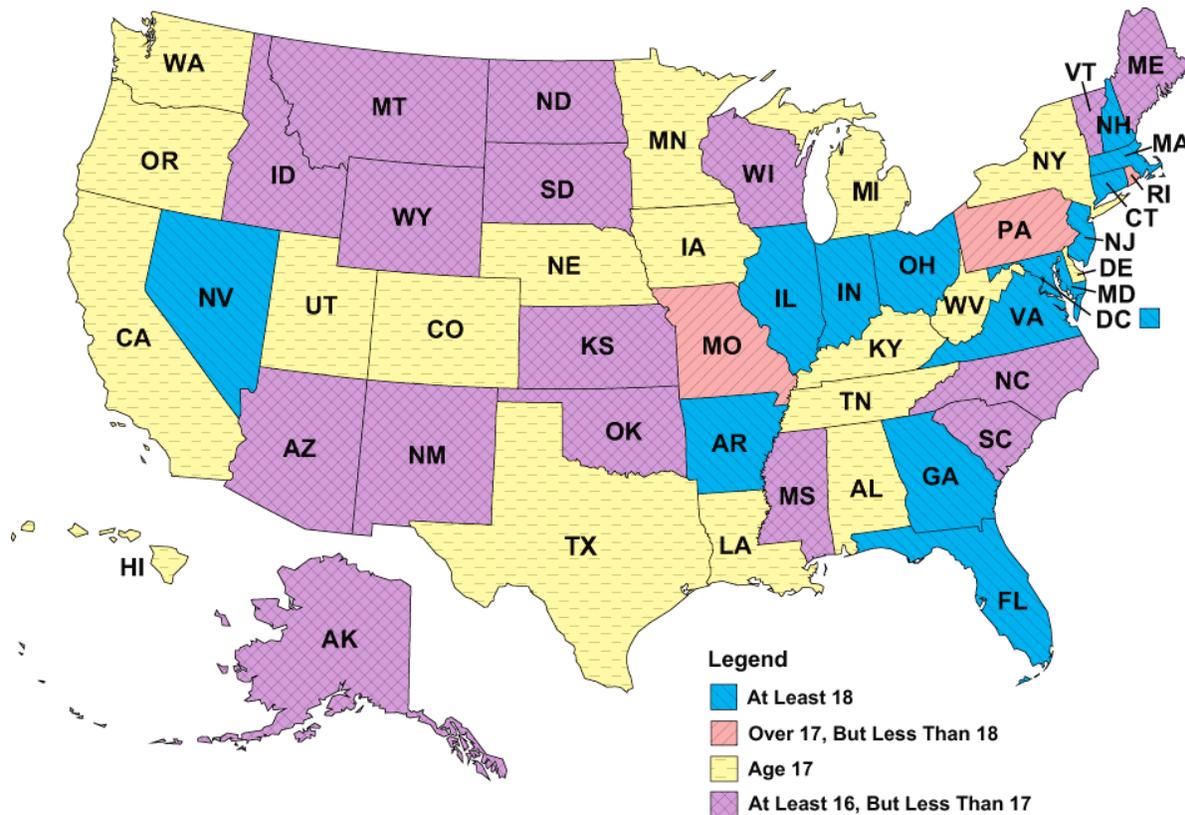
The intermediate stage of GDL law has five components:

- Minimum age at which drivers become eligible to drive without adult supervision
- Unsupervised night-driving prohibitions
- Primary enforcement of night-driving provisions
- Passenger restrictions, which set the total number of passengers allowed in vehicles driven by intermediate-stage drivers
- Primary enforcement of passenger restrictions

“Primary enforcement” refers to the authority given to law enforcement officers to stop drivers for the sole purpose of investigating potential violations of night-driving or passenger restrictions. Law enforcement officers in states without primary enforcement can investigate potential violations of these provisions only as part of an investigation of some other offense. Primary enforcement greatly increases the chance that violators will be detected. The single component for the license stage of GDL is the minimum age at which full licensure occurs and both passenger and night-driving restrictions are lifted.

Status of Graduated Driver Licensing Policies

All 51 jurisdictions have some form of GDL policy and all states have full three-stage criteria (see Exhibit 4.3.15). The minimum ages for each stage and the extent to which the other restrictions are imposed vary across jurisdictions. An important GDL provision related to traffic safety is the minimum age for full licensure. Fifteen jurisdictions allow full licensure on the 18th birthday; three jurisdictions permit it at age above 17 but under 18; and 17 permit it on the 17th birthday. The remaining 16 jurisdictions permit full licensure to those who are under 17 but at least 16 years old. All but one jurisdiction has night-driving restrictions; the hours during which

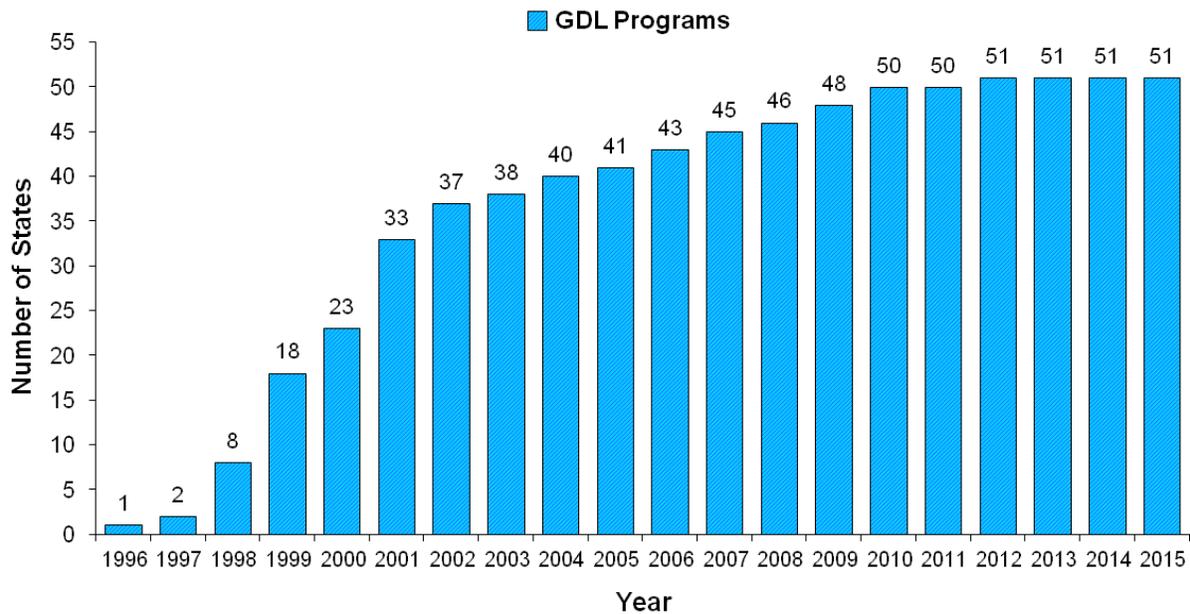
Exhibit 4.3.15: Minimum Age of Full Driving Privileges Laws as of January 1, 2015

these restrictions apply vary widely among jurisdictions, but fall largely between 6 p.m. and 1 a.m. Thirty-eight jurisdictions have primary enforcement of night-driving restrictions. Forty-seven jurisdictions place passenger restrictions on drivers with less than full licensure, and 32 of those have primary enforcement of these restrictions.

Trends in Graduated Driver Licensing Policies

Since the mid-1990s, states enacting three-stage GDL laws have steadily increased (see Exhibit 4.3.16). On January 1, 1996, only one state (Maryland) had such a law, but by 2000, 23 jurisdictions had enacted three-stage GDL laws, and by 2012, that number had risen to 51.

Exhibit 4.3.16: Number of States (and District of Columbia) with Three-Stage GDL Policies, July 1, 1996, through January 1, 2015



References and Further Information

Legal research for this topic is planned and managed by the Substance Abuse and Mental Health Services Administration (SAMHSA) and conducted under contract by The CDM Group, Inc. Historical data for the years 1996 through 2004 were obtained from “Graduated Driver Licensing Programs and Fatal Crashes of 16 year old Drivers: A National Evaluation” (Baker, Chen, & Li, 2006, National Highway Transportation Safety Administration, DOT HS 810 614). Data from January 1, 2005, until December 31, 2008, were obtained from the Insurance Institute for Highway Safety (http://www.iihs.org/laws/pdf/us_licensing_systems.pdf). Data through January 1, 2015, were collected by SAMHSA. To see definitions of the variables for this policy, visit stopalcoholabuse.gov and go to Report to Congress, Supplemental Information, “Definitions of Variables.”

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Laws Targeting Alcohol Suppliers

Furnishing Alcohol to Minors

Policy Description

All states prohibit furnishing alcoholic beverages to minors by both commercial servers (bars, restaurants, retail sales outlets) and noncommercial servers. However, examination of case law would be required to determine with certainty that the prohibition applies to both commercial and noncommercial servers in all states. Additionally, most states include some type of exception to their furnishing laws of the types listed below.

Most underage persons obtain alcohol from adults, including parents, older siblings and peers, or strangers solicited to purchase alcohol for the minor. Fewer underage persons purchase alcohol for themselves from merchants who fail to comply with laws prohibiting sale to minors or by using false ID (see the “False Identification” section of this report). These sources increase the availability of alcohol to youths, which, in turn, increases underage consumption. Prohibitions and associated sanctions on furnishing to underage persons can be expected to depress rates of furnishing by raising the monetary and social costs of this behavior. Such laws provide a primary deterrent (preventing furnishing) and a secondary deterrent (reducing the chances of persons sanctioned under these laws furnishing in the future).

Two types of exceptions to underage furnishing laws are discussed in this analysis:

- Family exceptions permit parents, guardians, or spouses to furnish alcohol to minors; some states specify that the spouse must be of legal age and others do not.
- Location exceptions permit furnishing alcohol in specified locations and may limit the extent to which family members can furnish to minors. No state has an exception for furnishing on private property by anyone other than a family member.

Some states provide sellers and licensees with one or more defenses against a charge of furnishing alcoholic beverages to a minor. Under these provisions, a retailer who provides alcohol to a minor will not be found in violation of the furnishing law if he or she can establish one of these defenses. This policy topic tracks one such defense: some states require that the minor who initiated a transaction be charged for possessing or purchasing the alcohol before the retailer can be found in violation of the furnishing law. (Defenses associated with minors using false ID can be found in the “False Identification” section of this report.) Many states also have provisions that mitigate or reduce the penalties imposed on retailers if they have participated in responsible beverage service (RBS) programs; see the “Responsible Beverage Service” section of this report for further discussion.

In some states, furnishing laws are closely associated with laws that prohibit hosting underage drinking parties. These laws target hosts who allow underage drinking on property they own, lease, or otherwise control. (See the “Hosting Underage Drinking Parties” section of this report for further discussion.) Hosts of underage drinking parties who also supply the alcohol consumed or possessed by minors may be in violation of two distinct laws: furnishing alcohol to minors and allowing underage drinking to occur on property they control.

Also addressed in this report are social host liability laws, which impose civil liability on hosts for injuries caused by their underage guests. Although related to party hosting laws, social host

Trends in Underage Furnishing Policies

State policies prohibiting the furnishing of alcohol to minors have remained stable over the last 12 years. As of January 1, 1998, all states prohibited underage furnishing (see Exhibit 4.3.18).

References and Further Information

All data for this policy were obtained from the Alcohol Policy Information System (APIS) at <http://www.alcoholpolicy.niaaa.nih.gov>. See the policy titled “Furnishing Alcohol to Minors.” APIS provides further descriptions of this policy and its variables, details regarding state policies, and a review of the limitations associated with the reported data. To see definitions of the variables for this policy, visit stopalcoholabuse.gov and go to Report to Congress, Supplemental Information, “Definitions of Variables.”

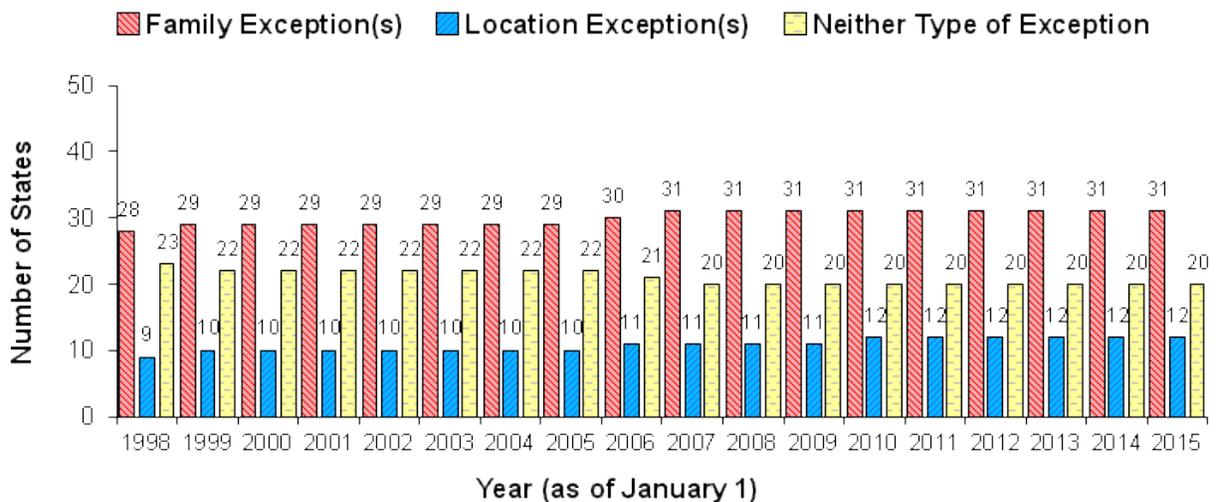
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Exhibit 4.3.18: Number of States with Family and Location Exceptions to Prohibition on Furnishing Alcohol to Persons under Age 21, January 1, 1998, through January 1, 2015



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Compliance Check Protocols

Policy Description

Compliance checks involve an underage operative (a “decoy”)—working with either local law enforcement officials or agents from the state alcoholic beverage control agency (ABC)—who enters an alcohol retail establishment and attempts to purchase an alcoholic beverage from a server, bartender, or clerk. The protocols for these compliance checks vary from state to state, but in general follow a similar outline. An underage person (allowable ages vary by state) serves as a decoy. Decoys are generally instructed to act and dress in an age-appropriate manner. The decoy enters an alcohol retail outlet to attempt to purchase a predetermined alcohol product (e.g., a six-pack of beer at an off-sale establishment or a mixed drink at an on-sales establishment). Typically, an undercover enforcement officer from a local police department or the state ABC agency observes the decoy. Audio and video recording equipment may also be used or required. State rules vary regarding a decoy’s use of legitimate ID cards (driver’s licenses, etc.), although a few states allow decoys to verbally exaggerate their age. If a purchase is made successfully, the establishment and the clerk or server may be subject to an administrative or criminal penalty.

Most, but not all, states permit law enforcement agencies to conduct compliance checks on a random basis. A few states permit the checks only when there is a basis for suspecting that a particular licensee has sold alcohol to a minor in the past. To ensure that state and local law enforcement agencies are following uniform procedures, most states have issued formal compliance check protocols or guidelines. If the protocols are not adhered to, then the administrative action against the licensee may be dismissed. The protocols are therefore designed to ensure that law enforcement actions are fair and reasonable and to provide guidelines to licensees for avoiding prosecution.

Compliance checks of off- and on-premise licensed alcohol retailers are an important community tool for reducing illegal alcohol sales to minors and promoting community normative change. The Institute of Medicine (IOM) 2004 report, *Reducing Underage Drinking: A Collective Responsibility*, calls for (a) regular, random compliance checks; (b) administrative penalties, including fines and license suspensions that increase with each offense; (c) enhanced media coverage for the purposes and results of compliance checks; and (d) training for alcohol retailers regarding their legal responsibility to avoid selling alcohol to underage youths.

Compliance checks have both educational and behavior change goals:

- Change or reinforce social norms that underage drinking is not acceptable by publicizing noncompliant retailers.
- Educate the community, including parents, educators, and policymakers, about the ready availability of alcohol to youth, which may not be considered a major issue.
- Increase alcohol retailers’ perception that violation of sales to minors laws will be detected and punished, creating a deterrent effect.
Decrease the likelihood that retailers will sell alcohol to minors, thereby reducing youth access to alcohol.

Numerous studies support the contribution of compliance checks to reducing underage access to alcohol. During the early to mid-1990s, before systematic compliance check programs were

widely implemented, studies indicated that underage buyers were able to purchase alcohol without showing age identification in 47 to 97 percent of attempts (Forster et al., 1994; Forster, Murray, Wolfson, & Wagenaar, 1995; Preusser & Williams, 1992; Wagenaar & Wolfson, 1995). Observed rates of compliance have increased since then, and several studies suggest that the use of compliance checks does lead to reductions in sales to underage buyers. For example, Grube (1997) demonstrated that outlets subject to compliance checks were about as half as likely to sell alcohol on a posttest purchase survey as outlets in the comparison sites. Similarly, in Concord, New Hampshire, sales to youth decreased from 28 percent to 10 percent after quarterly compliance checks (coupled with increased penalties and a media campaign) at 539 off-premise alcohol establishments (CDC, 2004). And in a large study in Minnesota, sales to youth were reduced immediately by 17 percent in alcohol establishments that experienced a check (Wagenaar, Toomey, & Erickson, 2005). Additional analyses also found that establishments situated near another neighborhood establishment that had been checked within the last 90 days were less likely to sell alcohol to young-appearing buyers, but that these effects decay rapidly over time (Erickson, Smolensi, Toomey, Carlin, & Wagenaar, 2013).

Status of Compliance Check Protocols

Data for this policy were coded from formal compliance check protocols or guidelines. A total of 33 states have formal, written protocols; the remaining states either do not have them or do not have them readily available to the public. Compliance check protocols are generally issued by the state police or the state ABC agency. These guidelines vary somewhat in specificity and detail, possibly reflecting differences in the purposes of the checks and the evidentiary standards in each jurisdiction.

The maximum age of the decoy varies from 19 to 21 (only one state lists 21 as the maximum age), with the majority of states requiring that the maximum age of the decoy be 20 (see Exhibit 4.3.19). The minimum age of the decoy ranges from 15 to 18, with the majority of states requiring the minimum age of the decoy to be 17 or 18. Twenty-nine jurisdictions have guidelines for the decoys' appearance (e.g., appropriately dressed for age, and no hats, excessive makeup, or facial hair). These requirements vary widely by state. At least one state uses an age panel to ensure that the decoys appear underage. Five states allow decoys to verbally exaggerate their age in some situations. Decoy training is mandatory in 13 states. Fewer than one third of the states (12) require decoys to have valid identification in their possession at the time of the check.

References and Further Information

Legal research and data collection for this topic are planned and managed by the Substance Abuse and Mental Health Services Administration (SAMHSA) and conducted under contract by The CDM Group, Inc. To see definitions of the variables for this policy, visit stopalcoholabuse.gov and go to Report to Congress, Supplemental Information, "Definitions of Variables." For further information and background, see:

Centers for Disease Control and Prevention. (2004). Enhanced enforcement of laws to prevent alcohol sales to underage persons—New Hampshire, 1999–2004. *Morbidity and Mortality Weekly Report*, 53(21), 452–454.

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- Wagenaar, A. C., Toomey, T. L., & Erickson, D. J. (2005). Preventing youth access to alcohol: Outcomes from a multi-community time-series trial. *Addiction*, *100*, 335–345.
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Penalty Guidelines for Sales/Service to Minors

Policy Description

In the majority of states, alcoholic beverage control agencies are responsible for adjudicating administrative charges against licensees, including violations for sales or service to those under age 21. Alcohol law enforcement seeks to increase compliance with laws by increasing the level of perceived risk of detection and sanctions. Such deterrence involves three key components: perceived likelihood that a violation will lead to apprehension and sanction, swiftness with which the sanction is imposed, and severity of the sanction (Ross, 1992). As stated in the 2003 IOM report, *Reducing Underage Drinking: A Collective Responsibility*, the effectiveness of alcohol control policies depends heavily on the “intensity of implementation and enforcement and on the degree to which the intended targets are aware of both the policy and its enforcement.” The report recommends, “Enforcement agencies should issue citations for violations of underage sales laws, with substantial fines and temporary suspension of license for first offenses and increasingly stronger penalties thereafter, leading to permanent revocation of license after three offenses.” See Chapter 4.1 of this report for a more comprehensive review of enforcement and deterrence research and strategies.

Although alcohol law enforcement agencies may issue the citations, adjudication of the cases is usually handled by another division or agency. States typically include administrative penalties in their statutory scheme prohibiting sales to minors. The penalty provisions are usually broad, allowing for severe penalties but delegating responsibility for determining actual penalties in particular cases to the ABC agencies or other agencies responsible for adjudicating the cases. Penalties may include warning letters, fines, license suspensions, a combination of fines and suspensions, or license revocation. The agencies may consider both mitigating and aggravating circumstances as well as the number of violations within a given time period, with repeat offenders usually receiving more severe sanctions.

Many ABC agencies issue penalty guidelines to alert licensees to the sanctions that will be imposed for first, second, and subsequent offenses, providing a time period for determining repeat offenses. The agency may treat the guidelines as establishing a set penalty or range of penalties or may treat them as providing guidance, allowing for deviation at the agency’s discretion.

Penalty guidelines that establish firm, relatively severe penalties (particularly for repeat offenders) can increase the deterrent effect of the policy and its enforcement and can increase licensees’ awareness of the risks associated with violations.

Status of Penalty Guidelines for Sales/Service to Minors

At least 24 jurisdictions have defined administrative penalty guidelines for licensees who sell alcohol to an underage youth (see Exhibit 4.3.20). The remaining 27 states either do not have penalty guidelines or do not make them readily available to the public. The guidelines may be based on statute, regulations, and internal policies developed by the agency.

The guidelines vary widely across states. For example, while a few states may issue warning letters for first offenses if there are no aggravating circumstances, the majority of states impose fines or suspensions. Minimum fines for a first offense range from \$50 to \$2,000, with most states in the \$250 to \$1,000 range. Fines are typically in lieu of suspensions for first offenses,

References and Further Information

Legal research and data collection for this topic are planned and managed by the Substance Abuse and Mental Health Services Administration (SAMHSA) and conducted under contract by The CDM Group, Inc. To see definitions of the variables for this policy, visit stopalcoholabuse.gov and go to Report to Congress, Supplemental Information, “Definitions of Variables.” For further information and background, see:

National Research Council (NRC) and Institute of Medicine (IOM). (2004). *Reducing underage drinking: A collective responsibility*. Washington, DC: National Academies Press.

Ross, H. L. (1992). *Confronting drunk driving: Social policy for saving lives*. Binghamton, NY: Vail-Ballou Press.

Responsible Beverage Service

Policy Description

Responsible beverage service (RBS) training policies set requirements or incentives for retail alcohol outlet participation in programs that (a) develop and implement policies and procedures for preventing alcohol sale and service to minors and intoxicated persons, and (b) train licensees, managers, and servers/sellers to implement RBS policies and procedures effectively.

Server/seller training focuses on serving and selling procedures, recognizing signs of intoxication, methods for checking age identification, and techniques for intervening with intoxicated patrons. Manager training includes server/seller training, policy and procedures development, and staff supervision. RBS programs typically have distinct training curricula for on- and off-sale establishments because of the differing characteristics of these retail environments. All RBS programs focus on preventing sale and furnishing to minors.

RBS training can be mandatory or voluntary. A program is considered mandatory if state provisions require at least one specified category of individual (e.g., servers/sellers, managers, or licensees) to attend training. States may have either mandatory programs, voluntary programs, or both. For example, a state may make training for new licenses mandatory while also offering voluntary programs for existing licensees. Alternatively, a state may have a basic mandatory program while also offering a more intensive voluntary program that provides additional benefits for licensees choosing to participate in both.

States with voluntary programs usually provide incentives for retailers to participate in RBS training but do not impose penalties for those who decline involvement. Incentives vary by state and include (a) a defense in dram shop liability lawsuits (cases filed by injured persons against retail establishments that provided alcohol to minors or intoxicated persons who later caused injuries to themselves or third parties); (b) discounts for dram shop liability insurance; (c) mitigation of fines or other administrative penalties for sales to minors or sales to intoxicated persons; and (d) protection against license revocation for sales to minors or intoxicated persons.

See the “Dram Shop Liability” section of this report for further discussion of this policy. The “Furnishing of Alcohol to Minors” section has additional information regarding prevention of alcohol sales to minors, and the “False Identification” section includes materials related to age identification policies.

Status of Responsible Beverage Service Training Policies

As of January 1, 2015, 37 states and the District of Columbia have some type of RBS training provision (see Exhibit 4.3.21). Out of these, 18 states and the District of Columbia have some form of mandatory provision, and 25 states provide for voluntary training. Of the 18 mandatory states, 15 states and the District of Columbia apply their RBS training provisions to both on- and off-sale establishments; 2 states (Michigan and Rhode Island) apply them to on-premises establishments only; and New Jersey limits its provisions to off-sale establishments. Thirteen of the mandatory states and the District of Columbia apply their provisions to both new and existing establishments, and four states (Michigan, New Hampshire, New Jersey, and Wisconsin) apply them to new establishments only.

Trends in RB Policies

Between 2003 and 2015, the number of states with mandatory policies increased from 15 to 19, and the number of states with voluntary policies rose from 17 to 25 (see Exhibit 4.3.22). The number of states with no RBS training policy decreased from 22 to 13.

References and Further Information

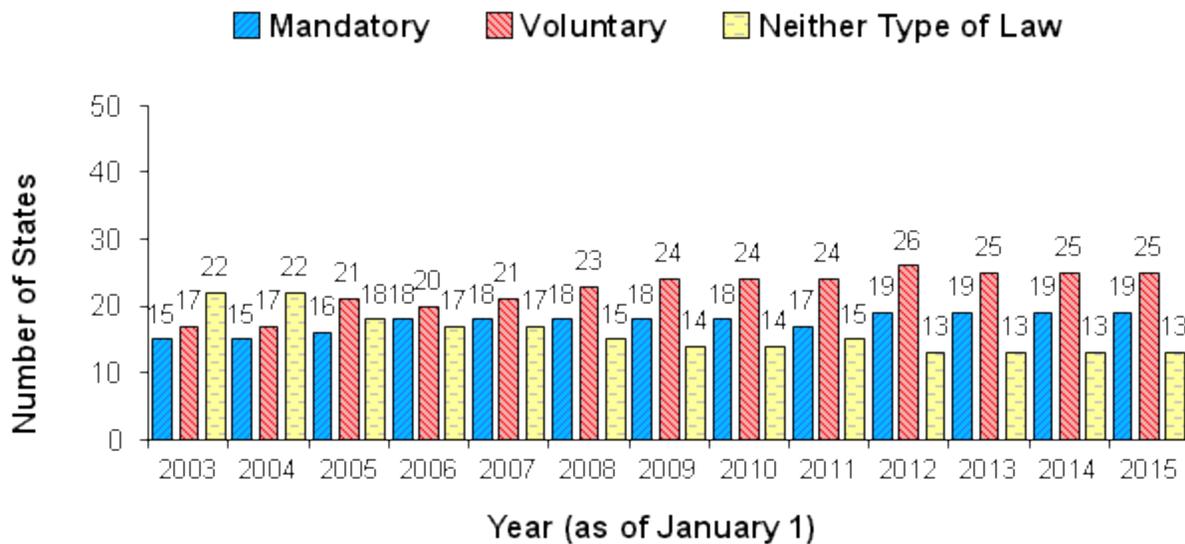
All data for this policy were obtained from the Alcohol Policy Information System (APIS) at <http://www.alcoholpolicy.niaaa.nih.gov>. Follow links to the policy titled “Beverage Service Training and Related Practices.” APIS provides further descriptions of this policy and its variables, details regarding state policies, and a review of the limitations associated with the reported data. To see definitions of the variables for this policy, visit stopalcoholabuse.gov and go to Report to Congress, Supplemental Information, “Definitions of Variables.”

Chinman, M., Burkhart, Q., Ebener, P., Fan, C. C., Imm, P., Osilla, K. C., . . . Wright, A. (2011).

The premises is the premise: Understanding off- and on-premises alcohol sales outlets to improve environmental alcohol prevention strategies. *Prevention Science*, 12(2), 181–191.

Danaher, B. G., Dresser, J., Shaw, T., Severson, H., Tyler, M., Maxwell, E., & Christiansen, S. M. (2012). Development and process evaluation of a web-based responsible beverage service training program. *Substance Abuse Treatment, Prevention, and Policy*, 7, 41.

Exhibit 4.3.22: Number of States with Responsible Beverage Service, January 1, 2003, through January 1, 2015



Note: some jurisdictions have both types of laws

- Dresser, J., Starling, R., Woodall, W. G., Stanghetta, P., & May, P. A. (2011). Field trial of alcohol-server training for prevention of fetal alcohol syndrome. *Journal of Studies on Alcohol and Drugs*, 72(3), 490–496.
- Gosselt, J. F., Van Hoof, J. J., & De Jong, M. D. (2012). Why should I comply? Sellers' accounts for (non-)compliance with legal age limits for alcohol sales. *Substance Abuse Treatment, Prevention, and Policy*, 7, 5. doi:10.1186/1747-597X-7-5
- Rammohan, V., Hahn, R. A., Elder, R., Brewer, R., Fielding, J., Naimi, T. S., . . . Task Force on Community Preventive Services. (2011). Effects of dram shop liability and enhanced overservice law enforcement initiatives on excessive alcohol consumption and related harms: Two Community Guide systematic reviews. *American Journal of Preventive Medicine*, 41(3), 334–343. doi:10.1016/j.amepre.2011.06.027
- Saltz, R. F. (2011). Enlisting bars and restaurants in the prevention of intoxication and subsequent harms: Why it matters. *American Journal of Preventive Medicine*, 41(3), 353–354.
- Toomey, T. L., Erickson, D. J., Lenk, K. M., Kilian, G. R., Perry, C. L., & Wagenaar, A. C. (2008). A randomized trial to evaluate a management training program to prevent illegal alcohol sales. *Addiction*, 103(3), 405–413.

Minimum Ages for Off-Premises Sellers

Policy Description

Most states have laws that specify a minimum age for employees who sell alcoholic beverages in off-premises establishments such as liquor stores. A small number require sellers to be at least 21, but most states permit sellers to be younger. Some states allow any person to sell alcohol regardless of age. Other variations across states include minimum age requirements for conducting sales transactions with customers and allowing younger employees to stock coolers with alcohol or bag purchased alcohol. Age restrictions may also vary based on the type of off-premises establishment or type of alcohol being sold. For example, younger persons may be allowed to sell beer but not wine or distilled spirits. Younger persons may also be allowed to sell alcohol in grocery or convenience stores rather than liquor stores. Some states permit younger minimum selling ages only if a manager or supervisor is present.

State laws specifying minimum ages for employees who sell alcoholic beverages for on-premises consumption are described in the “Minimum Ages for On-Premises Servers and Bartenders” section of this report.

Status of Age of Seller Policies

Minimum Age of Sellers and Types of Beverages

Most jurisdictions specify the same minimum age for sellers of all types of alcoholic beverages (see Exhibit 4.3.23). As of January 1, 2015, 10 states specify that off-premises sellers must be 21 or older. Three states (Idaho, Indiana, and Nebraska) require off-premise sellers to be 19 or older; 16 states and the District of Columbia have set the minimum age at 18. Four states (Arizona, Maine, Nevada, and New Hampshire) set the minimum age between 16 and 17. Four states (California, Georgia, Louisiana, and Virginia) do not specify any minimum age for sellers.

Minimum age requirements in the remaining 14 states vary by type of alcohol, with age requirements generally higher for the sale of distilled spirits and lower for beer. Florida, New York, and North Carolina set a minimum age of 18 for the sale of spirits and have no age minimum for beer or wine. Alabama and South Carolina have a minimum age of 21 for the sale of spirits but no minimum for beer and wine. Vermont sets a minimum age of 16 for selling beer and wine, but does not specify a minimum age for selling spirits.

Manager or Supervisor Presence

Thirteen states require that a supervisor or manager be present when an underage seller conducts an alcoholic beverage transaction.

Trends in Age of Seller Policies

There were no changes in age of seller policies across states between 2003 and 2015 (see Exhibit 4.3.24).

Exhibit 4.3.23: Minimum Age To Sell Beer for Off-Premises Consumption as of January 1, 2015

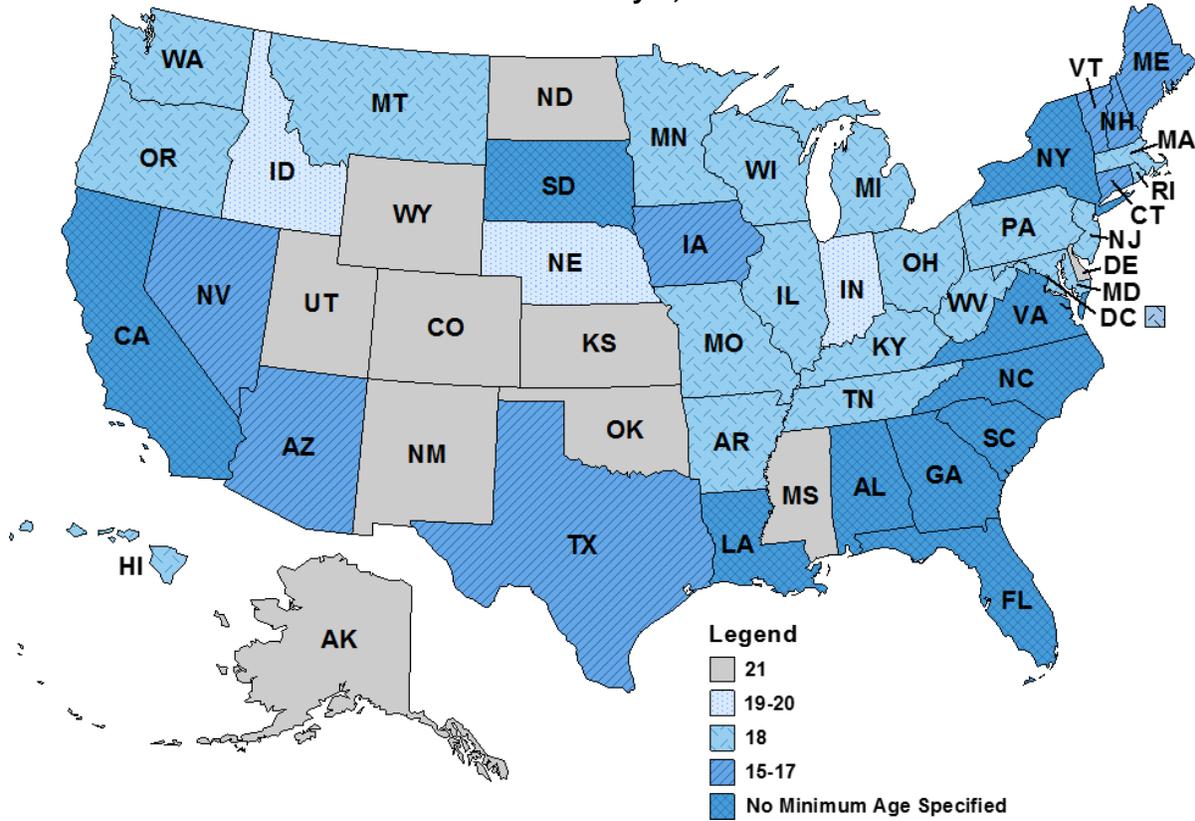
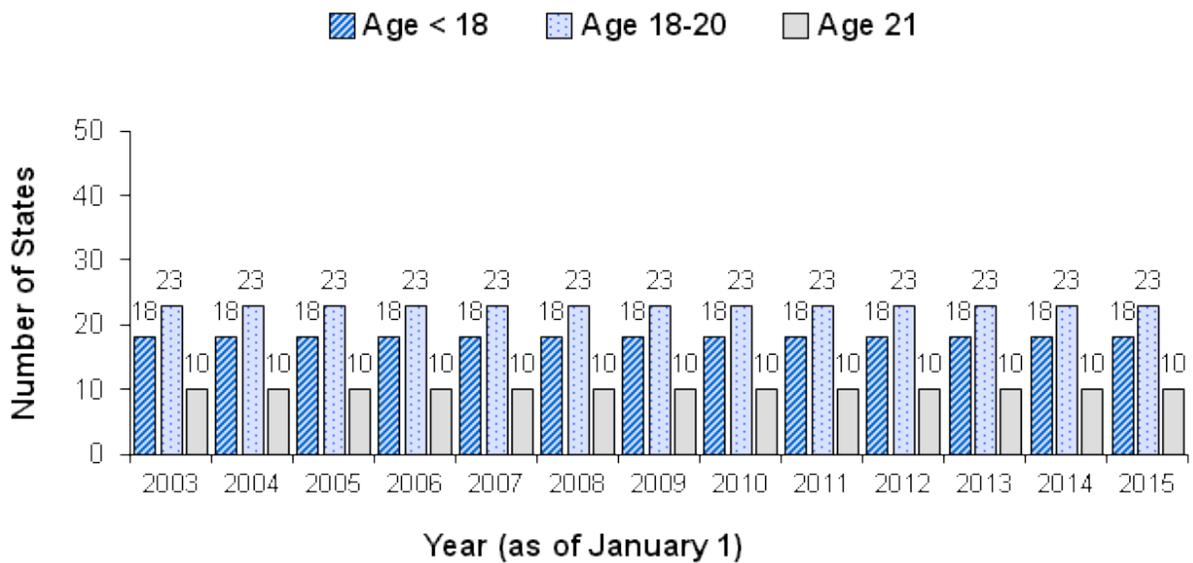


Exhibit 4.3.24: Distribution of Minimum Ages for Off-Premises Sellers of Beer, January 1, 2003, through January 1, 2015



References and Further Information

All data for this policy were obtained from the Alcohol Policy Information System (APIS) at <http://www.alcoholpolicy.niaaa.nih.gov>. Follow links to the policy titled “Minimum Ages for Off-Premises Sellers.” APIS provides further descriptions of this policy and its variables, details regarding state policies, and a review of the limitations associated with the reported data. To see definitions of the variables for this policy, visit stopalcoholabuse.gov and go to Report to Congress, Supplemental Information, “Definitions of Variables.”

National Institute on Alcohol Abuse and Alcoholism. (2006). Young adult drinking. Alcohol Alert, No. 68. Retrieved from <http://pubs.niaaa.nih.gov/publications/aa68/aa68.htm>

National Research Council (NRC) and Institute of Medicine (IOM). (2004). *Reducing underage drinking: A collective responsibility*. Washington, DC: National Academies Press.

Reboussin, B. A., Song, E. Y., & Wolfson, M. (2011). The impact of alcohol outlet density on the geographic clustering of underage drinking behaviors within census tracts. *Alcoholism: Clinical and Experimental Research*, 35(8), 1541–1549.

Wagenaar, A. C., Toomey, T. L., & Erickson, D. J. (2005). Complying with the minimum drinking age: Effects of enforcement and training interventions. *Alcoholism: Clinical and Experimental Research*, 29(2), 255–262.

Minimum Ages for On-Premises Servers and Bartenders

Policy Description

All states specify a minimum age for employees who serve or dispense alcoholic beverages. Generally, the term “servers” refers to waitpersons, and “bartenders” refers to individuals who dispense alcoholic beverages. These restrictions recognize that underage employees, particularly those who are unsupervised, may lack the maturity and experience to conduct adequate checks of age identification and resist pressure from underage peers to complete illegal sales.

States vary widely in terms of minimum age requirements for servers and bartenders. In some states, the minimum age for both types of employee is 21, but others set lower minimum ages, particularly for servers. No state permits underage bartenders while prohibiting underage servers. Some states permit servers or bartenders younger than 21 to work only in certain types of on-premises establishments, such as restaurants, or to serve only certain beverage types, such as beer or wine. Underage servers and bartenders may be allowed only if legal-age managers or supervisors are present when underage persons are serving alcoholic beverages or tending bar. State laws setting a minimum age for employees who sell alcohol at off-premises establishments are described in the “Minimum Ages for Off-Premises Sellers” section of this report.

Status of Age of Server Policies

Age of Servers

As of January 1, 2015, Alaska, Nevada, and Utah specify that on-premises alcohol servers of beer, wine, or distilled spirits must be 21 or older (see Exhibit 4.3.25). Only one state (Maine) allows 17-year-olds to be servers. Ten states specify that servers be at least 19 or 20, and the remaining 36 states and the District of Columbia allow 18-year-old servers.

Age of Bartenders

Minimum ages for bartenders are generally higher than for servers across the states. Nineteen states and the District of Columbia limit bartending to persons 21 or older. Five states (Arizona, Idaho, Kentucky, Nebraska, and Ohio) specify that bartenders be at least 19 or at least 20. Twenty-five states allow 18-year-olds to bartend, while only one state (Maine) allows 17-year-olds to bartend. Minimum ages for serving beer, wine, and distilled spirits are identical in all but three states: Maryland, North Carolina, and Ohio. Maryland and North Carolina require bartenders to be 21 to serve spirits, but permit 18-year-olds to dispense beer and wine; Ohio requires bartenders to be 21 to serve wine and distilled spirits, but those 19 and older are allowed to dispense beer.

Trends in Age of Server Policies

Manager or Supervisor Presence

Ten states require that a supervisor or manager be present when an underage seller conducts an alcoholic beverage transaction. State policies for ages of servers and bartenders in on-premises establishments have been generally stable over the last decade (see Exhibit 4.3.26). Between 2003 and 2015, Arkansas lowered its minimum age for servers from 21 to 19, and North Dakota lowered its age for servers from 19 to 18.

References and Further Information

All data for this policy were obtained from the Alcohol Policy Information System (APIS) at <http://www.alcoholpolicy.niaaa.nih.gov>. Follow links to the policy titled “Minimum Ages for On-Premises Servers and Bartenders.” APIS provides further descriptions of this policy and its variables, details regarding state policies, and a review of the limitations associated with the reported data. To see definitions of the variables for this policy, visit stopalcoholabuse.gov and go to Report to Congress, Supplemental Information, “Definitions of Variables.”

National Institute on Alcohol Abuse and Alcoholism. (2006). Young adult drinking. Alcohol Alert, No. 68. Retrieved from <http://pubs.niaaa.nih.gov/publications/aa68/aa68.htm>

National Research Council (NRC) and Institute of Medicine (IOM). (2004). *Reducing underage drinking: A collective responsibility*. Washington, DC: National Academies Press.

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Wagenaar, A. C., Toomey, T. L., & Erickson, D. J. (2005). Complying with the minimum drinking age: Effects of enforcement and training interventions. *Alcoholism: Clinical and Experimental Research*, 29(2), 255–262.

Distance Limitations Applied to New Alcohol Outlets Near Universities, Colleges, and Primary and Secondary Schools

Policy Description

Policies that limit the placement of retail alcohol outlets near colleges and schools are designed to make alcohol less accessible to children and youth by keeping alcohol sales physically distant from locations where underage people congregate. In addition, such policies aim to reduce the social availability of alcohol by limiting youth exposure to alcohol consumption.

Outlets Near Colleges and Universities

Alcohol outlet density in general is linked to excessive alcohol consumption and related harms according to research collected and evaluated by the Community Preventive Services Task Force and presented in the *Community Guide* (Campbell et al., 2009; Task Force on Community Preventive Services, 2009). The *Community Guide* recommends the use of regulatory authority, for example through zoning and licensing, to reduce alcohol outlet density.

Limiting the location of retail outlets near colleges and universities and their high concentrations of underage drinkers is one way to implement this recommendation in a high-risk setting. The National Institute on Alcohol Abuse and Alcoholism (NIAAA) publication, *A Call to Action: Changing the Culture of Drinking at U.S. Colleges*, includes limiting alcohol outlet density as an evidence-based, recommended strategy for reducing college drinking (NIAAA, 2002).

Research shows a correlation between underage drinking and retail outlet density near college and university campuses. Outlet density was correlated with heavy and frequent drinking among college students, including underage students, in a study of eight universities (Weitzman, Folkman, Folkman, & Wechsler, 2003). Another study found that both on- and off-premises alcohol outlet densities were associated with campus rape offense rates; the effect of on-campus densities was reduced when student drinking levels were considered (Scribner et al., 2010). A third study examined “secondhand” effects of drinking on residential neighborhoods near college campuses, and concluded that limiting the number of outlets near colleges, particularly those colleges with high rates of binge drinking, could mitigate the secondhand effects (Wechsler, Lee, Hall, Wagenaar, & Lee, 2002). A 1996 study found higher rates of drinking and binge drinking among college students when there were higher numbers of alcohol outlets within 1 mile of campus (Chaloupka & Wechsler, 1996).

Outlets Near Primary and Secondary Schools

Limiting outlets near primary and secondary schools is another way to reduce alcohol outlet density in a high-risk setting of underage drinking, although there is no research comparable to that for universities that focuses specifically on the relationship between drinking by K–12 students and the proximity of alcohol outlets to their schools.

Types of Outlet Density Restrictions

Outlet density restrictions typically require that alcohol outlets be located a certain distance from a school. Such restrictions may regulate the location of retail outlets near colleges and universities, near primary and secondary schools, or near both categories of schools. Some restrictions limit the sale of alcohol directly on university campuses. Outlet density

restrictions may apply to off-premises retailers, on-premises retailers, or both types of retailers. Restrictions may also apply to the sale of beer, wine, spirits, or some combination of the three.

Distance requirements vary widely, from 100 feet (the distance a primary or secondary school in Illinois must be from an off-premises outlet) to 1.5 miles (the distance a university in California must be from an outlet selling wine or spirits). Restrictions that mandate greater distances are more likely to promote the goals of keeping alcohol away from underage drinkers and reducing their exposure to alcohol marketing.

Distance restrictions apply to the issuance of new licenses, and retail alcohol outlets that were in business prior to the enactment of the restriction may still be allowed to operate within the restricted zone. In these cases, the distance restriction would prevent increased alcohol outlet density without necessarily reducing density or eliminating the presence of retail establishments in the restricted zone.

Status of Outlet Density Restrictions

Colleges and Universities

Thirteen states have some type of restriction on outlet density near colleges and universities, whereas 38 have no restrictions. Of the 13 states with restrictions, 12 have restrictions that apply to both on-premises and off-premises outlets. Kansas's restriction applies only to off-premises outlets.

Nearly all of the restrictions apply to beer, wine, and spirits. California's and Mississippi's restrictions apply only to wine and spirits, North Carolina's restriction applies to beer and wine, and West Virginia's applies only to beer. Exhibit 4.3.27 shows the states with restrictions on colleges and universities and shows whether the restrictions apply to off- or on-premises outlets.

Primary and Secondary Schools

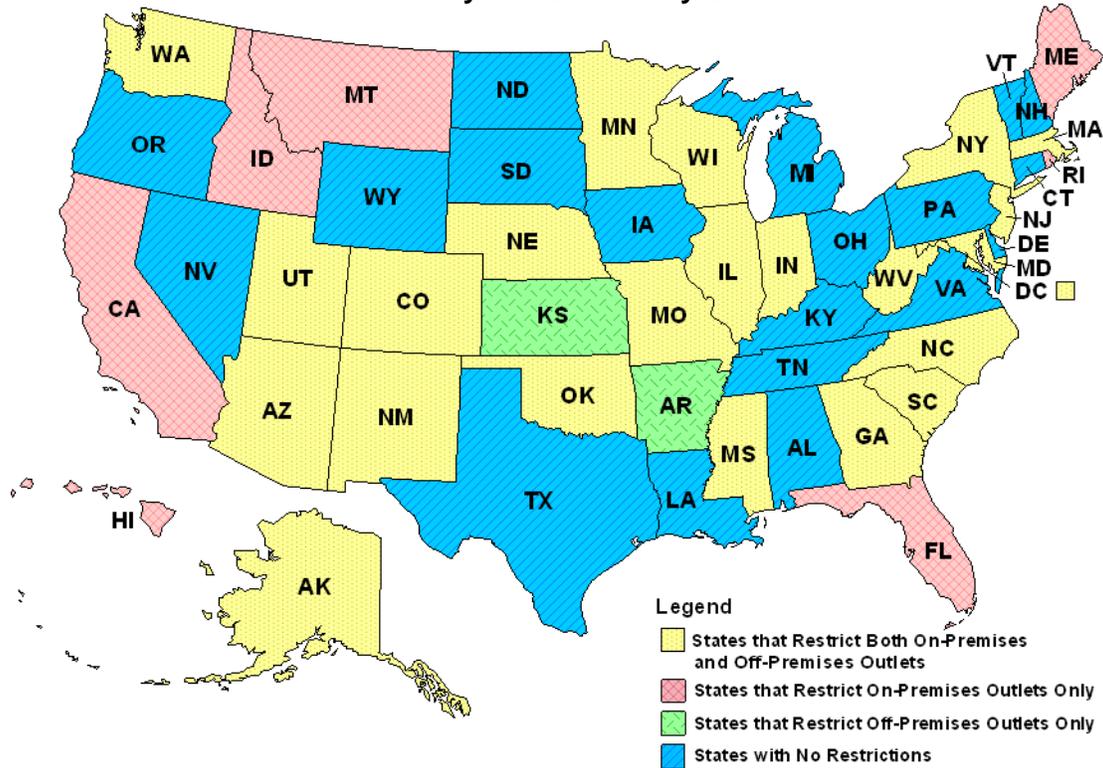
Many more states have laws restricting outlet location near primary and secondary schools: 33 states have some restriction, whereas 18 states have none. Of the 33 states restricting outlet location, 24 apply restrictions to both off- and on-premises locations. The restrictions apply only to on-premises locations in seven states: California, Florida, Hawaii, Idaho, Maine, Montana, and Rhode Island. Arkansas and Kansas restrict only off-premises locations.

Most of the restrictions apply to beer, wine, and spirits. Restrictions in Arkansas, New York, Mississippi, and Wisconsin apply to wine and spirits; North Carolina's restrictions apply only to beer and wine, and West Virginia's restrictions apply only to beer. Exhibit 4.3.28 shows the states with restrictions on primary and secondary schools and shows whether the restrictions apply to off-premises or on-premises outlets.

References and Further Information

Legal research and data collection for this topic are planned and managed by the Substance Abuse and Mental Health Services Administration (SAMHSA) and conducted under contract by The CDM Group, Inc. To see definitions of the variables for this policy, visit stopalcoholabuse.gov and go to Report to Congress, Supplemental Information, "Definitions of Variables." For further information and background see:

Exhibit 4.3.28: States with Restrictions on Placement of Retail Outlets Near Primary and Secondary Schools



Task Force on Community Preventive Services. (2009). Recommendations for reducing excessive alcohol consumption and alcohol-related harms by limiting alcohol outlet density. *American Journal of Preventive Medicine*, 6, 570–571.

Wechsler, H., Lee, J. E., Hall, A., Wagenaar, A., & Lee, H. (2002). Secondhand effects of student alcohol use reported by neighbors of colleges: The role of alcohol outlets. *Social Science & Medicine*, 55, 425–435.

Weitzman, E., Folkman, A., Folkman, K. L., & Wechsler, H. (2003). The relationship of alcohol outlet density to heavy and frequent drinking and drinking-related problems among college students at eight universities. *Health & Place*, 9, 1–6.

Dram Shop Liability

Policy Description

Dram shop liability refers to the civil liability that commercial alcohol providers face for injuries or damages caused by their intoxicated or underage drinking patrons.¹ The analysis in this report is limited to alcohol service to minors. The typical factual scenario in legal cases arising from dram shop liability is a licensed retail alcohol outlet furnishing alcohol to a minor who, in turn, causes an alcohol-related motor vehicle crash that injures a third party. In states with dram shop liability, the injured third party (“plaintiff”) may be able to sue the retailer (as well as the minor who caused the crash) for monetary damages. Liability comes into play only if an injured private citizen files a lawsuit. The state’s role is to provide a forum for such a lawsuit; the state does not impose a dram shop–related penalty directly. (This distinguishes dram shop liability from the underage furnishing policy, which results in criminal liability imposed by the state.)

Dram shop liability is closely related to the policy on furnishing alcohol to minors, but the two topics are distinct. Retailers who furnish alcohol to minors may face fines or other punishment imposed by the state as well as dram shop liability lawsuits filed by parties injured as a result of the same incident. Dram shop liability and social host liability (presented elsewhere in this report) are identical, except that the former involves lawsuits filed against commercial alcohol retailers and the latter involves lawsuits filed against noncommercial alcohol providers.

Dram shop liability serves two purposes: (a) it creates a disincentive for retailers to furnish to minors because of the risk of litigation leading to substantial monetary losses, and (b) it allows parties injured as a result of an illegal sale to a minor to gain compensation from those responsible for the injury. The minor causing the injury is the primary and most likely party to be sued. Typically, the retailer is sued through a dram shop claim when the minor does not have the resources to fully compensate the injured party.

Dram shop liability is established by statute or by a state court through “common law.” Common law is the authority of state courts to establish rules by which an injured party can seek redress against the person or entity that negligently or intentionally caused injury. Courts can establish these rules only when the state legislature has not enacted its own statutes, in which case the courts must follow the legislative dictates (unless found to be unconstitutional). Thus, dram shop statutes normally take precedence over dram shop common law court decisions. This analysis includes both statutory and common law dram shop liability for each state.

A common law liability designation signifies that the state allows lawsuits by injured third parties against alcohol retailers for the negligent service or provision of alcohol to a minor. Common law liability assumes the following procedural and substantive rules:

- A negligence standard applies (i.e., the defendant did not act as a reasonable person would be expected to act in like circumstances). Plaintiffs need not show that the defendant acted intentionally, willfully, or with actual knowledge of the minor’s underage status.

¹ “Dram shop liability” is a legal term that originated in the 19th century. Dram shops were retail establishments that sold distilled spirits by the “dram,” a liquid measure that equals 1 ounce. This form of liability is also known as “commercial host liability.”

- Damages are not arbitrarily limited. If negligence is established, the plaintiff receives actual damages and can seek punitive damages.
- Plaintiffs can pursue claims against defendants without regard for the age of the person who furnished the alcohol and the age of the underage person furnished with the alcohol.
- Plaintiffs must establish only that minors were furnished alcohol and that the furnishing contributed to the injury without regard to the minor’s intoxicated state at the time of sale.
- Plaintiffs must establish key elements of the lawsuit via “preponderance of the evidence” rather than a more rigorous standard (e.g., “beyond a reasonable doubt”).

A statutory liability designation indicates that the state has a dram shop statute. Statutory provisions can alter the common law rules listed above, restricting an injured party’s ability to make successful claims. This report includes three of the most important statutory limitations:

1. Limitations on damages: Statutes may impose statutory caps on the total dollar amount that plaintiffs may recover through dram shop lawsuits.
2. Limitations on who may be sued: Potential defendants may be limited to only certain types of retail establishments (e.g., on-premises but not off-premises licensees), or certain types of servers (e.g., servers above a certain age).
3. Limitations on elements or standards of proof: Statutes may require plaintiffs to prove additional facts or meet a more rigorous standard of proof than would normally apply in common law. The statutory provisions may require a plaintiff to:
 - Establish that the retailer knew the minor was underage or that the retailer intentionally or willfully served the minor.
 - Establish that the minor was intoxicated at the time of sale or service.
 - Provide clear and convincing evidence or evidence beyond a reasonable doubt that the allegations are true.

These limitations can restrict the circumstances that can give rise to liability or greatly diminish a plaintiff’s chances of prevailing in a dram shop liability lawsuit, thus reducing the likelihood of a lawsuit being filed. Other restrictions may also apply. For example, many states do not allow “first-party claims”—cases brought by the person who was furnished alcohol for his or her own injuries. This report does not track these additional limitations.

Some states have enacted responsible beverage service (RBS) affirmative defenses. In these states, a defendant can avoid liability if it can establish that its retail establishment had implemented an RBS program and was adhering to RBS practices at the time of the service to a minor. Texas has enacted a more sweeping RBS defense. A defendant licensee can avoid liability if it establishes that (a) it did not encourage the illegal sale and (b) it required its staff, including the server in question, to attend RBS training. Proof that RBS practices were being adhered to at the time of service is not required. See the “RBS Training” policy topic in this report for more information.

Status of Dram Shop Liability

As of January 1, 2015, 45 jurisdictions imposed dram shop liability as a result of statutory or common law or both (see Exhibit 4.3.29). The District of Columbia and 28 states have either common law liability or statutory liability or both with no identified limitation. The remaining 16 states impose one or more limits on statutory dram shop liability: 7 states limit the damages that may be recovered, 4 states limit who may be sued, and 12 states require stricter standards for proof of wrongdoing than for usual negligence. Seven states provide an RBS defense for alcohol outlets (see Exhibit 4.3.30). Six states provide an affirmative RBS defense, and one state provides a complete RBS defense.

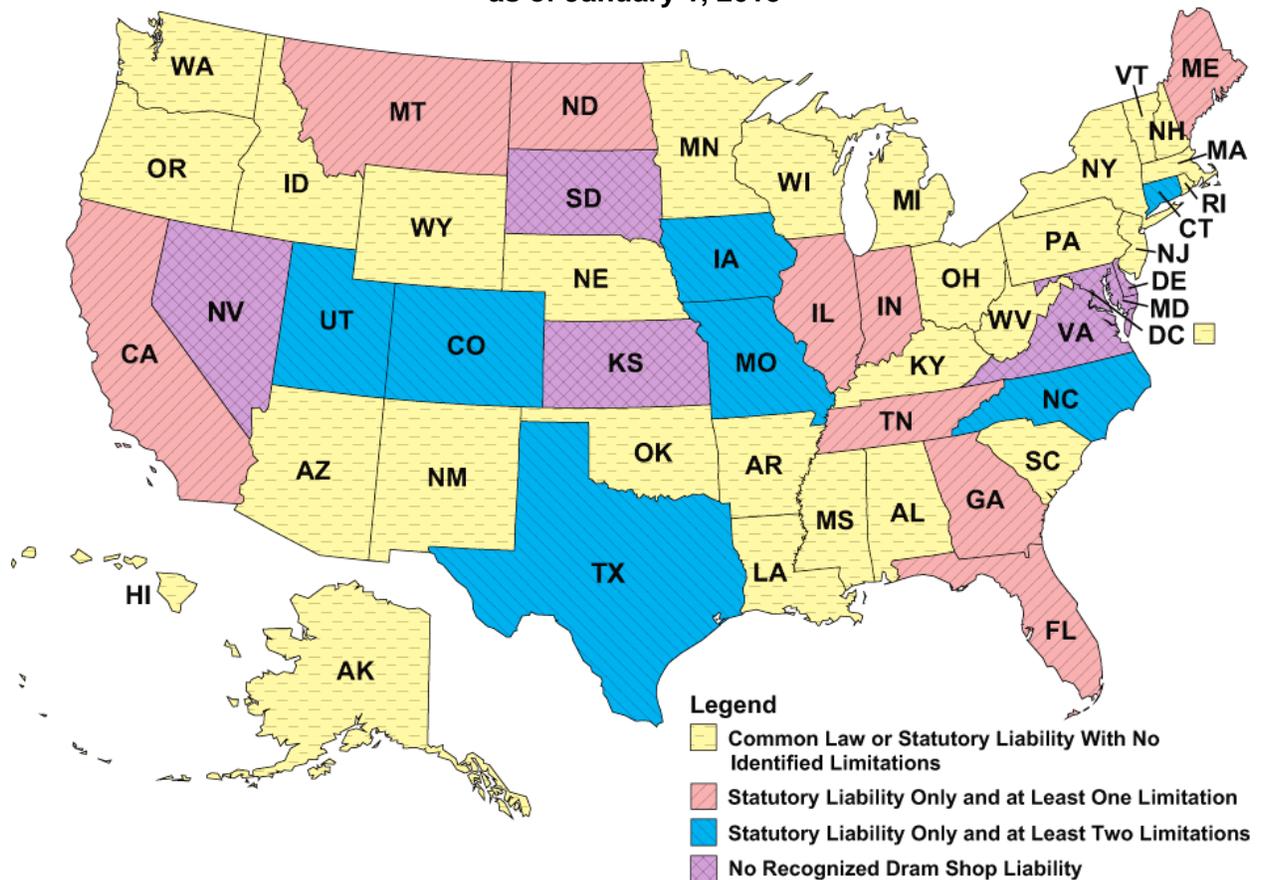
Trends in Dram Shop Liability for Furnishing Alcohol to a Minor

Between 2009 and 2015, the number of jurisdictions that permit dram shop liability remained constant and three states (Colorado, Illinois, and Maine) increased the dollar limits on damages.

References and Further Information

Legal research and data collection for this topic are planned and managed by the Substance Abuse and Mental Health Services Administration (SAMHSA) and conducted under contract

Exhibit 4.3.29: Common Law/Statutory Dram Shop Liability and Limitations as of January 1, 2015



Social Host Liability

Policy Description

Social host liability refers to the civil liability that noncommercial alcohol providers face for injuries or damages caused by their intoxicated or underage drinking guests. The analysis in this report does not address social host liability for serving adult guests. The typical factual scenario in legal cases arising from social host liability involves an underage drinking party at which the party host furnishes alcohol to a minor who, in turn, injures a third party in an alcohol-related incident (often a motor vehicle crash). In states with social host liability, injured third parties (“plaintiffs”) may be able to sue social hosts (as well as the minor who caused the crash) for monetary damages. Liability comes into play only if injured private citizens file lawsuits. The state’s role is to provide a forum for such lawsuits; the state does not impose social host–related penalties directly. (As discussed below, this distinguishes social host liability from underage furnishing and host party policies, which can result in criminal liability imposed by the state.)

Social host liability is closely related to the furnishing alcohol to a minor and host party policies topics, but the three topics are distinct. Social hosts who furnish alcohol to minors or allow underage drinking parties on their property may face fines or other punishment imposed by the state as well as social host liability lawsuits filed by injured parties stemming from the same incident. Social host liability and dram shop liability (presented elsewhere in this report) are identical policies except that the former involves lawsuits brought against noncommercial alcohol retailers, and the latter involves lawsuits filed against commercial alcohol providers.

Social host liability serves two purposes: (a) it creates disincentives for social hosts to furnish to minors due to the risk of litigation and potentially substantial monetary losses and (b) it allows those injured as a result of illegal furnishing of alcohol to minors to gain compensation from the person(s) responsible for their injuries. Minors causing injuries are the primary and most likely parties to be sued. Typically, social hosts are sued through social host liability claims when minors do not have the resources to fully compensate the injured parties.

Social host liability is established by statute or by a state court through “common law.” Common law refers to the authority of state courts to establish rules by which injured parties can seek redress against persons or entities that negligently or intentionally caused injuries. Courts have the authority to establish these rules only when state legislatures have not enacted their own statutes, in which case, the courts must follow legislative dictates (unless found to be unconstitutional). Thus, social host statutes normally take precedence over social host common law court decisions.

Many states require evidence that social hosts furnished alcohol to the underage guest, although others permit liability if social hosts allowed underage guests to drink on the hosts’ property, even if the hosts did not furnish the alcohol. This analysis does not report the states that have adopted this more permissive standard. The analysis includes both statutory and common law social host liability for each state. A common law liability designation signifies that the state allows lawsuits by injured third parties against social hosts for the negligent service or provision of alcohol to minors in noncommercial settings. Common law liability assumes the following procedural and substantive rules:

- A negligence standard applies (i.e., defendants did not act as reasonable persons would be expected to act in similar circumstances). Plaintiffs need not show that defendants acted intentionally, willfully, or with actual knowledge of minors' underage status.
- Damages are not arbitrarily limited. If successful in establishing negligence, plaintiffs receive actual damages and have the possibility of seeking punitive damages.
- Plaintiffs can pursue claims against defendants without regard to the age of the person who furnished the alcohol and the age of the underage person furnished with the alcohol.
- Plaintiffs must establish only that minors were furnished with alcohol and that the furnishing contributed to injuries without regard to the minors' intoxicated state at the time of the party.
- Plaintiffs must establish the key elements of lawsuits by "preponderance of the evidence" rather than a more rigorous standard (such as "beyond a reasonable doubt").

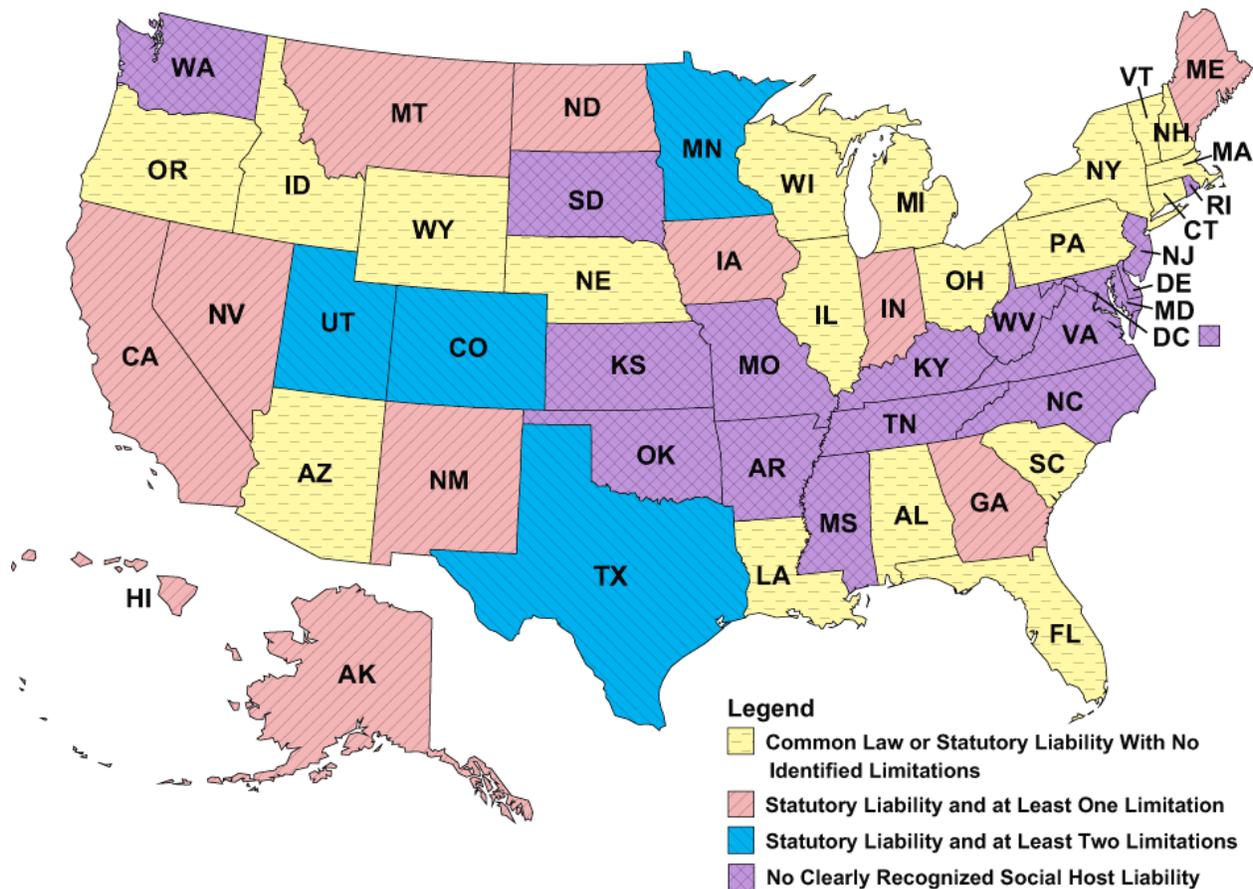
A statutory liability designation indicates that a state has a social host liability statute. Statutory provisions can alter the common law rules listed above, restricting an injured party's ability to make successful claims. This report includes three of the most important statutory limitations:

1. Limitations on damages: Statutes may impose statutory caps on the total dollar amount that plaintiffs may recover through social host lawsuits.
2. Limitations on who may be sued: Potential defendants may be limited to persons above a certain age.
3. Limitations on elements or standards of proof: Statutes may require plaintiffs to prove additional facts or meet a more rigorous standard of proof than would normally apply in common law. The statutory provisions may require the plaintiff to:
 - Establish that hosts had knowledge that minors were underage or proof that social hosts intentionally or willfully served minors.
 - Establish that the minors were intoxicated at the time of service.
 - Provide clear and convincing evidence or evidence beyond a reasonable doubt that the allegations are true.

These limitations can limit the circumstances that can give rise to liability or greatly diminish plaintiffs' chances of prevailing in a social host liability lawsuit, thus reducing the likelihood of a lawsuit being filed. Additional restrictions may also apply. For example, many states do not allow "first-party claims," cases brought by the person who was furnished alcohol for his or her own injuries. This report does not track these additional limitations.

Status of Social Host Liability

As of January 1, 2015, 33 states impose social host liability through statute or common law; 15 states and the District of Columbia do not impose social host liability. In two states, there is no statutory liability, and common law liability is unclear (see Exhibit 4.3.31). Eighteen states have either common law liability or statutory social host liability with no identified limitations. Eleven states impose one limit on statutory social host liability, and four states impose two limitations. The count for limitations is as follows: 4 states limit the damages that may be recovered, 4 states limit who may be sued, and 11 states require standards of proof of wrongdoing that are stricter than usual negligence standards.

Exhibit 4.3.31: Common Law/Statutory Social Host Liability as of January 1, 2015

Trends in Social Host Liability for Furnishing Alcohol to a Minor

In the years between 2009 and 2015, the number of states that permit social host liability increased by one. California requires standards of proof of wrongdoing that are stricter than usual negligence standards. One state (Utah) increased the dollar limits on damages.

References and Further Information

Legal research and data collection for this topic are planned and managed by the Substance Abuse and Mental Health Services Administration (SAMHSA) and conducted under contract with The CDM Group, Inc. To see definitions of the variables for this policy, visit stopalcoholabuse.gov and go to Report to Congress, Supplemental Information, “Definitions of Variables.” For additional information and background, see:

Dills, A. K. (2010). Social host liability for minors and underage drunk-driving accidents. *Journal of Health Economics*, 29(2), 241–249.

Mosher, J., Boertzel, G. S., Clune, K. P., Clune, J. R., Cohen, H. M., Cohen, M. L., . . . Weinstein, S. S. (2011). *Liquor liability law*. Newark, NJ: LexisNexis.

- Stout, E., Sloan, A., Liang, L., & Davies, H. (2000). Reducing harmful alcohol-related behaviors: Effective regulatory methods. *Journal of Studies on Alcohol*, *61*, 402–412.
- Wagoner, K. G., Sparks, M., Francisco, V. T., Wyrick, D., Nichols, T., & Wolfson, M. (2013). Social host policies and underage drinking parties. *Substance Use & Misuse*, *48*(1–2), 41–53. doi:10.3109/10826084.2012.722158

Hosting Underage Drinking Parties

Policy Description

Host party laws establish state-imposed liability against individuals (social hosts) responsible for underage drinking events on property they own, lease, or otherwise control. The primary purpose of these laws is to deter underage drinking parties by raising the legal risk for individuals who allow underage drinking events on property they own, lease, or otherwise control. Underage drinking parties pose significant public health risks. They are high-risk settings for binge drinking and associated alcohol problems including impaired driving. Young drinkers are often introduced to heavy drinking behaviors at these events. Law enforcement officials report that, in many cases, underage drinking parties occur on private property, but the adult responsible for the property is not present or cannot be shown to have furnished the alcohol. Host party laws address this issue by providing a legal basis for holding persons responsible for parties on their property whether or not they provided alcohol to minors.

Host party laws often are closely linked to laws prohibiting the furnishing of alcohol to minors (analyzed elsewhere in this report), although laws that prohibit hosting underage drinking parties may apply without regard to who furnishes the alcohol. Hosts who allow underage drinking on their property and also supply the alcohol consumed or possessed by the minors may be in violation of two distinct laws: furnishing alcohol to a minor and allowing underage drinking to occur on property they control.

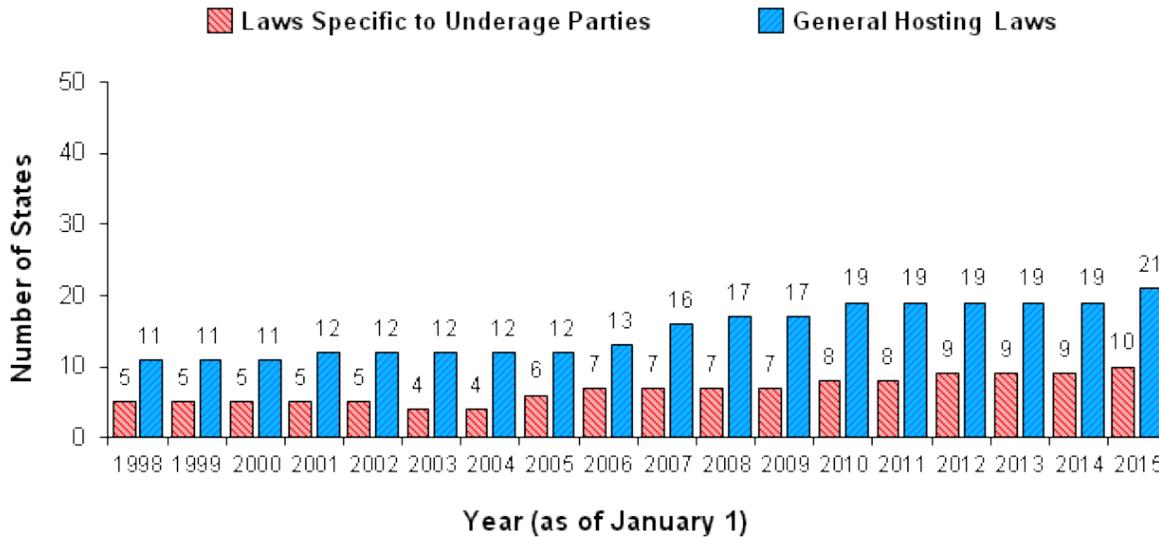
Two general types of liability may apply to those who host underage drinking parties. The first, analyzed here, concerns state-imposed liability. State-imposed liability involves a statutory prohibition that is enforced by the state, generally through criminal proceedings that can lead to sanctions such as fines or imprisonment. The second, social host liability (analyzed elsewhere in this report), involves an action by a private party seeking monetary damages for injuries that result from permitting underage drinking on the host's premises.

Although related, these two forms of liability are distinct. For example, an individual may allow a minor to drink alcohol, after which the minor causes a motor vehicle crash that injures an innocent third party. In this situation, the social host may be prosecuted by the state under a criminal statute and face a fine or imprisonment for the criminal violation. In a state that provides for social host civil liability, the injured third party could also sue the host for monetary damages associated with the motor vehicle crash.

State host party laws differ across multiple dimensions, including the following:

- They may limit their application specifically to underage drinking parties (e.g., by requiring a certain number of minors to be present for the law to take effect) or may prohibit hosts from allowing underage drinking on their property generally, without reference to hosting a party.
- Underage drinking on any of the host's properties may be included, or the laws may restrict their application to residences, out-buildings, or outdoor areas.
- The laws may apply only when hosts make overt acts to encourage the party, or they may require only that hosts knew about the party or were negligent in not realizing that parties were occurring (i.e., should have known based on the facts available).
- A defense may be available for hosts who take specific preventive steps to end parties (e.g., contacting police) once they become aware that parties are occurring.

Exhibit 4.3.33: Number of States with Prohibitions Against Hosting Underage Drinking Parties, January 1, 1998, through January 1, 2015



References and Further Information

All data for this policy were obtained from the Alcohol Policy Information System (APIS) at <http://www.alcoholpolicy.niaaa.nih.gov>. Follow links to the policy titled “Prohibitions against Hosting Underage Drinking Parties.” APIS provides further descriptions of this policy and its variables, details regarding state policies, and a review of the limitations associated with the reported data. To see definitions of the variables for this policy, visit stopalcoholabuse.gov and go to Report to Congress, Supplemental Information, “Definitions of Variables.”

- Buettner, C. K., Khurana, A., & Slesnick, N. (2011). Drinking at college parties: Examining the influence of student host-status and party-location. *Addictive Behaviors, 36*(12), 1365–1368.
- Dills, A. K. (2010). Social host liability for minors and underage drunk-driving accidents. *Journal of Health Economics, 29*, 241–249.
- Fell, J. C., Scherer, M., Thomas, S., & Voas, R. B. (2014). Effectiveness of social host and fake identification laws on reducing underage drinking driver fatal crashes. *Traffic Injury Prevention, 15*(Suppl 1), S64–S73.
- Friese, B., & Grube, J. W. (2014). Teen parties: Who has parties, what predicts whether there is alcohol and who supplies the alcohol? *Journal of Primary Prevention, 35*(6), 391–396.
- National Institute on Alcohol Abuse and Alcoholism. (2006). Young adult drinking. Alcohol Alert, No. 68. Retrieved from <http://pubs.niaaa.nih.gov/publications/aa68/aa68.htm>
- National Research Council (NRC) and Institute of Medicine (IOM). (2004). *Reducing underage drinking: A collective responsibility*. Washington, DC: National Academies Press.

Paschall, M. J., Lipperman-Kreda, S., Grube, J. W., & Thomas, S. (2014). Relationships between social host laws and underage drinking: Findings from a study of 50 California cities. *Journal of Studies on Alcohol and Drugs*, 75(6), 901–907.

Stout, E., Sloan, A., Liang, L., & Davies, H. (2000). Reducing harmful alcohol-related behaviors: Effective regulatory methods. *Journal of Studies on Alcohol and Drugs*, 61, 402–412.

Wagoner, K. G., Sparks, M., Francisco, V. T., Wyrick, D., Nichols, T., & Wolfson, M. (2013). Social host policies and underage drinking parties. *Substance Use & Misuse*, 48(1–2), 41–53. doi:10.3109/10826084.2012.722158

Retailer Interstate Shipments of Alcohol

Policy Description

This policy addresses state laws that prohibit or permit retailers to ship alcohol directly to consumers located across state lines, usually by ordering alcohol over the internet. It is related to, but distinct from, both the direct shipment policy, which addresses alcohol shipments to consumers by alcohol producers, and the home delivery policy, which involves retailer deliveries to consumers within the same state.

Retailer interstate shipments may be an important source of alcohol for underage drinkers. In a North Carolina study (Williams & Ribisl, 2012), a group of eight 18- to 20-year-old research assistants placed 100 orders for alcoholic beverages using internet sites hosted by out-of-state retailers. Forty-five percent of the orders were successfully completed and 39 percent were rejected as a result of age verification. The remaining 16 percent of orders failed for reasons believed to be unrelated to age verification (e.g., technical and communications problems with vendors). Most vendors (59 percent) used weak, if any, age verification at the point of order, and, of the 45 successful orders, 23 (51 percent) had no age verification at all. Age verification at delivery was also inconsistently applied.

The North Carolina study reported that there are more than 5,000 internet alcohol retailers, and that the retailers make conflicting claims regarding the legality of shipping alcohol across state lines to consumers. There were also conflicting claims regarding the role of common carriers. The North Carolina study reported that all deliveries were made by such companies, and many internet alcohol retailers list well-known common carriers on their websites. Yet carriers contacted by the study researchers stated they do not deliver packages of alcohol except with direct shipping permits. This suggests confusion regarding state laws addressing interstate retail shipments. North Carolina prohibits such shipments, which means that at least 43 percent of the retailers in the study appeared to have violated the state law.

The National Research Council/Institute of Medicine report on reducing underage drinking recognized the potential for young people to obtain alcohol over the internet. It recommended that states either ban such sales or require alcohol labeling on packages and signature verification at the point of delivery (NRC and IOM, 2004).

There are several potential barriers to implementing and enforcing bans on retailer interstate alcohol sales, including:

1. States will have difficulty securing jurisdiction over out-of-state alcohol retailers.
2. States may have little incentive to use limited enforcement resources to crack down on in-state alcohol retailers that are shipping out of state because they are not violating state law, taxes are being collected, and any problems occur out of state.
3. Enforcing bans on retailer interstate shipments may prompt online retailers to locate outside the country (many already are foreign based), creating additional jurisdictional and enforcement problems.

Types of Restrictions on Interstate Internet Sales

The restrictions addressed in this policy vary by beverage type (beer, wine, distilled spirits). Interstate shipments may be prohibited for one beverage type, more than one beverage type, or

all three beverage types. Some states place restrictions on interstate internet sales including requiring a direct shipping permit and limiting the amount of beverage that may be shipped.

Current Status of Interstate Internet Sales

As shown in Exhibit 4.3.34, 33 states prohibit retailer interstate sales of all 3 beverage types, 8 prohibit sales of 2 beverage types, and 2 prohibit sales of 1 beverage type. Spirits are the most commonly prohibited beverage (43 states), followed by beer (41 states) and wine (33 states). In eight states, retailer interstate sales laws were deemed uncodable for at least one beverage type (beer, wine, liquor). For the purposes of this summary, these states are treated as *not* expressly prohibiting interstate internet sales for the uncodable beverage types.

References and Further Information

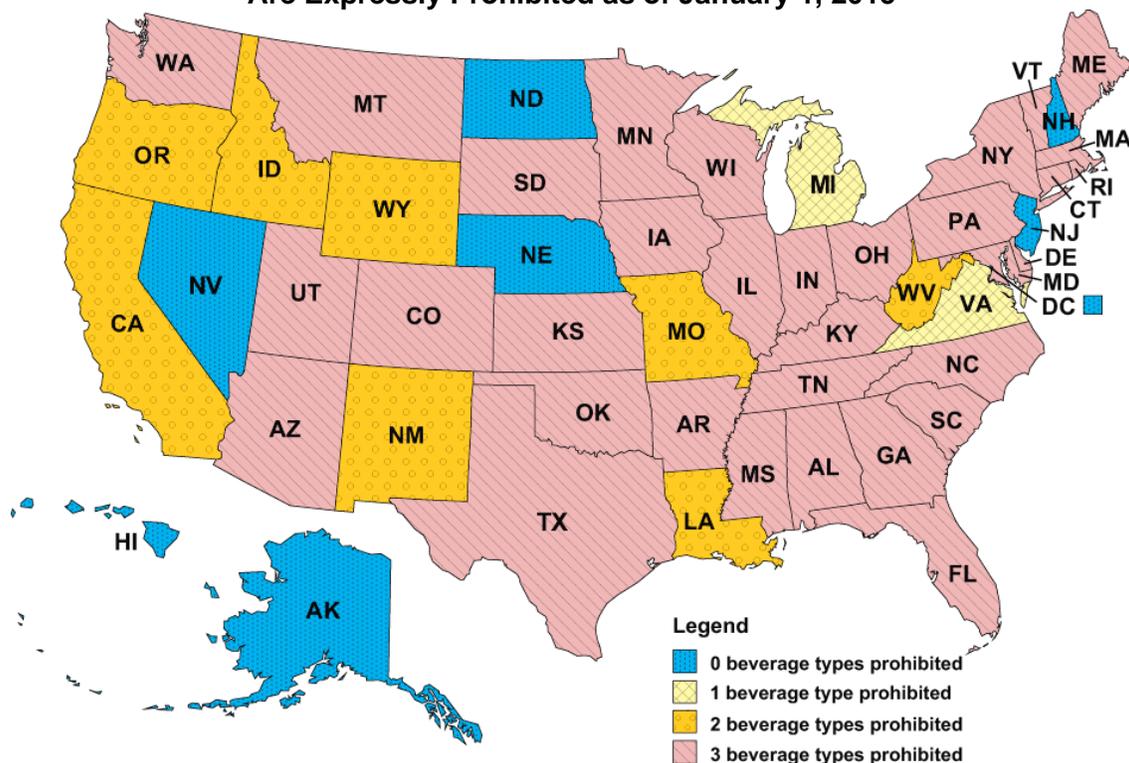
Legal research and data collection for this topic are planned and managed by the Substance Abuse and Mental Health Services Administration (SAMHSA) and conducted under contract by The CDM Group, Inc. To see definitions of the variables for this policy, visit stopalcoholabuse.gov and go to Report to Congress, Supplemental Information, “Definitions of Variables.” For further information and background see:

National Research Council (NRC) and Institute of Medicine (IOM). (2004). *Reducing underage drinking: A collective responsibility*. Washington, DC: National Academies Press.

N.C. Gen. Stat. § 18B-102.1; N.C. Gen. Stat. § 18B-109.

Williams, R. S., & Ribisl, K. M. (2012). Internet alcohol sales to minors. *Archives of Pediatrics & Adolescent Medicine*, 166(9), 808–813. doi:10.1001/archpediatrics.2012.265

Exhibit 4.3.34: Number of Beverage Types for which Interstate Internet Sales Are Expressly Prohibited as of January 1, 2015



Direct Sales/Shipments from Producers to Consumers

Policy Description

State proscriptions against direct sales and shipments of alcohol from producers to consumers date back to the repeal of Prohibition. The initial reason for the proscription was to ensure that the pre-Prohibition-era “tied house system” (under which producers owned or controlled retail outlets directly or both) did not continue after repeal. Opponents of the tied house system argued that producers who controlled retail outlets permitted unsafe retail practices and failed to respond to community concerns. The alternative that emerged was a three-tier production and distribution system with separate production, wholesaling, and retail elements. Thus, producers must distribute products through wholesalers rather than sell directly to retailers or consumers; wholesalers must purchase from producers; and consumers must purchase from retailers.

Modern marketing practices, particularly internet sales that link producers directly to consumers, have led many states to create laws with exceptions to general mandates that alcohol producers distribute their products only through wholesalers. Some states permit producers to ship alcohol to consumers using a delivery service (usually a common carrier). In some cases, these exceptions are responses to legal challenges by producers or retailers arguing that state law unfairly discriminates between in-state and out-of-state producers. The U.S. Supreme Court has held that state laws permitting in-state producers to ship directly to consumers while barring out-of-state producers from doing so violate the U.S. Constitution’s Interstate Commerce Clause, and that this discrimination is neither authorized nor permitted by the 21st Amendment.¹

One central concern emerging from this controversy is the possibility that direct sales/shipments (either through internet sales or sales made by telephone or other remote communication) will increase alcohol availability to underage persons. Young people may attempt to purchase alcohol through direct sales instead of face-to-face sales at retail outlets because they perceive that detection of their underage status is less likely. These concerns were validated by a study that found that internet alcohol vendors use weak, if any, age verification, thereby allowing minors to successfully purchase alcohol online (Williams & Ribisl, 2012). In response to these concerns, several jurisdictions that permit direct sales/shipments have included provisions to deter youth access. These may include requirements that:

- Consumers have face-to-face transactions at producers’ places of business (and show valid age identification) before any future shipments to consumers can be made.²
- Producers/shippers and deliverers verify recipient age, usually by checking recipients’ identification.
- Producers/shippers and deliverers obtain permits or licenses or be approved by the state.
- Producers/shippers and deliverers maintain records that must either be reported to state officials or be open for inspection to verify recipients of shipments.
- Direct shipment package labels include statements that the package contains alcohol and that the recipient must be at least 21 years old.

¹ See, e.g., *Granholm v. Heald*, 544 U.S. 460, 125 S.Ct. 1885 (2005).

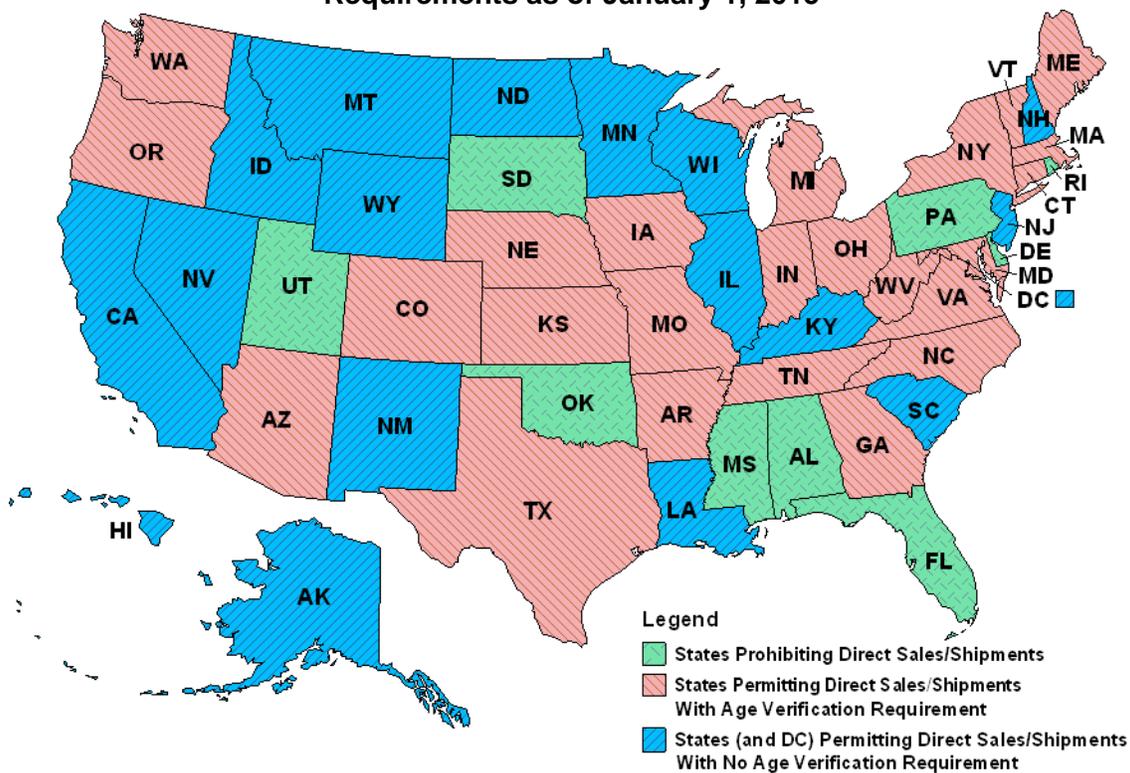
² Laws that require face-to-face transactions for all sales prior to delivery are treated as prohibitions on direct sales/shipments.

State laws also vary on the types of alcoholic beverages (beer, wine, distilled spirits) that producers may sell directly and ship to consumers. These and other restrictions may apply to all direct shipments. This report includes only those requirements related to preventing underage sales.³

Status of Direct Sales/Shipment Policies

As of January 1, 2015, 42 states permit direct sales/shipments from producers to consumers, and 9 prohibit such transactions (see Exhibit 4.3.35). Two states (Arkansas and Indiana) require face-to-face transactions at producers’ places of business (and verification of valid age identification) before shipments to the consumer can be made. Thirty-nine states require producers to obtain a shipper’s permit or state approval prior to shipping. Of the 42 states permitting direct sales or shipments, 8 require shippers to verify purchaser age, 21 require deliverers to verify recipient age, and 4 require age verification by both shippers and deliverers.

Exhibit 4.3.35: Direct Sales/Shipment Policies and Age Verification Requirements as of January 1, 2015



³ These include caps on the amount that can be shipped; laws that permit only small producers to sell directly to consumers; reporting and taxation provisions unrelated to identifying potential underage recipients; and brand registration requirements. In some cases, exceptions are so limited that a state is coded as not permitting direct sales (e.g., shipments are allowed only by boutique historical distilled spirits producers).

Sixteen states and the District of Columbia do not require any age verification. Thirty-five states require a label stating that the package can be received only by a person over age 21, 34 states require a label stating that the package contains alcohol, and 4 states have no labeling requirements related to underage drinking.

Trends in Direct Sales/Shipments Policies

Between January 1, 2009, and January 1, 2015, seven states added more regulation to their policies. Seven other states (Arkansas, Kansas, Maine, Maryland, New Jersey, New Mexico, and Tennessee) adopted permit systems for allowing direct shipment of wine from producers to purchasers. Previously, New Mexico had allowed direct shipping by wineries only in those states that offered it reciprocal privileges. Alaska, Montana, and Nebraska adopted requirements that package labels state that the recipients of wine shipments must be over 21 and that the package contains alcohol. Iowa adopted requirements that labels state that recipients of wine shipments must be over 21. North Dakota adopted age verification requirements at the point of delivery and requirements that the carrier receive state approval and report purchasers' names. New Hampshire adopted a provision regarding collecting purchasers' names. In 2011, Ohio expanded direct shipping privileges to include beer, and in 2013 Vermont did the same. In 2014, Arizona granted direct shipping privileges to craft distilleries producing spirits.

References and Further Information

Legal research and data collection for this topic are planned and managed by the Substance Abuse and Mental Health Services Administration (SAMHSA) and conducted under contract by The CDM Group, Inc. To see definitions of the variables for this policy, visit stopalcoholabuse.gov and go to Report to Congress, Supplemental Information, "Definitions of Variables." For further information and background, see:

- Jurkiewicz, C., & Painter, M. (Eds.). (2008). *Social and economic control of alcohol: The 21st Amendment in the 21st century*. New York: CRC Press.
- Moramarto, M. (2008). *The Twenty-First Amendment, Granholm, and the future of the three-tier system*. Working Paper, Social Science Research Network, December 13, 2008. Retrieved from http://papers.ssrn.com/sol3/papers.cfm?abstract_id=1340198
- Norton, E. (2006). *The Twenty-First Amendment in the twenty-first century: Reconsidering state liquor controls in light of Granholm v. Heald*. *Ohio State Law Journal*, 67, 1465–1494.
- Williams, R. S., & Ribisl, K. M. (2012). *Internet alcohol sales to minors*. *Archives of Pediatrics & Adolescent Medicine*, 166(9), 808–813. doi:10.1001/archpediatrics.2012.265

Keg Registration

Policy Description

Keg registration laws (also called keg tagging laws) require wholesalers or retailers to attach tags, stickers, or engravings with an identification number to kegs exceeding a specified capacity. These laws discourage purchasers from serving underage persons from the keg by allowing law enforcement officers to trace the keg to the purchaser even if he or she is not present at the location where the keg is consumed.

At purchase, retailers are required to record identifying information about the purchaser (e.g., name, address, telephone number, driver's license). In some states, keg laws specifically prohibit destroying or altering the ID tags and provide penalties for doing so. Other states make it a crime to possess unregistered or unlabeled kegs.

Refundable deposits may also be collected for the kegs themselves, the tapper mechanisms used to serve the beer, or both. Deposits are refunded when the kegs and tappers are returned with identification numbers intact. These deposits create an incentive for the purchaser to keep track of the whereabouts of the keg, because a financial penalty is imposed if the keg is not returned.

Some jurisdictions collect information (e.g., location where the keg is to be consumed, tag number of the vehicle transporting the keg) to aid law enforcement efforts, further raising the chances that illegal furnishing to minors will be detected. Some jurisdictions also require retailers to provide warning information at the time of purchase about laws prohibiting service to minors and other laws related to the purchase or possession of the keg.

Disposable kegs complicate keg registration laws. Some of these containers meet the capacity definition for a keg but cannot be easily tagged or traced, as they are meant to be disposed of when empty. Most states do not differentiate disposable from nondisposable kegs, although some have modified keg registration provisions to accommodate this container type.

Status of Keg Registration Policies

Keg Registration Laws

As of January 1, 2015, the District of Columbia and 30 states require keg registration, and 19 states do not require keg registration. Minimum keg sizes subject to keg registration requirements range from 2 gallons to 7.75 gallons with the exception of South Dakota, where the requirements are 8 or 16 gallons. Utah alone prohibits keg sales altogether, making a keg registration law irrelevant.

Prohibited Acts

Ten states prohibit both the possession of unregistered kegs and the destruction of keg labels. Six states prohibit only the possession of unregistered kegs, 8 prohibit only the destruction of keg labels, and 25 states and the District of Columbia prohibit neither act.

Purchaser Information Collected

All 31 jurisdictions with keg registration laws require retailers to collect some form of purchaser information. Of these, 27 require purchasers to provide a driver's license or other government-issued identification. Six jurisdictions (District of Columbia, Georgia, North Carolina, Oregon,

Virginia, and Washington) require purchasers to provide the address at which the keg will be consumed.

Warning Information to Purchaser

Of the 31 jurisdictions with keg registration laws, 23 states and the District of Columbia require that some kind of warning information be presented to purchasers about the violation of any laws related to keg registration (see Exhibit 4.3.36). Fourteen states and the District of Columbia specify “active” warnings (requiring an action on the part of the purchaser, such as signing a document), and nine states specify “passive” warnings (requiring no action on the part of the purchaser). Seven states do not require that any warning information be given to purchasers.

Trends in Keg Registration Policies

The number of states enacting keg registration laws rose steadily between 2003 and 2008, with an increase from 20 to 31 jurisdictions, and has remained the same since then (see Exhibit 4.3.37).

References and Further Information

All data for this policy were obtained from the Alcohol Policy Information System (APIS) at <http://www.alcoholpolicy.niaaa.nih.gov>. Follow links to the policy titled “Keg Registration.” APIS provides further descriptions of this policy and its variables, details regarding state policies, and a review of the limitations associated with the reported data. To see definitions of the variables for this policy, visit stopalcoholabuse.gov and go to Report to Congress, Supplemental Information, “Definitions of Variables.”

Hingson, R., & White, A. (2014). New research findings since the 2007 Surgeon General’s call to action to prevent and reduce underage drinking: A review. *Journal of Studies on Alcohol and Drugs*, 75(1), 158–169.

National Institute on Alcohol Abuse and Alcoholism. (2006). Young adult drinking. Alcohol Alert, No. 68. Retrieved from <http://pubs.niaaa.nih.gov/publications/aa68/aa68.htm>

Ringwalt, C. L., & Paschall, M. J. (2011). The utility of keg registration laws: A cross-sectional study. *Journal of Adolescent Health*, 48(1), 106–108.

Wagenaar, A. C., Harwood, E. M., Silianoff, C., & Toomey, T. L. (2005). Measuring public policy: The case of beer keg registration laws. *Evaluation and Program Planning*, 28(4), 359–367.

Exhibit 4.3.36: Keg Registration Laws as of January 1, 2015

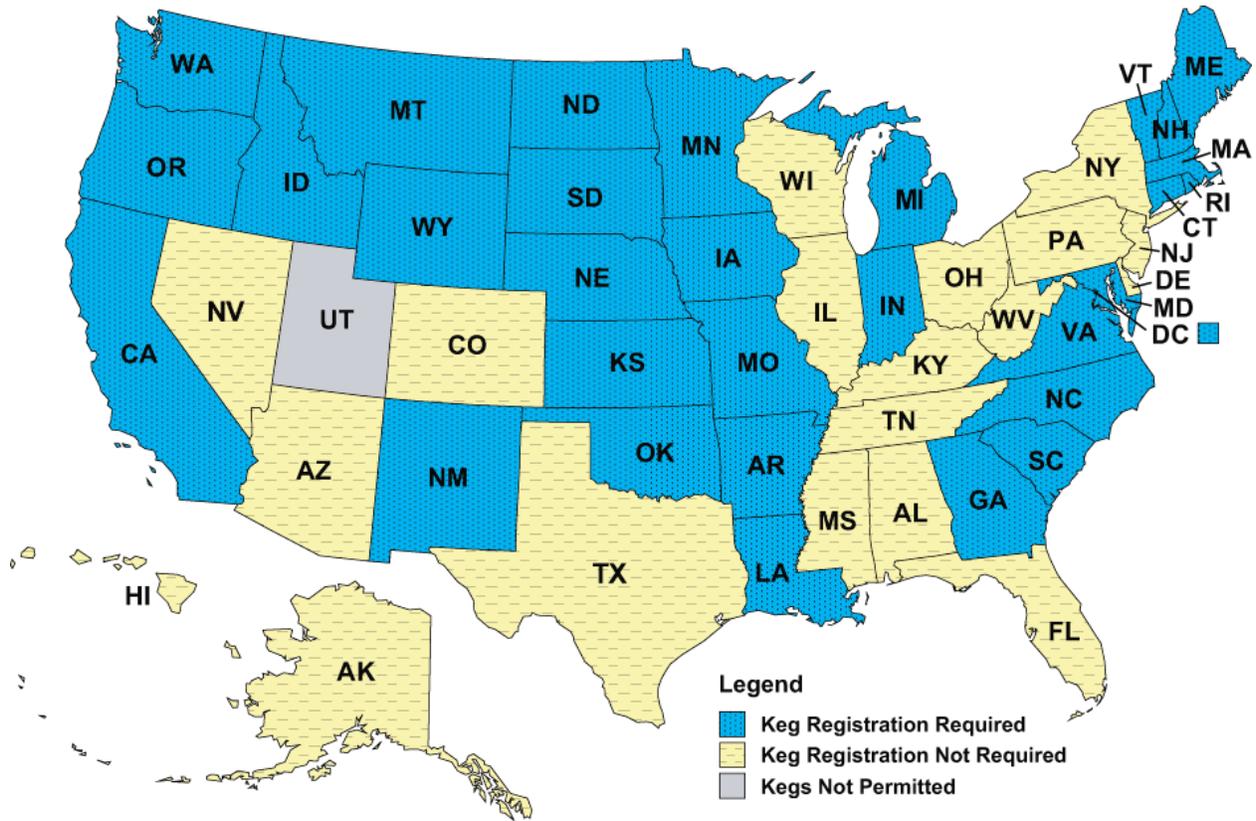
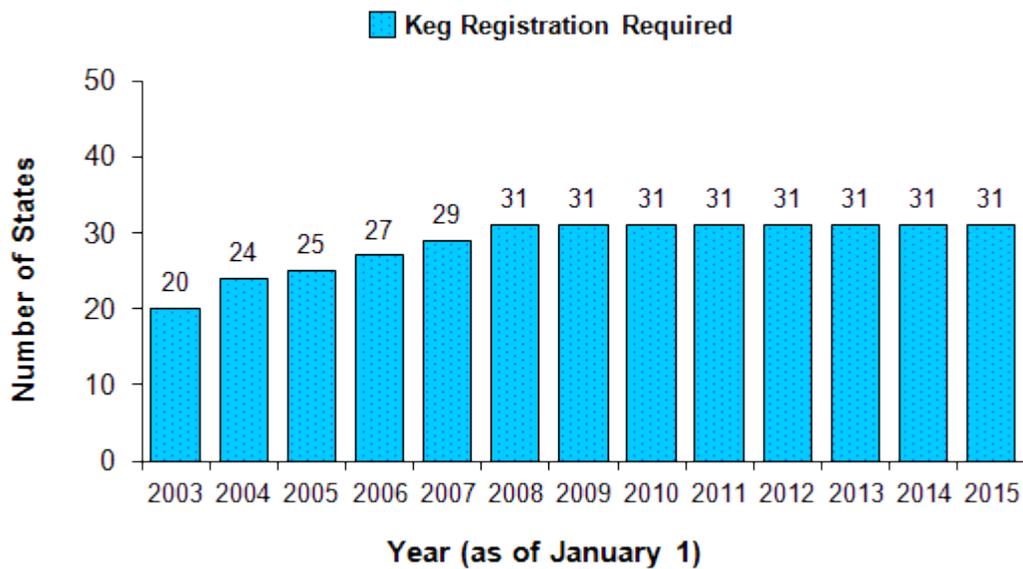


Exhibit 4.3.37: Number of States with Keg Registration Laws, January 1, 2003, through January 1, 2015



Home Delivery

Policy Description

Home delivery restrictions prohibit or limit the ability of alcohol retailers to deliver alcoholic beverages to customers who are not present at their retail outlet. The University of Minnesota Alcohol Epidemiology Program notes that home delivery of alcohol may increase alcohol availability to youth by increasing opportunities for underage persons to subvert minimum age purchase requirements. Ordering by phone, fax, or email may facilitate deception. Delivery persons may have less incentive to check purchasers' age identification when they are away from the licensed establishment and cannot be watched by a surveillance camera, the liquor store's management, or other customers.

Research on home delivery of alcohol is limited. One study examined the use of home delivery by adult men. The authors report that regular drinkers without a history of alcohol problems were significantly less likely to have had alcohol delivered than problem drinkers. Another study found similar results for underage drinkers. Ten percent of 12th graders and 7 percent of 18- to 20-year-olds in 15 Midwestern communities reported they obtained alcohol through delivery services in the last year. Use of delivery services was more prevalent among young men and among more frequent, heavier drinkers.

A state home delivery law may:

- Specifically prohibit or permit the delivery of beer, wine, or spirits to residential addresses, hotel rooms, conference centers, and so on.
- Permit home delivery, but with restrictions, including:
 - Limits on the quantity that may be delivered.
 - Limits on the time of day or days of the week when deliveries may occur.
 - A requirement that the retail merchant obtain a special license or permit.

In some states that allow home delivery, local ordinances may restrict or ban home delivery in specific sub-state jurisdictions.

Status of Home Delivery Policies

Exhibit 4.3.38 shows the number of states that permit, prohibit, or have no law regarding home delivery of beer, wine, and spirits. As the exhibit shows, 20 states permit home delivery of all three beverages, 8 prohibit delivery of all three, and 15 have no law for any beverage. Eight states have different laws for different beverages. Four of these states (New Hampshire, North Carolina, Oregon, and Virginia) permit delivery of beer and wine but have no law for spirits. Michigan permits beer and wine delivery but prohibits spirits, and Kentucky prohibits wine and spirits delivery but has no law for beer. Louisiana and West Virginia permit home delivery of wine but have no law for beer and spirits.

Of the 25 states that permit home delivery of *beer and wine*, 11 place at least one restriction on retailers. Of the 20 states that permit home delivery of *spirits*, 9 place at least one restriction on retailers. Of the two states that permit delivery of wine only, both impose retailer restrictions. Exhibit 4.3.39 shows the distribution of those restrictions imposed by two or more states on home delivery laws: (a) a state permit is required (Colorado, Texas, Virginia, and West

Exhibit 4.3.38: Home Delivery of Beer, Wine, and Spirits

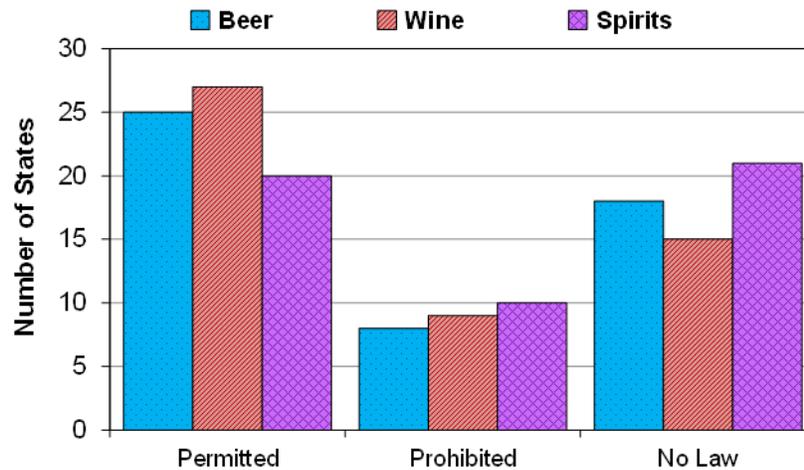
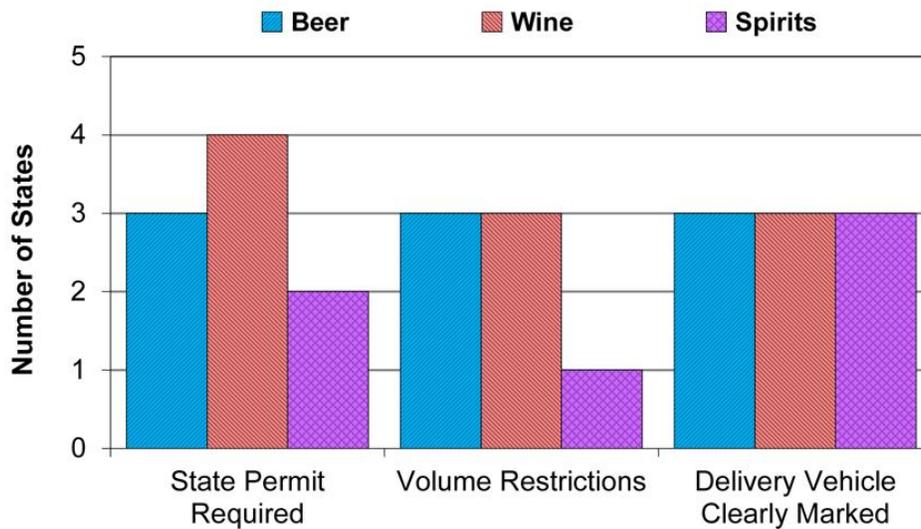


Exhibit 4.3.39: Restrictions Imposed by Two or More States on Delivery of Beer, Wine, and Spirits



Virginia); (b) the volume that can be delivered is restricted (Indiana, Louisiana, New York, Virginia, and West Virginia); and (c) the delivery vehicle must be clearly marked (New Jersey, New York, and Texas). Three additional states that permit delivery of beer, wine, and spirits place a single, unique restriction on retailers: (a) orders must be in writing (Alaska); (b) written information on fetal alcohol syndrome must accompany the delivered product (Alaska); and (c) a local permit is required to deliver to the retailer’s county or city (Maryland). One state (Washington) that permits delivery of beer and wine requires a special license only for internet orders. Massachusetts requires that each vehicle used for transportation and delivery have a state-issued permit. Oregon requires “for hire” carriers to be approved by the state. Exhibits 4.3.40 through 4.3.42 summarize the status of home delivery for beer, wine, and spirits as of January 1, 2015.

Exhibit 4.3.40: Home Delivery of Beer

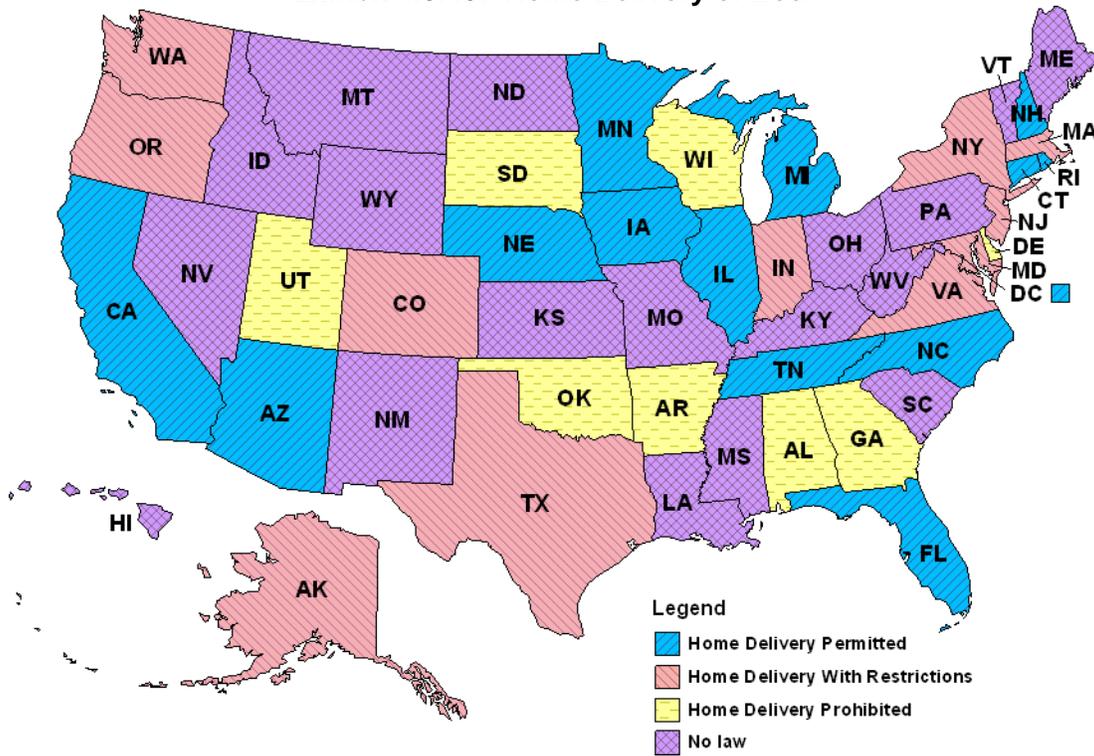


Exhibit 4.3.41: Home Delivery of Wine

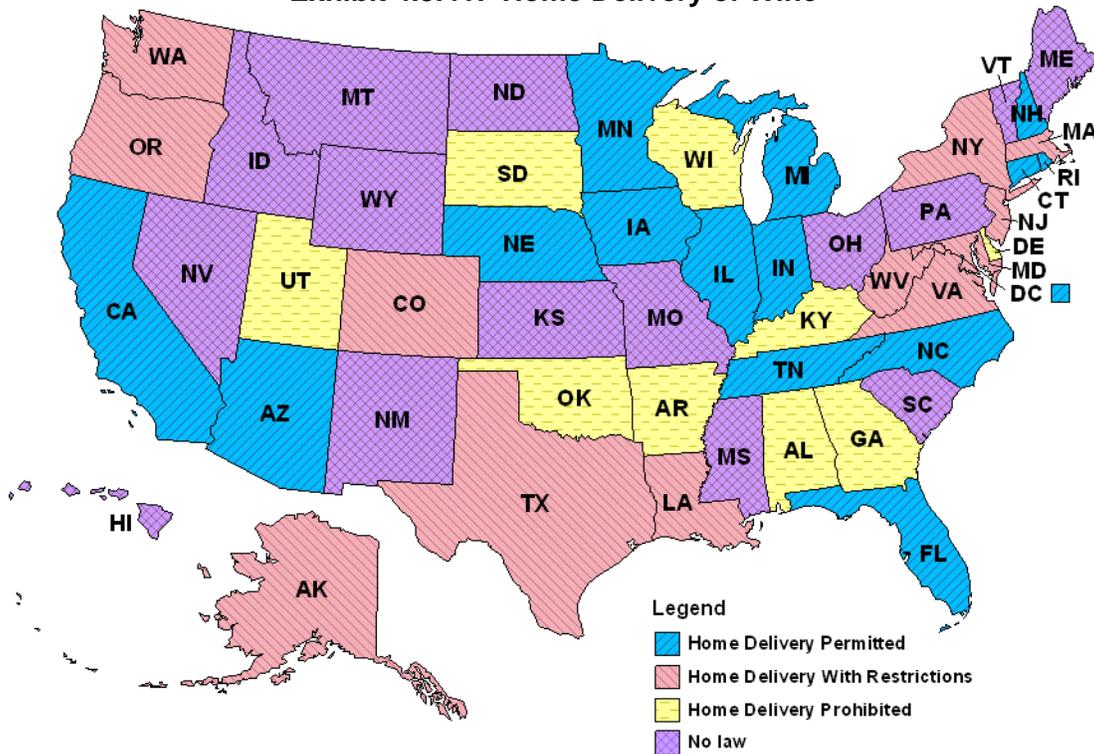
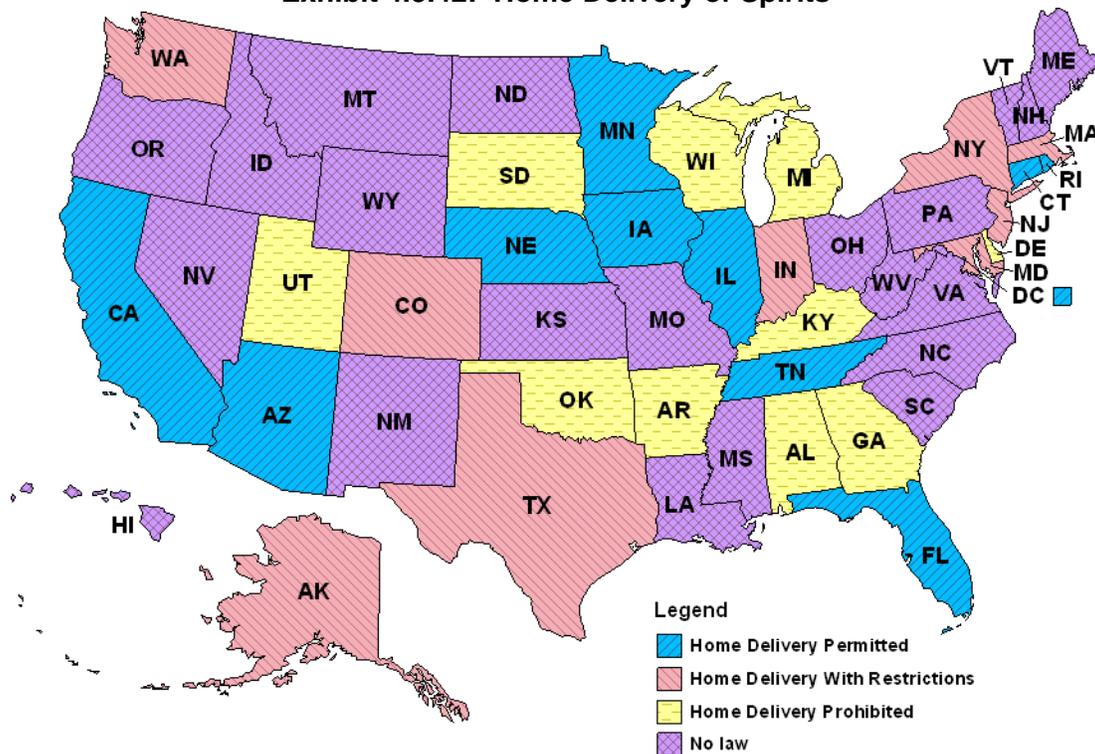


Exhibit 4.3.42: Home Delivery of Spirits



Trends in Home Delivery Policies

Between 2010 and 2015, three states (Louisiana, Washington, and Tennessee) changed their home delivery policies. Louisiana permitted wine retailers to deliver to consumers in 2011. Washington permitted spirit retailers to deliver to consumers in 2012. In 2014, Tennessee permitted retailers to deliver beer, wine, and spirits.

References and Further Information

Legal research and data collection for this topic are planned and managed by the Substance Abuse and Mental Health Services Administration (SAMHSA) and conducted under contract by The CDM Group, Inc. To see definitions of the variables for this policy, visit stopalcoholabuse.gov and go to Report to Congress, Supplemental Information, “Definitions of Variables.” For further information and background, see <http://www.aep.umn.edu/index.php/aep-tools/underage-access>.

Fletcher, L. A., Nugent, S. M., Ahern, S. M., & Willenbring, M. L. (1996). Brief report. The use of alcohol home delivery services by male problem drinkers: A preliminary report. *Journal of Substance Abuse*, 8(2), 251–261.

Fletcher, L. A., Toomey, T. L., Wagenaar, A. C., Short, B., & Willenbring, M. L. (2000). Alcohol home delivery services: A source of alcohol for underage drinkers. *Journal of Studies on Alcohol*, 61, 81–84.

High-Proof Grain Alcoholic Beverages

Policy Description

This policy addresses state laws that prohibit or restrict the retail availability of high-proof grain alcoholic beverages as a strategy for reducing underage drinking, particularly underage binge drinking.

High-proof grain alcoholic beverages such as Everclear or Gem Clear represent a type of “neutral spirits” that is odorless and colorless and contains a high percentage of alcohol. The Federal Alcohol and Tobacco Tax and Trade Bureau (TTB) defines “neutral spirits or alcohol” as “spirits distilled from any material at or above 95 percent alcohol by volume (190 proof), and if bottled, bottled at not less than 40 percent alcohol by volume (80 proof)” (Alcohol and Tobacco Tax and Trade Bureau, 2007).¹ Grain spirits are neutral spirits distilled from a fermented mash of grain and stored in oak containers.

High-proof grain alcoholic beverages pose particular risks for young people. They have little or no taste, odor, or color and are often added to cocktails, soft drinks, and fruit punch. This can result in an easy-to-consume concoction with very high alcohol content that is difficult to detect, particularly for inexperienced drinkers, and can lead to binge drinking. A “serving” of alcohol contains 0.6 ounces of ethanol, per NIAAA. This is the amount of ethanol contained in 1.5 ounces of traditional (40 percent ABV) distilled spirits, 5 ounces of 12 percent ABV wine, and 12 ounces of 5 percent ABV beer. Grain alcohol, by contrast, contains approximately twice as much ethanol as traditional distilled spirits. Thus, an equivalent “serving” of grain alcohol would be 0.6 ounces of 95 percent ABV/190 proof or 0.8 ounces of 75.5 percent ABV/151 proof grain alcohol, respectively. This means there are 42 servings of 95 percent ABV/190 proof or 32 servings of 75.5 percent ABV grain alcohol in a 750mL bottle, compared with only 17 servings in a bottle of other types of distilled spirits (such as vodka) of the same size. Research suggests that young people often “overpour” their drinks, making a strong drink even stronger (White et al., 2005). This practice can therefore be particularly hazardous when high-proof grain alcoholic beverages are involved.

Underage binge drinking (defined as five or more drinks in a sitting for men and four or more drinks in a sitting for women) accounts for most of the alcohol consumed by underage youth (Office of Juvenile Justice and Delinquency Prevention, 2005). More than two thirds of youth binge drink, with more than one fifth of them doing so frequently (NRC and IOM, 2004). Binge drinking “is associated with drunk driving, risky sexual behavior, physical and sexual assaults, injuries, and suicides” (Naimi, Siegel, DeJong, O’Doherty, & Jernigan, 2015).

Research has found that college students often consume grain alcohol when binge drinking. The Maryland Collaborative to Reduce College Drinking and Related Problems (“the Collaborative”) created and administered the Maryland College Alcohol Survey to 4,209 students from nine schools to measure levels of alcohol use and excessive drinking (Maryland Collaborative to Reduce College Drinking and Related Problems, 2014). It found that among students who had consumed alcohol in the past month, 70 percent reported binge drinking during that time period, with 11.6 percent reporting they consumed grain alcohol. Among high-risk drinkers (those who

¹ Proof is a method of measuring the alcohol content of spirits calculated by multiplying the percent of alcohol by volume (ABV) by two.

binge drank one to four days during the past month), 10.6 percent reported consuming grain alcohol over the last month. Among very high risk drinkers (those who binge drank five or more days during the past month), 22 percent reported consuming grain alcohol over the last month.

Two recent studies looked at rates of high-proof grain alcoholic beverage consumption among all youth. According to an internet panel of 1,032 youth ages 13 to 20, 5.8 percent of all youth reported consuming high-alcohol-content grain alcoholic beverages in the past 30 days (Siegel et al., 2014), and 2.4 percent of youth reported binge drinking such beverages in the past 30 days (Naimi et al., 2015). Of youth who drank high-alcohol-content grain alcoholic beverages, 35.1 percent reported binge drinking. Naimi and colleagues also computed a market share ratio, the “proportion of binge reports accounted for by a particular alcohol type ... or category... divided by its overall market share (i.e. percent of all drinks consumed) among the entire youth sample.” A number greater than 1.0 means “for a particular alcohol type or category, the number of binge drinking reports is disproportionately large relative to its market share.” The market share ratio for high-proof grain alcoholic beverages was the fifth highest (out of 19 alcohol types or categories), at 1.59. Given the characteristics of this product and given that it is frequently mixed with punch or similar beverages, however, some youth may have consumed it unknowingly, and thus may not have reported consuming it in the studies, so the above statistics may underreport its consumption.

In many states, youth can easily obtain these beverages at low prices. The cost per ounce of ethanol for grain alcohol ranges from 52¢ to 82¢. This is substantially lower than beer (\$1.93 per ounce of ethanol), vodka (\$1.85 per ounce of ethanol), or flavored alcoholic beverages (\$2.14 per ounce of ethanol) (DiLoreto, 2012). At this strength and price, grain alcohol provides one of the cheapest means to obtain a standard drink of alcohol and to engage in binge drinking.

Types of Restrictions on Sale of High-Proof Grain Alcoholic Beverages

Many states prohibit or restrict retail sale of high-proof grain alcoholic beverages. State statutes or regulations may restrict the type of such beverages that can be sold in the state. Control states, where the state government maintains direct control over the distribution and sale of alcoholic beverages at the wholesale and/or retail levels, may also regulate high-proof grain alcoholic beverages through internal policies that are not reflected in statute or regulation (i.e., by determining administratively that the beverages will not be made available at state-run wholesale and/or retail outlets). States that regulate grain alcohol through internal policy, rather than by statute or regulation, are reported as restricting sales only if their internal policies are published in writing. Counties or municipalities may also regulate the sale of high-proof grain alcoholic beverages by local ordinance. Such restrictions are not included in this report.

Current Status of Sale of High-Proof Grain Alcoholic Beverages

Ten states regulate the sale of high-proof grain alcoholic beverages through statute, regulation, or written policy. Six of these are license states: Alaska, California, Florida, Maryland, Minnesota, and Nevada. The other four are control states: North Carolina, Pennsylvania, Virginia, and Vermont. Two of the 10 states offer exceptions to the restrictions. Minnesota makes an exception for “spirits aged in wood casks for not less than two years.” Pennsylvania makes an exception for products produced by a “limited distillery license.”

Five states define the restrictions in terms of alcohol by volume (ABV). California prohibits the sale of beverages greater than 60 percent ABV. Alaska prohibits the sale of beverages greater than 76 percent ABV. Minnesota prohibits 80 percent ABV or more, and Nevada restricts grain alcohol with an ABV of over 80 percent. Maryland makes it illegal to sell grain alcohol with 95 percent ABV or more.

Four states define the restriction in terms of proof. Florida law provides that “[a] distilled spirit greater than 153 proof may not be sold or consumed in the state.” The North Carolina Alcoholic Beverage Control Commission has issued a written statement that the highest proof liquor sold in North Carolina ABC stores will be 151 proof. Pennsylvania restricts sales of alcohol at 190 proof or greater to nonpotable uses. In Virginia, the law states that no “neutral grain spirit or alcohol... shall be sold in government stores at a proof greater than 10.” Vermont simply restricts the purchase of “pure ethyl or grain alcohol” to non-beverage purposes.

References and Other Information

Legal research and data collection for this topic are planned and managed by the Substance Abuse and Mental Health Services Administration (SAMHSA) and conducted under contract by The CDM Group, Inc. To see definitions of the variables for this policy, visit stopalcoholabuse.gov and go to Report to Congress, Supplemental Information, “Definitions of Variables.” For further information and background, see the following resources:

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Alcohol Pricing Policies

Alcohol Taxes

Policy Description

There is ample evidence that the “economic availability” of alcoholic beverages (i.e., retail price) impacts underage drinking and a wide variety of related consequences. The *Surgeon General’s Call to Action* includes economic availability as a strategy in the context of increasing the cost of underage drinking. Taxes are a major way that alcohol prices are manipulated by policymakers.

The effects of price on reducing underage drinking, college drinking, and binge drinking (including drinking among youth who show signs of alcohol use disorders) are considerable. There are also significant effects on youth traffic crashes, violence on college campuses, and crime among people under 21. Although alcohol taxes are an imperfect index of retail prices, tax rates are relatively easy to measure and provide a useful proxy for economic availability. Based on this and other research, the 2004 NRC/IOM Report, *Reducing Underage Drinking: A Collective Responsibility*, made the following recommendation: “[S]tate legislatures should raise excise taxes to reduce underage consumption and to raise additional revenues for this purpose.”

This policy addresses beer, wine, and distilled spirits taxes. Although some states have separate tax rates for other alcoholic products (e.g., sparkling wine and flavored alcohol beverages), these account for a small market share and are not addressed.

Status of Alcohol Taxation

As of January 1, 2015, all license states have a specific excise tax for beer, wine, and spirits. The federal government also levies a specific excise tax of \$0.58/gallon for beer, \$1.07/gallon for wine, and \$13.50/gallon for spirits.¹

Like the federal-specific excise tax, state-specific excise taxes are generally highest for spirits and lowest for beer, roughly tracking the alcohol content of these beverages. Beer-specific excise taxes range from \$0.02 to \$1.29/gallon, wine-specific excise taxes range from \$0.11 to \$2.50/gallon, and spirits-specific excise taxes range from \$1.50 to \$14.25/gallon. The states with the highest excise tax for one beverage may not be the states with the highest excise taxes for other beverages. States may control for one, two, or three categories (beer, wine, and spirits).

Exhibits 4.3.43 through 4.3.45 show the levels of excise taxes for beer, wine, and spirits across the 50 states and the District of Columbia. Exhibit 4.3.46 shows the ad valorem excise tax or sales tax adjusted ad valorem excise tax rates² for license states that have ad valorem excise

¹ “Spirits are taxed at the rate of \$13.50 on each proof gallon and a proportionate tax at the like rate on all fractional parts of a proof gallon. A proof gallon is one liquid gallon of spirits that is 50 percent alcohol at 60 degrees F. Distilled Spirits bottled at 80 proof (40 percent alcohol) would be 0.8 proof gallons per gallon of liquid and taxed at a rate of \$10.80 per gallon. Distilled Spirits bottled at 30 proof (15 percent alcohol) would be 0.3 proof gallons per gallon of liquid and taxed at a rate of \$4.05 per gallon.”

² The retail ad valorem excise tax minus the sales tax. Applicable only to states in which sales tax does not apply to alcoholic beverages in order to reflect the actual taxation rate.

Exhibit 4.3.43: Specific Excise Tax per Gallon on Beer as of January 1, 2015

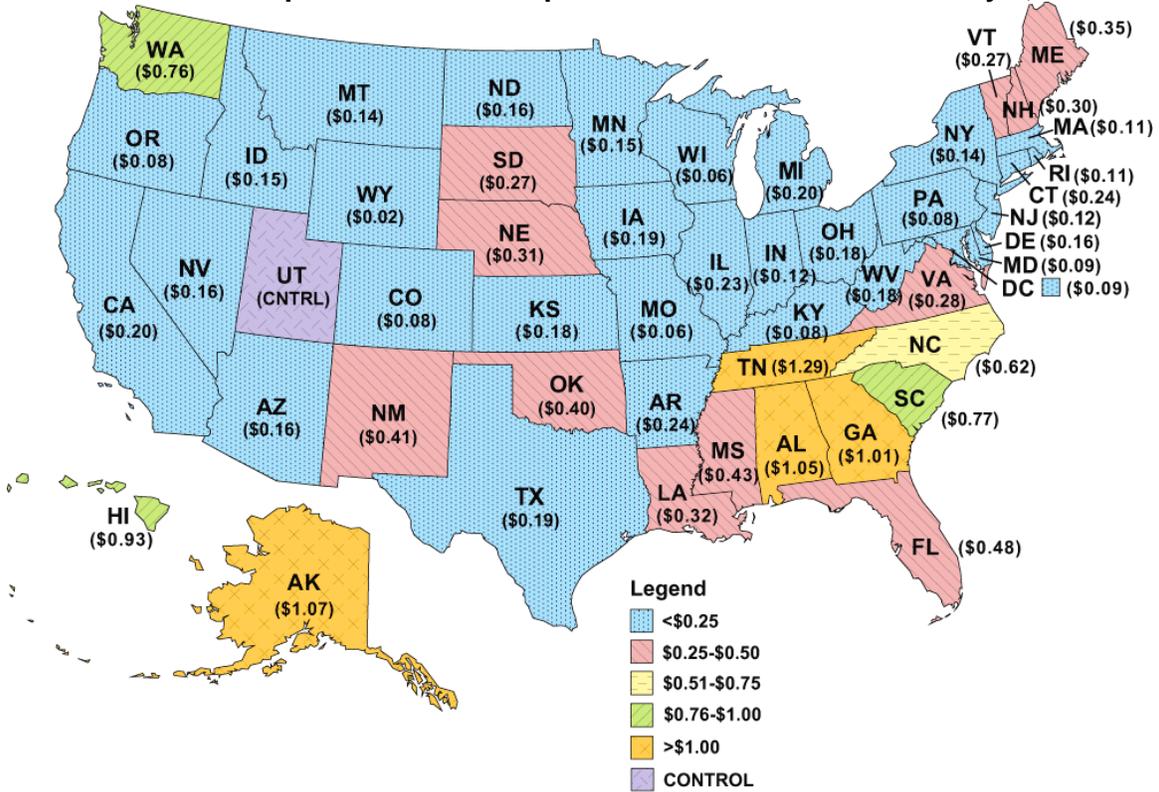


Exhibit 4.3.44: Specific Excise Tax per Gallon on Wine as of January 1, 2015

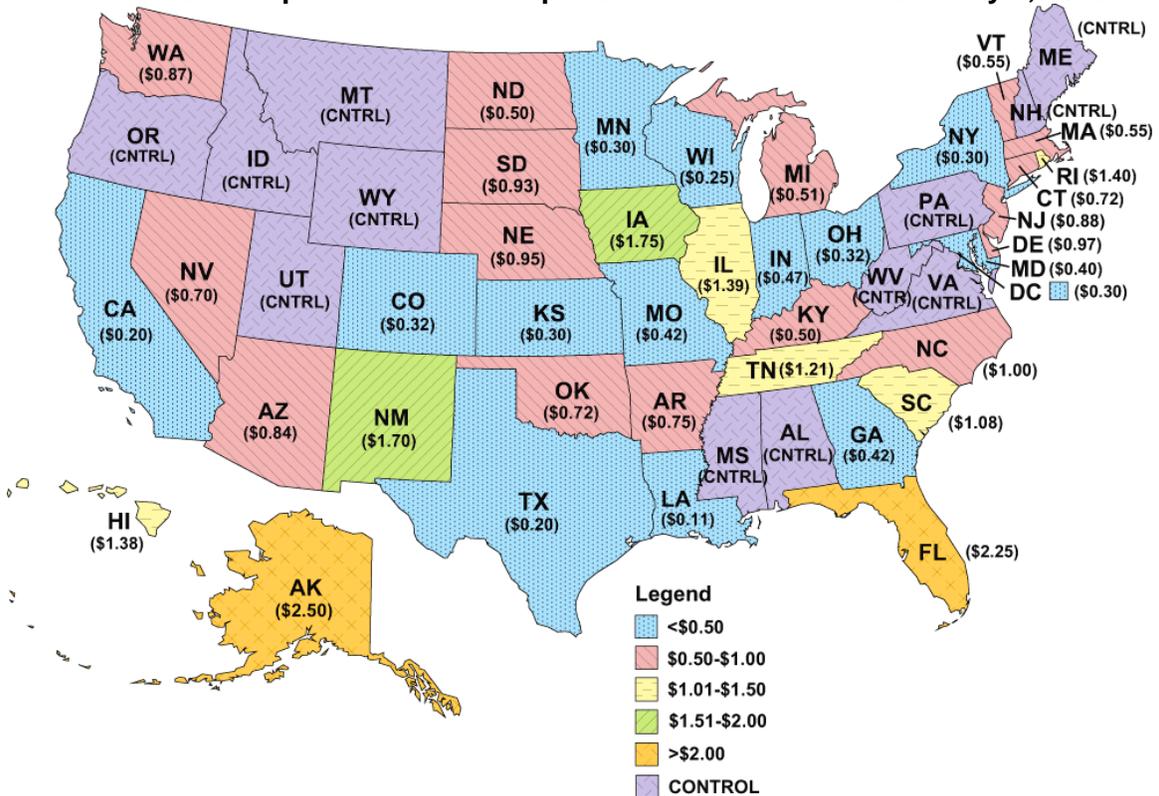


Exhibit 4.3.45: Specific Excise Tax per Gallon on Distilled Spirits as of January 1, 2015

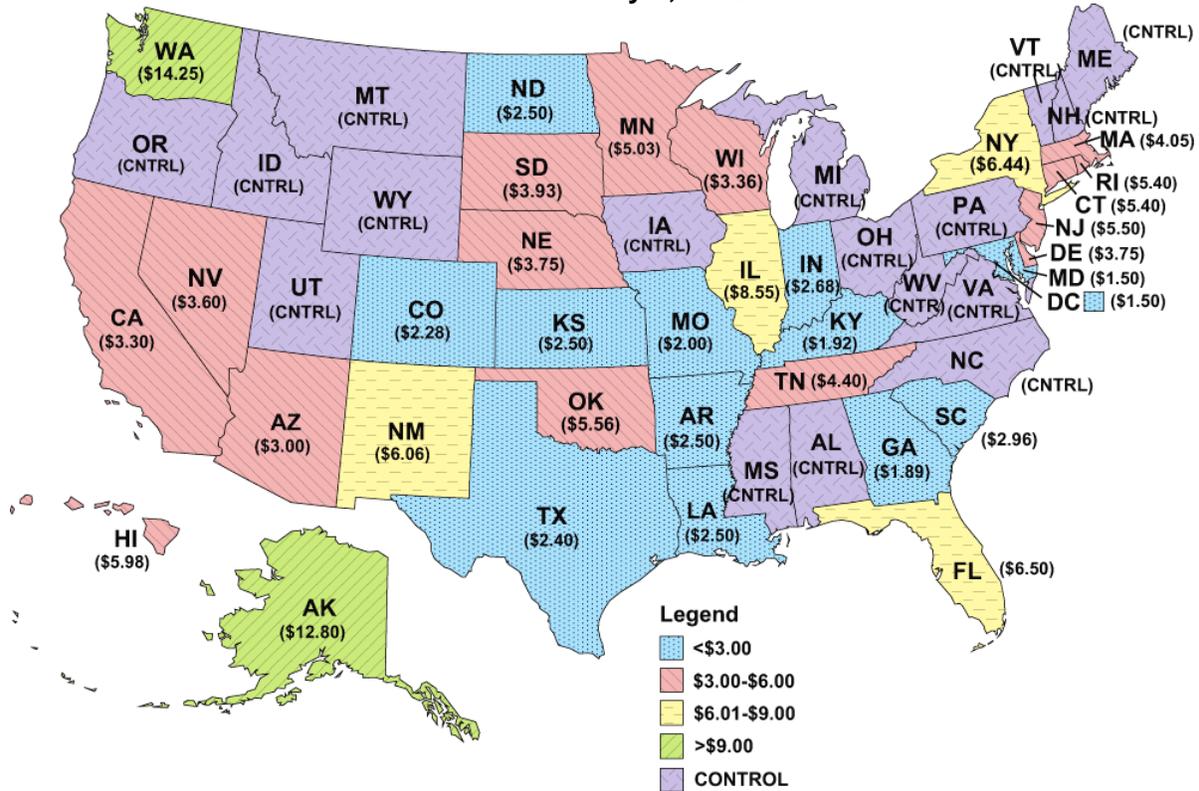
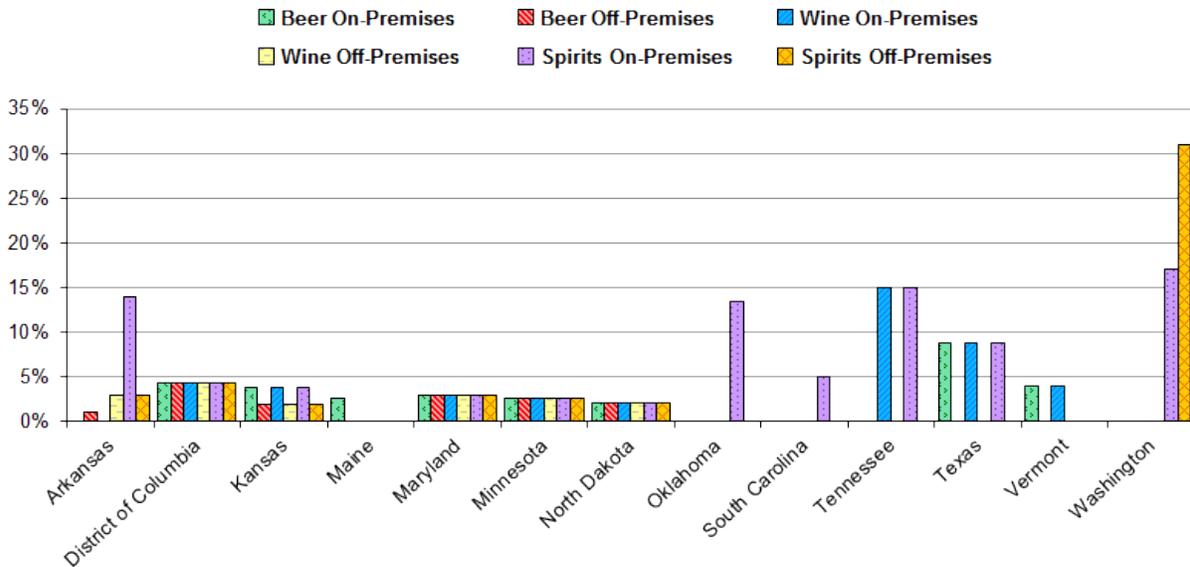


Exhibit 4.3.46: Sales Tax Adjusted Retail Ad Valorem Excise Tax Rates in License States as of January 1, 2015



taxes. These may be levied at on- or off-sale outlets and may be for beer, wine, and spirits. Beer ad valorem excise tax rates range from 1 to 17 percent for on- and off-premises sales. Wine rates range from 1.7 to 15 percent for on- and off-premises sales. Distilled spirit rates range from 2 to 31 percent for on- and off-premises sales. As shown in Exhibit 4.3.47, trade-off between retail ad valorem excise tax and sales tax is not uncommon.

Additionally, in 2011, voters in Washington approved Initiative Measure 1183, privatizing all aspects of the wholesale distribution and retail sale of beer, wine, and distilled spirits. The Initiative added a new section to the state's statutes on alcohol sales, which includes permitting retail licensees to sell spirits in original containers to consumers for off-premises consumption, and to licensees to sell spirits for on-premises consumption. It ended government involvement in beer and wine distribution and sales. Thus, Washington is no longer a control state.

Trends in Alcohol Taxes

Alcohol taxes have remained relatively constant for several decades. As can be seen in Exhibit 4.3.48, there have been limited tax increases or decreases in beer, wine, or spirits excise taxes since 2003. These changes do not reflect increases or decreases as a result of changes in sales tax adjusted ad valorem excise tax rates.³ During this period, there have been 37 tax rate increases across all jurisdictions.

Exhibit 4.3.47: Number and Percentage of States that Levy an Ad Valorem Excise Tax but Do Not Apply General Sales Tax

Beverage type	Type of ad valorem excise tax	Number of states that levy this ad valorem excise tax	Number of states that do not apply general sales tax when the ad valorem excise tax is levied	Percentage of states that do not apply general sales tax when the ad valorem excise tax is levied
Beer	Ad valorem excise tax: onsite	9	7	78
	Ad valorem excise tax: offsite	7	4	57
Wine	Ad valorem excise tax: onsite	10	6	60
	Ad valorem excise tax: offsite	9	4	44
Spirits	Ad valorem excise tax: onsite	13	5	39
	Ad valorem excise tax: offsite	9	5	56

³ The retail ad valorem excise tax minus the sales tax. Applicable only to states in which sales tax does not apply to alcoholic beverages in order to reflect the actual taxation rate.

Exhibit 4.3.48: Alcohol Tax Changes 2003–2015

		Beer		Wine		Spirits		Total
		Specific excise tax	Ad valorem excise tax	Specific excise tax	Ad valorem excise tax	Specific excise tax	Ad valorem excise tax	
Number of jurisdictions that:	Increased rates	9	4	9	4	7	4	37
	Decreased rates	1	2	1	1	0	1	6

References and Further Information

All data for this policy were obtained from the Alcohol Policy Information System (APIS) at <http://www.alcoholpolicy.niaaa.nih.gov>. Follow links to the policies titled “Alcohol Beverage Taxes – Beer,” “Alcohol Beverage Taxes – Wine,” and “Alcohol Beverage Taxes – Distilled Spirits.” APIS provides further descriptions of this policy and its variables, details regarding state policies, and a review of the limitations associated with the reported data. To see definitions of the variables for this policy, visit stopalcoholabuse.gov and go to Report to Congress, Supplemental Information, “Definitions of Variables.”

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Low-Price, High-Volume Drink Specials

Policy Description

Restrictions on low-price, high-volume drink specials regulate on-premises retailers in their use of various price-related marketing tactics such as happy hours, two-for-one specials, or free drinks that encourage heavier consumption. These promotions are particularly prevalent in college communities, where large numbers of underage students are present.

Research has examined the impact of on-premises retail drink specials on binge drinking among college students. For example, one study measured self-reported binge-drinking rates among college students from 119 colleges, conducted an assessment of marketing practices of on-premises outlets in neighboring communities, and determined whether these communities restricted low-price, high-volume drink specials. The results demonstrated that price-related promotions were significantly correlated with higher binge drinking and self-reported drinking and driving rates among students (Wechsler, Lee, Nelson, & Lee, 2003).

Based on this and other research, the *Surgeon General's Call to Action* concluded that “increasing the cost of drinking can positively affect adolescent decisions about alcohol use,” and recommended “[e]limination of low price, high-volume drink specials, especially in proximity to college campuses, military bases, and other locations with a high concentration of youth.”

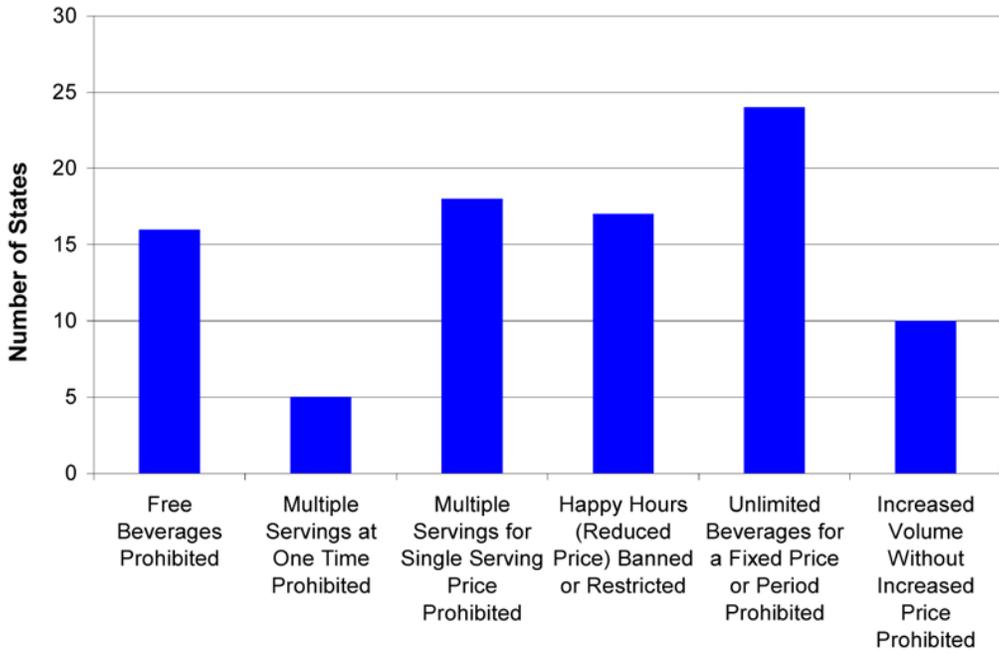
A state law concerning low-price, high-volume drink specials may prohibit or restrict the following practices:

1. Providing customers with free beverages either as a promotion or on a case-by-case basis (e.g., on a birthday or anniversary, as compensation for poor services)
2. Offering additional drinks for the same price as a single drink (e.g., two-for-ones)
3. Offering reduced-price drinks during designated times of day (“happy hours”)
4. Instituting a fixed price for an unlimited amount of drinks during a fixed period of time (e.g., “beat the clock” and similar drinking games)
5. Offering drinks with increased amounts of alcohol at the same price as regular-sized drinks (e.g., double shots for the price of single shots)
6. Service of more than one drink to a customer at a time

Status of Low-Price, High-Volume Drink Specials Law

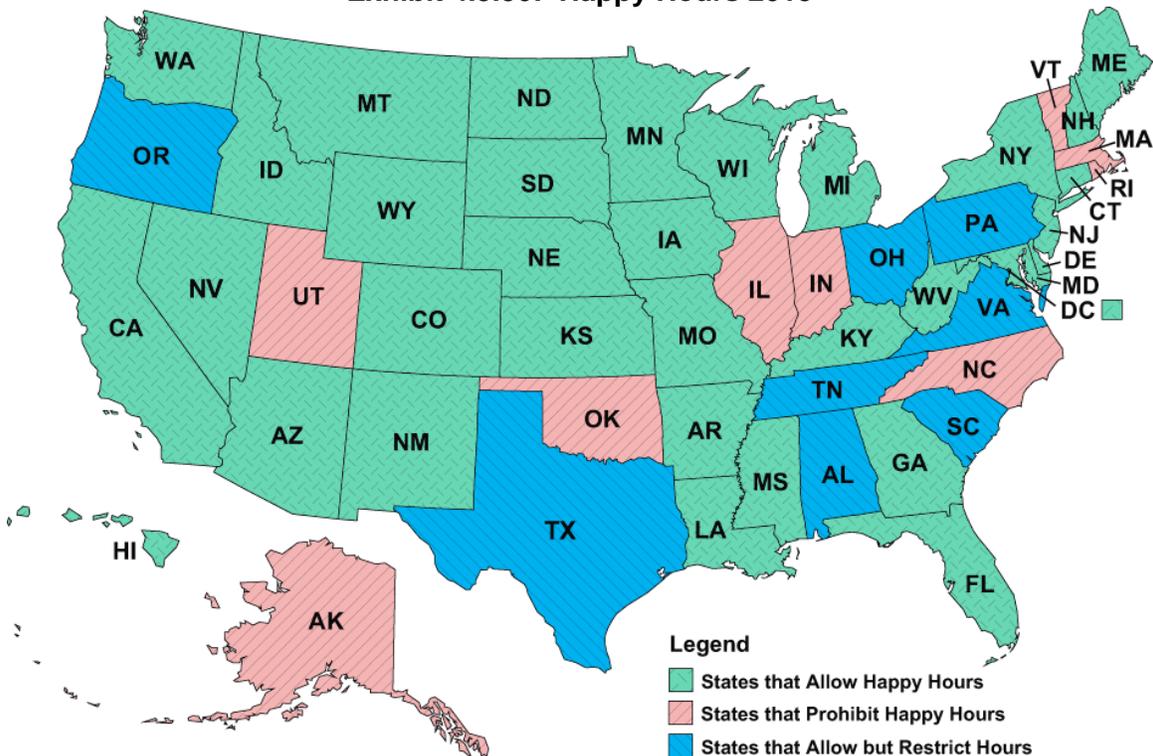
Exhibit 4.3.49 shows the number of states that prohibited the six low-price, high-volume specials listed above. Sixteen states prohibited *free beverages*. Six additional states (California, New Jersey, New Mexico, South Carolina, Texas, and Washington) allowed a licensee to offer a free drink on a case-by-case basis only (e.g., on a birthday or anniversary, as compensation for poor services). Four states prohibited *multiple servings at one time*. In one of these states (Tennessee), this prohibition applied only after 10 p.m. Eighteen states prohibited *multiple servings for single serving price*. Twenty-four states prohibited *unlimited beverages for a fixed price or period*. In one of these (Louisiana), this prohibition applied only after 10 p.m. Ten states prohibited *increased volume without increase in price*, with Tennessee making it unlawful after 10 p.m.

Exhibit 4.3.49: Number of States Prohibiting Various Low-Price, High-Volume Drink Specials



As can be seen in Exhibit 4.3.50, nine states prohibited *happy hours* (*reduced prices*). Eight additional states allowed happy hours but restricted the hours in which they may be offered.

Exhibit 4.3.50: Happy Hours 2015



Trends in Low-Price, High-Volume Drink Specials Law

Since 2011, one state (Pennsylvania) has increased the number of hours during which discounts may be offered. Since 2012, Kansas has changed its law to allow reduced-price drinks during designated times of day and increased volume of an alcoholic beverage.

References and Further Information

All data for this policy were obtained from the Alcohol Policy Information System (APIS) at <http://www.alcoholpolicy.niaaa.nih.gov>. Follow links to the policy titled “Drink Specials.” APIS provides further descriptions of this policy and its variables, details regarding state policies, and a review of the limitations associated with the reported data. To see definitions of the variables for this policy, visit stopalcoholabuse.gov and go to Report to Congress, Supplemental Information, “Definitions of Variables.” For further information and background, see:

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Wholesaler Pricing Restrictions

Policy Description

The 21st Amendment to the Constitution repealed Prohibition and gave states broad authority to regulate alcohol sales within their borders. Most states established a three-tier structure: producers, wholesalers, and retailers. Many states included restrictions on wholesaler pricing practices intended to strengthen the three-tier system, reduce price competition among wholesalers and retailers, and combat corruption and crime in the alcohol market.

Research suggests that the specific wholesaler pricing restrictions described below increase the price of alcohol to consumers. Research also shows that underage consumption and problems are strongly influenced by alcohol prices. One study has suggested that restrictions on certain wholesale pricing practices may have a stronger effect on alcohol pricing than do alcohol taxes.

Some states operate alcohol wholesale operations directly through a state agency, usually limited to distilled spirits, beer with high alcohol content, and wine with high alcohol content.¹ In these cases, the state sets wholesaler prices as part of its administrative function, and statutory provisions are relevant only to that portion of the wholesaler market in the control of private entities. For this policy, an index beverage has been selected: beer (5 percent), wine (12 percent), and spirits (40 percent). If the index beverage is controlled, in whole or in part, by the state at the wholesale level, the state is coded as CONTROL and no additional coding is displayed.

Types of Wholesaler Pricing Policies

In general, wholesaler pricing policies fall within four types: (a) restrictions on volume discounts; (b) restrictions on discounting practices; (c) price posting requirements; and (d) restrictions on the ability of wholesalers to provide credit extensions to retailers. These policy categories are closely interrelated but may operate independently of each other. Each is described briefly below.

Volume Discounting Restrictions

Large retailers often have an advantage over smaller retailers due to the large volumes they are able to purchase at once. This purchasing power allows them to negotiate lower prices on most commodities and therefore offer items at lower prices to consumers. Many states have imposed restrictions on the ability of wholesalers to provide volume discounts—the same price must be charged for products regardless of the amount purchased by individual retailers. The primary purpose of these laws is to protect small retailers from predatory marketing practices of large-volume competitors and to prevent corruption. They have a secondary effect of increasing retail prices generally by making retail price discounting more difficult.

Minimum Pricing Requirements

States may require wholesalers to establish a minimum markup or maximum discount for each product sold to retailers based on the producer's price for the product, or states may enact a ban against selling any product below cost. These provisions are designed to maintain stable prices

¹ For a state-by-state review of control state wholesaler systems, see <http://www.apis.niaaa.nih.gov>.

on alcohol products by limiting price competition at both retail and wholesale levels. In most cases, this increases the retail price to consumers, and thus affects public health outcomes.

Post-and-Hold Provisions

This policy requires wholesalers to publicly “post” prices of their alcohol products (i.e., provide a list of prices to a state agency for review by the public, including retailers and competitors) and hold these prices for a set amount of time, allowing all retailers the opportunity to make purchases at the same cost. Post-and-hold requirements are typically tied to minimum pricing and price discounting provisions and enhance the states’ ability to enforce those provisions. The wholesalers’ submissions can be reviewed easily to determine whether wholesalers are paying the proper taxes on their products and whether they are providing any illegal price inducements to retailers. Post-and-hold provisions reduce price competition among both retailers and wholesalers because the posted prices are locked in for a set amount of time. They also promote effective enforcement of other wholesaler pricing policies. Some states require wholesalers to post prices but have no “hold” requirement—that is, posted prices may be changed at any time. This is a weaker restriction.

Credit Extension Restrictions

Wholesalers often provide retailers with various forms of credit (e.g., direct loans or deferred payment of invoices). Many states restrict alcoholic beverage wholesalers’ ability to provide credit to retailers, typically by banning loans and limiting the period of time required for retailers to pay invoices. The primary purpose of the restrictions is to limit the influence of wholesalers on retailer practices. When a retailer is relying on a wholesaler’s credit, the retailer is more likely to promote the wholesaler’s products and to agree to the wholesaler’s demands regarding product placement and pricing. The restrictions have a secondary effect of limiting the retailer’s ability to operate on credit, indirectly increasing retail prices.

Federal Court Challenges to State Wholesaler Pricing Restrictions

As noted earlier, in general, states have broad authority under the 21st Amendment to the Constitution to regulate alcohol availability within their boundaries. That authority has been constrained by U.S. Supreme Court and Federal Court of Appeals cases, which have interpreted the Interstate Commerce Clause and Sherman Antitrust Act² to prohibit certain state restrictions on the alcohol market.^{3,4} These cases have led to considerable uncertainty regarding the validity

² July 2, 1890, ch. 647, 26 Stat. 209, 15 U.S.C. § 1-7.

³ See, e.g., *California Retail Liquor Dealers Ass’n v. Midcal Aluminum, Inc.*, 445 U.S. 97, 100 S.Ct. 937 (1980).

⁴ Several federal and state courts have addressed the constitutionality of selected wholesaler pricing practices, with conflicting results. For example, in *Costco Wholesale Corp. v. Maleng*, 522 F.3d 874 (9th Cir. 2008), the plaintiff challenged nine distinct Washington state restrictions governing wholesaler practices, including policies in all four categories described above. The court upheld the state’s volume discount and minimum markup provisions but invalidated the post-and-hold requirements. In *Manuel v. State of Louisiana*, 982 So.2d 316 (3rd Cir. 2008), a Louisiana appellate court rejected six separate challenges to the Sherman Act, including the ban on volume discounts. It upheld the state’s ability to regulate alcoholic beverages within the state and concluded that the Sherman Act had to yield to the state’s authority granted under the 21st Amendment. Maryland’s post-and-hold law and volume discount ban were challenged in *TFWS, Inc. v. Franchot*, 572 F.3d 186 (4th Cir. 2009), a complicated case involving multiple appeals and rehearings. On Maryland’s fourth appeal, the court upheld its previous decisions to strike down the two policies.

of state restrictions on alcohol wholesaler prices, and additional challenges to those restrictions are anticipated. In the meantime, this uncertainty has prompted states to reexamine their alcohol wholesaler practices provisions.

Status of Wholesaler Pricing Restrictions

Federal Law

Federal law addresses restrictions on wholesaler credit practices:

The Federal Alcohol Administration Act provides for regulation of those engaged in the alcohol beverage industry and for protection of consumers (27 U.S.C. § 201 et seq). Under the Act, wholesalers may not induce retailers to purchase beverage alcohol by extending credit in excess of 30 days from the date of delivery (27 U.S.C. § 205(b)(6), 27 C.F.R. § 6.65).

Some states allow wholesalers to extend credit to retailers for a longer period than is permitted under federal law.

State Law

Exhibits 4.3.51 through 4.3.54 show summary distributions of volume discounts, minimum markup/maximum discount, post and hold, and retailer credit for the license states (beer = 50 license states; wine = 43 license states; spirits = 34 license states).⁵ Only two license states (Alaska and Rhode Island) have no wholesaler pricing restrictions. Among the remaining states, bans on extending credit and post and hold (excluding post only) are the most common wholesaler pricing restrictions (ranging from about a fifth to about half the states depending on beverage type). Other restrictions range from under 10 percent of the license states to about a quarter of the states depending on beverage type.

Trends in Wholesaler Pricing Restrictions

No changes occurred between 2010 and 2015. Idaho removed wine from state control on July 1, 2011, and implemented a ban on retailer credit and volume discounts. A post-and-hold provision of 180 days also went into effect. On November 8, 2011, voters in Washington approved Initiative Measure 1183, which privatized all aspects of the wholesale distribution and retail sale of beer, wine, and distilled spirits effective December 8, 2011. Implementation occurred in 2012. Wholesaler pricing restrictions now ban volume discounts for beer and impose a price posting requirement. Sales below cost and retailer credit provisions are prohibited. Likewise, retailers may not purchase wine or spirits on credit. Spirits may not be sold below cost.

Exhibits 4.3.55 through 4.3.58 present detailed state-by-state information for wholesaler pricing policies for beer.

⁵ Comparisons among beverage types must be made with some caution, because the number of license states differs for each beverage.

Exhibit 4.3.51: Volume Discounts

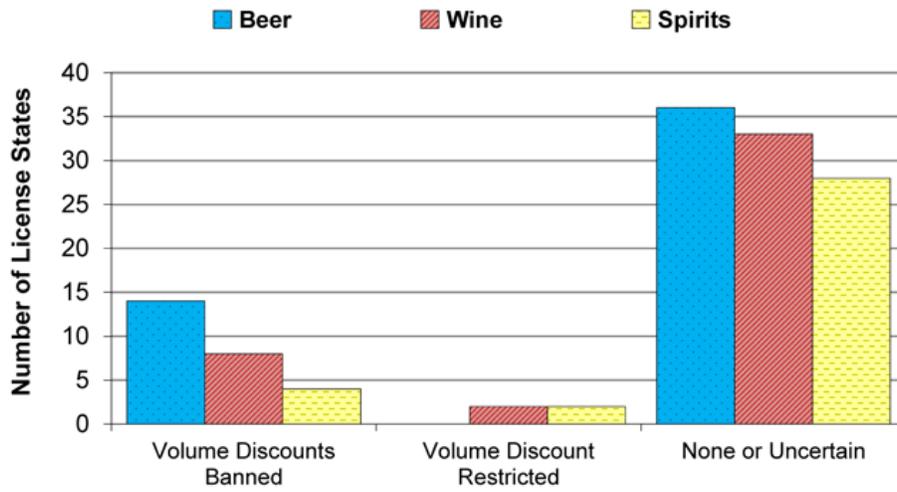


Exhibit 4.3.52: Minimum Markup/Maximum Discount

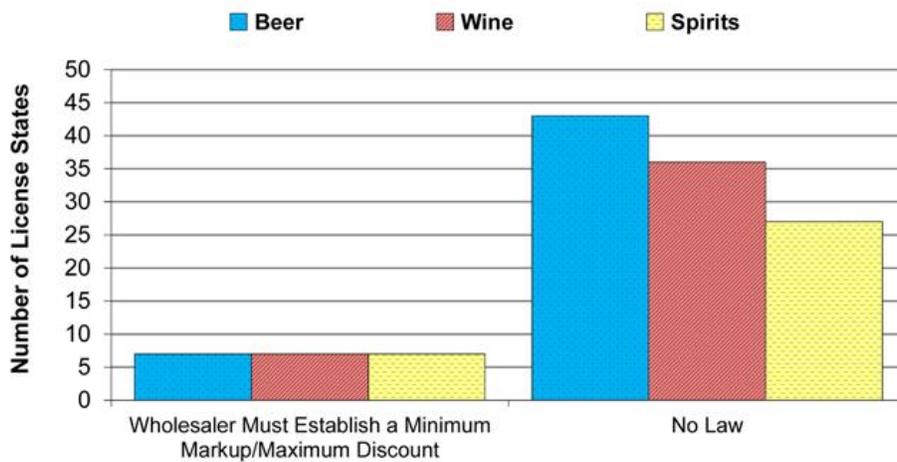


Exhibit 4.3.53: Post and Hold

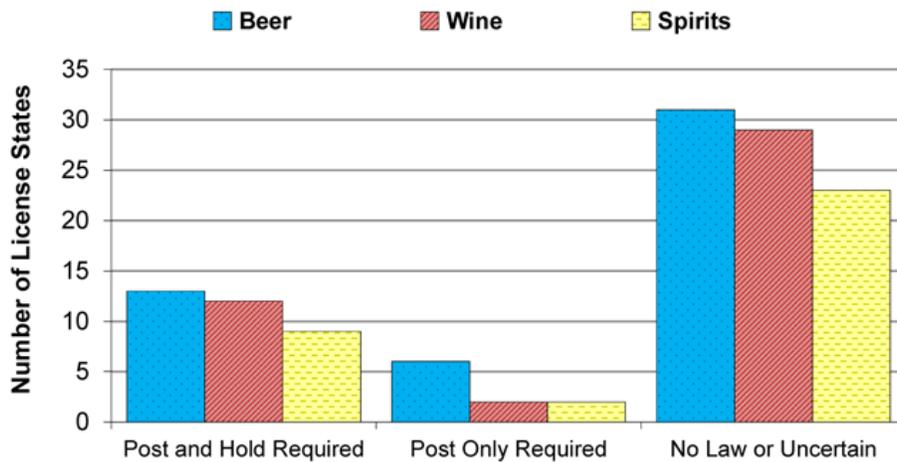


Exhibit 4.3.54: Retailer Credit

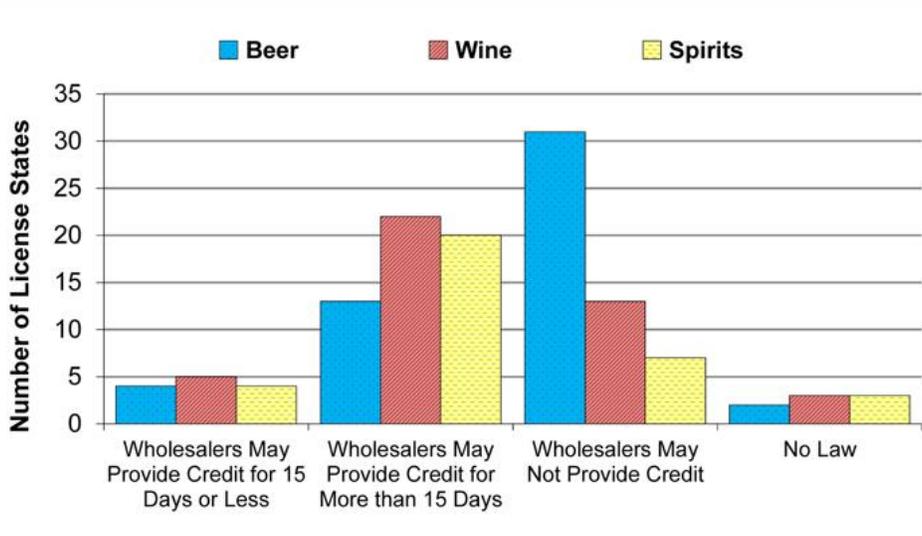


Exhibit 4.3.55: Volume Discounts for Beer as of January 1, 2015

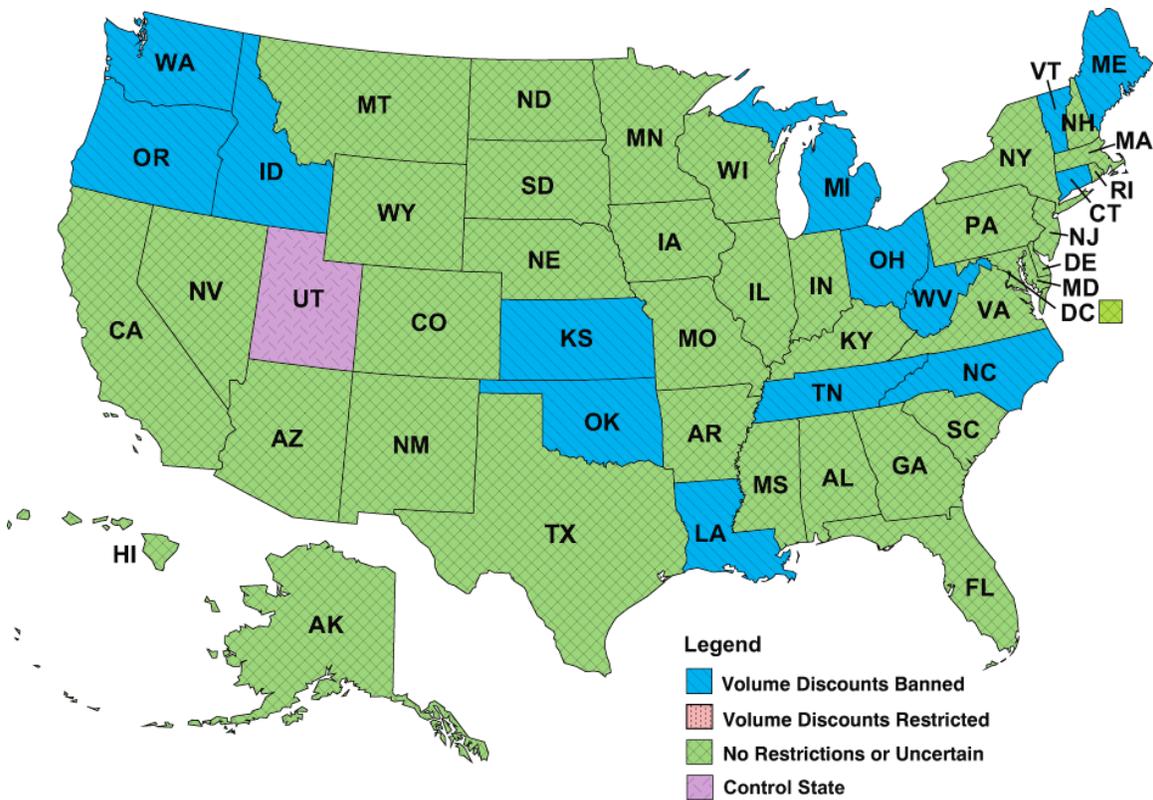


Exhibit 4.3.56: Minimum Markup, Maximum Discount for Beer as of January 1, 2015

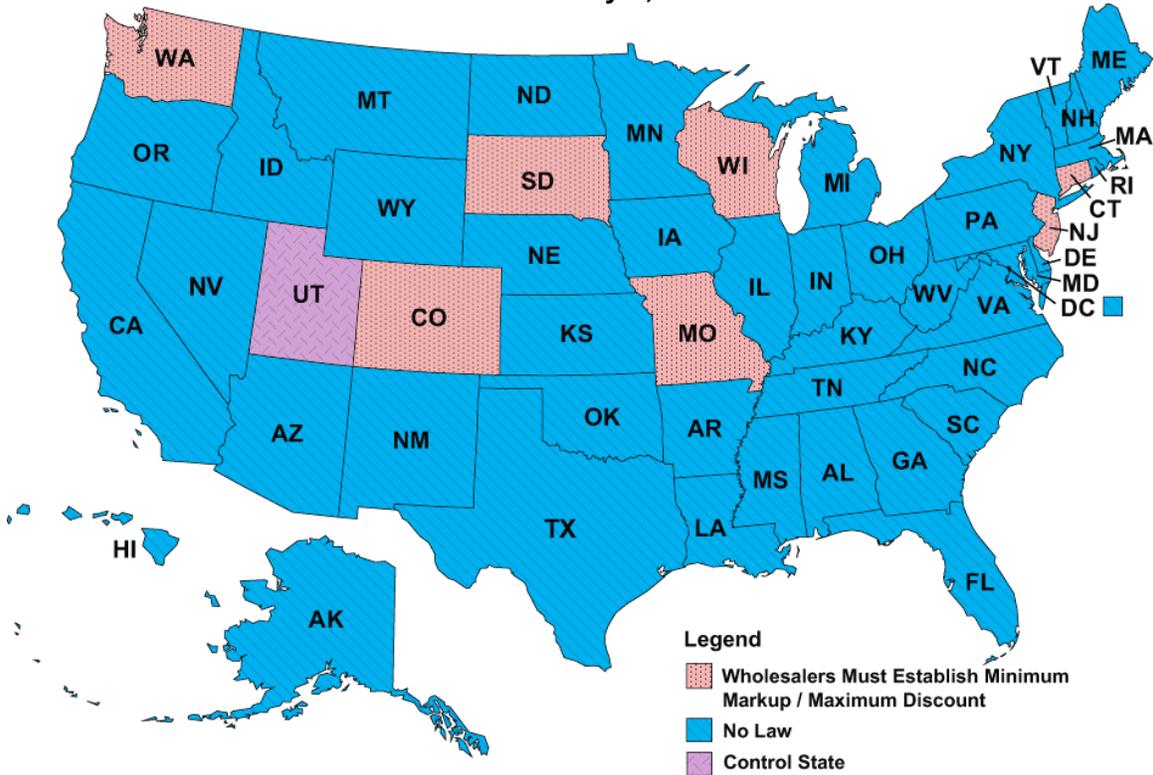
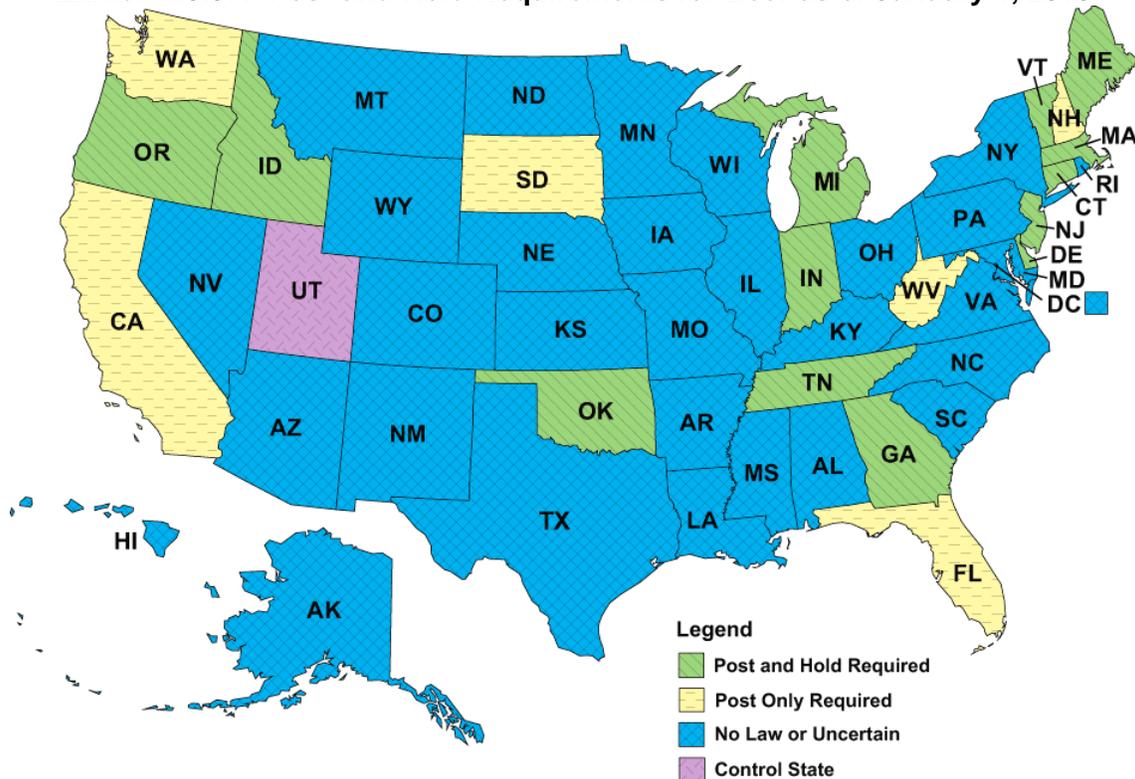


Exhibit 4.3.57: Post-and-Hold Requirements for Beer as of January 1, 2015



CHAPTER 5

Evaluation of the National Media

Campaign: *Talk. They Hear You.*

Background

“Talk. They Hear You.” is the Underage Drinking Prevention National Media Campaign of the Substance Abuse and Mental Health Services Administration’s (SAMHSA’s) Center for Substance Abuse Prevention (CSAP).

Underage drinking remains a national public health issue with serious implications, especially among adolescents. SAMHSA is responsible for leading public health efforts to reduce the impact of substance abuse and mental illness on American communities.

The “Talk. They Hear You.” earned media campaign responds to directives set forth in Section 2(d) of the STOP Act, requiring the Secretary of the U.S. Department of Health and Human Services to fund and oversee a national adult-oriented media public service campaign and to report annually on the production, broadcasting, and evaluation of this campaign. The goal of the national media campaign is to reduce underage drinking by providing parents and caregivers of children ages 9 to 15 with information and resources to discuss the issue of alcohol with their children.

“Talk. They Hear You.” adds to the current knowledge base about underage drinking prevention. It also empowers parents to address the issue by increasing their level of comfort with the topic and encouraging open communication with their children.

During campaign development, parents, youth, and stakeholders provided feedback on all aspects of concept and message development. In 2012, SAMHSA conducted a national pilot program to test and refine the campaign’s creative materials and objectives at five sites across National Prevention Network (NPN) Regions, including:

- People Reaching Out (Western NPN Region)
- Metropolitan Drug Commission (Southeast NPN Region)
- Asian Health Coalition (Central NPN Region)
- Summit Prevention Alliance (Southwest NPN Region)
- Erie County Council (Northeast NPN Region)

Sites were asked to incorporate campaign materials in ongoing underage drinking education activities and events and to provide feedback on campaign messaging and materials. Pre- and post-exposure surveys were conducted to evaluate prelaunch effectiveness of campaign materials. In addition, a small sample provided qualitative feedback on the content, layout, and delivery of campaign messages. Feedback received during this market testing was incorporated into final campaign materials prior to launch.

Officially launched in May 2013, the “Talk. They Hear You.” campaign objectives include:

1. Increasing parents’ *awareness of the prevalence and risk* of underage drinking
2. Equipping parents with the *knowledge, skills, and confidence* to prevent underage drinking
3. Increasing parents’ *actions to prevent underage drinking*.

Target Audience

Alcohol use by those younger than the legal age of 21 remains a serious public health and safety problem, undermining the well-being of America’s youth. Approximately 10 percent of youth

ages 9 and 10 report having consumed more than a few sips of alcohol (Donovan et al., 2004), and more than 20 percent of underage drinkers begin drinking before age 13 (CDC, 2012). Nine percent of 14- to 15-year-olds used alcohol in the last month (SAMHSA, 2014b).

As noted, SAMHSA’s “Talk. They Hear You.” campaign focuses on encouraging parents to begin conversations about alcohol with children at an early age, when the likelihood of influencing children’s decisions about drinking is greatest (Office of the Surgeon General, 2007). The campaign draws from social marketing and health education behavior theories, feedback from audiences across the country, and the latest scientific research.

Parents have a significant influence on young people’s decisions about alcohol consumption. Parental attitudes toward drinking as well as parental communication have a significant impact on adolescent alcohol use, particularly among younger adolescents (Ennet et al., 2001; Wood et al., 2004). Although most adults support public policy aimed at reducing youth access to alcohol, there is significant evidence that parents are unaware of the pervasiveness and risk of underage drinking (NRC and IOM, 2004). Parents who know about underage alcohol use can take action to protect their children from many of the high-risk behaviors associated with it. Through a direct association with adolescent perceptions and cognition, parental beliefs and communication about the acceptability of underage drinking may positively impact use of alcohol in youth (Sieving, Maruyama, Williams, & Perry, 2000), suggesting that parental interaction with youth regarding underage drinking may provide a unique opportunity for early intervention and prevention.

Campaign Components

“Talk. They Hear You.” messages and materials are disseminated through radio, television, and print public service announcements (PSAs), social media, the campaign website, partner networks, and direct outreach. Campaign messages:

- Emphasize the importance of parents talking to their kids about underage drinking before they reach the age range when alcohol use typically begins (before age 15).
- Offer advice to parents about preparing children to deal with peer pressure issues that may lead to alcohol abuse.
- Highlight underage drinking statistics that are likely to catch parents’ attention.
- Focus on helping parents address the issue of underage drinking in a manner that emphasizes their children’s ability to make autonomous decisions.
- Model behaviors and situations when parents can begin the conversation about the dangers of alcohol with their children.



Public Service Announcements

“Talk. They Hear You.” PSAs show parents using everyday opportunities to talk with their children about alcohol and reinforce the importance of starting these conversations at an early age. PSAs direct viewers/listeners to the campaign website (<http://www.samhsa.gov/underage-drinking>) for additional information and tools, as well as downloadable versions of video, radio, and print PSAs. A select number of these materials are currently available in both English and Spanish; Spanish-language versions of the remaining materials are being developed and will be released in the next year. A series of print PSAs directed at Native American audiences has also been distributed to markets in Alaska, Arizona, and Oklahoma. Since the campaign launched in 2013, “Talk. They Hear You.” television and print PSAs have collectively garnered more than 5.3 billion impressions. Distribution has generated an estimated \$52 million in free air time and ad space.

Partner Networks

The media campaign works with more than 40 local, state, and national partners to support outreach and dissemination of campaign materials across the United States. Partners include other government agencies as well as prevention, retail, healthcare, community, and school-based organizations. In addition to PSAs, promotional materials include infographics, web banners, buttons, and a scannable Quick Response (QR) code for promoting the campaign on partner websites. These materials were created and provided to partners for display and distribution to parents and community members, along with talking points, fact sheets, infographics, draft social media messages, and email templates to ensure consistent outreach to parents and community members.



CADCA is an example of a partner organization that is leveraging the campaign to benefit communities across the country.

Website

The “Talk. They Hear You.” website provides a centralized resource for all campaign information and products. Materials and information are organized by visitor category: parent/caregiver, partner, or media. Educational and informational documents provide facts and statistics on the problem and consequences of underage drinking, risk factors, warning signs, and suggestions for actions parents and educators can take to help protect children and strengthen

decisionmaking skills. A Spanish version of the site (<http://www.samhsa.gov/hable-ellos-escuchan>) launched in March 2016.

Parents can use an interactive “create your own” action plan to generate tips on when and how to talk to children about alcohol that are tailored to a child’s gender and age, and download a family agreement template that enables parents and children to pledge their commitment to avoid underage drinking together. Other tools include answers to children’s frequently asked questions about alcohol and five primary conversational goals for parents emphasizing the importance of:

- Indicating disapproval of underage drinking.
- Demonstrating concern for their child’s happiness and well-being.
- Establishing themselves as a trustworthy source of information.
- Showing children they are paying attention and will notice alcohol use.
- Building children’s skills and strategies for avoiding underage drinking.

Through the duration of the campaign, underage drinking prevention pages on SAMHSA.gov garnered 7,662 page views from 3,374 visits—reflecting a 63 percent increase in traffic compared with the prior month. Almost 700 of these page views of the “Talk. They Hear You.” website were tracked via SAMHSA coding. The Thunderclap campaign (see below) was an especially effective referral platform, driving 569 of these tracked page views (more than 80 percent).

The screenshot shows the SAMHSA website interface. At the top, there is a search bar and navigation links for Home, Newsroom, Site Map, and Contact Us. Below the SAMHSA logo, there is a navigation menu with categories like Find Help, Topics, Programs & Campaigns, Grants, Data, Priorities, About Us, and Publications. The main content area features a large banner for the "Talk. They Hear You." campaign, with the text "Underage Drinking Prevention". Below the banner, there is a section titled "Talk. They Hear You." with a video player and a "Check out the PSAs" button. To the right, there are sections for "In the News", "Featured Resources", and "Take Action". The "Take Action" section includes a "5 Conversation Goals" graphic and an "Action Plan" graphic.

“Talk. They Hear You.” materials available on SAMHSA website.

Mobile Application

Newly available to parents in 2015 is a mobile application (“Talk. They Hear You.”) available through Google Play™, the Windows® Store, and the App Store®. The app features an interactive simulation using avatars to help parents practice bringing up the topic of alcohol, asking relevant questions, and keeping the conversation going in a role-play environment. The app has been downloaded 3,895 times as of February 2016.

After the “Talk. They Hear You.” mobile app was launched in March 2015, the application was promoted through paid advertising on Google Search, Google mobile display,⁴⁶ and Facebook. Ads drove target audiences to the underage drinking prevention website and to platforms from which the app could be downloaded. Paid ads generated 272,299 clicks and 5,940,224 impressions.



“Talk. They Hear You.” mobile app.

In late 2015, the “Talk. They Hear You.” campaign launched the #WeTalked campaign on Thunderclap, a platform that helps amplify social cause messages in social media. The campaign encouraged parents, caregivers, and organizations to pledge to talk to children about underage drinking and to encourage others to do the same. The campaign reached more than 2.3 million social media users across the country.

Campaign Evaluation Strategy

Evaluation of the effectiveness of the “Talk. They Hear You.” media campaign relies on the establishment of a correlation between parent/caregiver exposure to campaign materials and a change in knowledge, attitudes, and behavior to affect the prevention of underage drinking.

SAMHSA is planning to conduct a large-scale national survey of parents/caregivers of children ages 9 to 15—in addition to conducting a series of forced-exposure case studies—to investigate whether such a correlation exists. To determine the feasibility of a large-scale national survey, SAMHSA recently conducted a pilot survey and is in the process of conducting a series of focus groups. The pilot survey and focus group findings will help to:

- Determine whether campaign materials are being seen, retained, and applied by sufficient numbers of the target population to make a national survey sampling practical.
- Determine, within the limited frame of the pilot study, whether the questions elicit differences in responses between parents and caregivers who have and have not been exposed to the campaign.
- Refine data collection procedures and survey questions.
- Identify an appropriate timeframe for administration of a national survey.

At the completion of this round of research, SAMSHA will repeat the pilot survey and focus groups with Spanish-speaking parents/caregivers of children ages 9 to 15. SAMHSA will use the results of both pilot surveys and focus groups to finalize the national survey, which it will then administer in both English and Spanish.

⁴⁶ Google mobile display allows placement of ads in relevant mobile apps based on targeting parameters. In addition to targeting users by age, gender, and placements (specific apps), mobile display also allows the campaign to show ads in apps within relevant categories, such as parenting and health. This functionality enabled the campaign to reach a more qualified audience.

Pilot Study

Questions included in the pilot survey were designed to (1) quantify parent and caregiver awareness of the campaign and retention of campaign messages and (2) determine whether parents and caregivers have used the campaign materials in talking to their children. SAMHSA administered the 28-item pilot survey online through the Qualtrics[®] Survey Suite to a panel of parents and caregivers of children ages 9 to 15 living in the six geographic locations targeted for intensive campaign outreach: Atlanta, GA; Los Angeles, CA; Manhasset, NY; Oklahoma City, OK; Phoenix, AZ; and Washington, DC.

Because the survey was intended to provide both preliminary information about campaign reach and retention as well as information addressing the quality of the survey itself, the panel purchased from Qualtrics[®] included a requirement that approximately one third of respondents had been exposed to campaign materials. A total of 227 people responded to the online survey in order to obtain 48 qualified respondents (approximately 23 percent) who had been exposed to the campaign in the six geographic regions. Of those 227 respondents, 16 were disqualified because they were not parents of children currently ages 9 to 15, and 58 were eliminated because they did not fulfill the quota regarding exposure to the campaign. Complete responses were provided from a total of 153 parents and caregivers with children ages 9 to 15.

The pilot survey provided important findings about the feasibility of conducting a national survey. For example, the pilot survey provided information on campaign exposure—approximately 23 percent of parents and caregivers of children ages 9 to 15 in the six geographic regions who were part of the panel had heard of the campaign. This finding suggests it will be possible to develop a nationally representative sample of enough respondents who have heard of the campaign to measure any possible correlations between exposure to the campaign and knowledge, skills, or behaviors regarding talking to children about underage drinking.

In addition to the feasibility of developing a nationally representative sample, the pilot survey also provided information about the potential of the survey to detect differences in responses between parents and caregivers who had been exposed to the campaign and those who had not. For example, of those parents who had heard of the campaign, 69 percent said they were “somewhat” or “very much” concerned about their child/children drinking alcohol, compared with 44 percent who had not heard of the campaign ($p < 0.05$).^{47 48} Because the pilot survey was distributed to a small, targeted sample that was not selected to be representative of the general population, this finding is not generalizable to the overall population and should not be interpreted as an evaluation of the campaign as a whole.

Together with the focus group discussion findings, the pilot survey results will be used to further refine the survey instrument and the data collection procedures for the national survey.

⁴⁷ This bivariate relationship was tested using a standard Pearson’s Chi-Square test of significance.

⁴⁸ It should be noted that selective exposure may have been a factor in this finding as parents who are concerned about their children drinking alcohol may have been more likely to pay attention to the campaign materials than parents who are not concerned about their children drinking alcohol.

National Survey and Forced-Exposure Case Studies

To establish a correlation between parent/caregiver exposure to campaign materials and a change in knowledge, attitudes, and behavior to affect the prevention of underage drinking, the national survey will:

- Examine campaign reach and exposure to determine whether a sufficient number of adults with children in the targeted age range have been exposed to campaign messaging and materials.
- Evaluate whether parents exposed to campaign messaging and materials report increased knowledge and skills and/or changes in behavior regarding talking to their children about alcohol after seeing the materials.

As with the pilot survey, SAMHSA will administer the nationally representative survey online in both English and Spanish using the Qualtrics[®] Survey Suite. The questions will be refined—based on pilot survey and focus group findings—to determine whether parents/caregivers have seen and remembered campaign materials (whether the campaign marketing strategy has been effective), and whether parents/caregivers exposed to campaign materials reported changes in awareness, attitudes, and behaviors surrounding the problem of underage drinking.

SAMHSA will also conduct forced-exposure case studies in selected school sites in areas that have currently had limited campaign outreach to supplement findings from the national survey. Case studies will include baseline surveys of parents and children ages 9 to 15, followed by intensive exposure to campaign materials, and postexposure surveys of parents and children. SAMHSA will also conduct focus groups and interviews with parents to identify details on specific campaign content and its usefulness for discussing underage drinking with children. Where national survey data will provide an evaluation of overall campaign information exposure and retention across the United States, case studies will explore details of how exposure to the “Talk. They Hear You.” campaign affects parent and student attitudes and behaviors at the target sites. Inclusion of student pre- and postexposure surveys will also allow SAMHSA to identify trends in correlations between changes in parent behavior and changes in youth behavior. Together, these sources of information will allow an estimation of overall campaign impact.

Conclusions

To determine whether a relationship exists between parent/caregiver exposure to “Talk. They Hear You.” campaign materials and a change in knowledge, attitudes, and behavior regarding the prevention of underage drinking, SAMHSA will conduct a large-scale national survey of parents and caregivers of children ages 9 to 15 and a series of forced-exposure case studies. Meaningful assessment of the effect of exposure to campaign messages and materials on parents requires sufficient time for the media campaign to reach a significant number of parents with children in the targeted age range across the United States. Currently, SAMHSA is completing preliminary evaluation of both the reach and effectiveness of campaign materials through use of both English- and Spanish-language versions of the pilot survey and focus groups. Findings from the English-language pilot survey suggest that campaign reach is sufficient to make deployment of the national survey feasible in 2017. Results from the Spanish-language pilot survey will provide additional information on campaign reach, and together these data will inform the sampling plan for the national survey.

Combined results from both the English- and Spanish-language versions of the pilot survey and focus groups will also be used to develop a more robust national survey of parents and caregivers and to refine data collection procedures and data collection instruments used in the forced-exposure case studies. Together, national survey data and the forced-exposure case study data will be used to estimate overall campaign impact.

STATE REPORTS
(Alabama-Montana)



Alabama

State Population: 4,849,377

Population Ages 12–20: 581,000

	Percentage	Number
Ages 12–20		
Past-Month Alcohol Use	19.9	115,000
Past-Month Binge Alcohol Use	12.7	74,000
Ages 12–14		
Past-Month Alcohol Use	5.2	10,000
Past-Month Binge Alcohol Use	3	6,000
Ages 15–17		
Past-Month Alcohol Use	17.6	34,000
Past-Month Binge Alcohol Use	11.3	22,000
Ages 18–20		
Past-Month Alcohol Use	36.3	72,000
Past-Month Binge Alcohol Use	23.4	46,000
Alcohol-Attributable Deaths (under 21)		94
Years of Potential Life Lost (under 21)		5,662
	Percentage of All Traffic Fatalities	Number
Traffic Fatalities, 15- to 20-Year-Old Drivers with BAC > 0.01	20	21

Laws Addressing Minors in Possession of Alcohol

Underage Possession	
Is underage possession of alcoholic beverages prohibited?	Yes
Are there exceptions based on family relationships?	
• Is possession allowed if parent or guardian is present or consents?	No
• Is possession allowed if spouse is present or consents?	No
Is there an exception based on location?	No

Underage Consumption	
Is underage consumption of alcoholic beverages prohibited?	Yes
Are there exceptions based on family relationships?	
• Is consumption allowed if the parent or guardian is present or consents?	No
• Is consumption allowed if the spouse is present or consents?	No
Is there an exception based on location?	No

Underage Internal Possession	
Is underage internal possession of alcoholic beverages prohibited?	No law
Are there exceptions based on family relationships?	
• Is internal possession allowed if the parent or guardian is present or consents?	N/A
• Is internal possession allowed if the spouse is present or consents?	N/A
Is there an exception based on location?	No

Underage Purchase and Attempted Purchase	
Is the purchase of alcoholic beverages prohibited?	Yes
May youth purchase for law enforcement purposes?	Yes

False Identification for Obtaining Alcohol	
Provisions Targeting Minors	
Is the use of false identification (ID) prohibited?	Yes
Does the use of a false ID result in minor's driver's license suspension?	Yes, through a judicial process
Provisions Targeting Suppliers	
Is the lending or transferring or selling of a false ID prohibited?	No
Is the production of a false ID in the context of underage alcohol sales specifically prohibited?	No
Retailer Support Provisions	
Is there an incentive for the retailer to use electronic scanners for information digitally encoded on valid IDs?	No
Are state driver's licenses for persons under 21 easily distinguishable from licenses for persons 21 and over?	No
May retailers seize apparently false IDs without fear of prosecution even if the ID is ultimately deemed valid?	No
Does an affirmative defense exist for the retailer?	No

• Is it a specific affirmative defense (retailer reasonably believed ID was valid after examining it)?	N/A
• Is it a general affirmative defense (retailer reasonably believed purchaser was over 21)?	N/A
Does the retailer have the right to sue the minor for use of a false ID?	No
May a retailer detain a minor who used a false ID?	No

Laws Targeting Underage Drinking and Driving

Youth Blood Alcohol Concentration Limits (Underage Operators of Noncommercial Motor Vehicles)	
What is the maximum blood alcohol concentration (BAC) limit for an underage driver of a motor vehicle?	0.02
Does a BAC level in excess of limit automatically establish a violation (per se violation)?	Yes
What is the minimum age to which the limit applies?	0
What is the maximum age to which the limit applies?	21

Loss of Driving Privileges for Alcohol Violations by Minors (“Use/Lose” Laws)	
Is there a “use/lose” law that suspends or revokes a minor’s driving privileges for alcohol violations?	Yes
What types of violation lead to license suspension or revocation?	
• Purchase of alcohol	Yes
• Possession of alcohol	Yes
• Consumption of alcohol	Yes
The law applies to people under what age?	21
Is suspension or revocation mandatory or discretionary?	Mandatory
What is the length of suspension/revocation?	
Minimum number of days	90
Maximum number of days	180

Graduated Driver’s Licenses	
Learner Stage	
What is the minimum age for permit to drive with parents, guardians or other adults (other than instructors)?	15
What is the minimum number of months driver must hold learner permit before advancing to intermediate stage?	6
What is the minimum number of hours of driving with parents, guardians, or adults before advancing to intermediate stage?	0 (with driver education; 30 hours without)
Intermediate Stage	
What is the minimum age for driving without adult supervision?	16
For night driving, when does adult supervision requirement begin?	12 am
Can law enforcement stop a driver for night-driving violation as a primary offense?	No – Officer must stop driver for another offense to cite for night-driving violation
Are there restrictions on passengers?	Yes – No more than one passenger who is not a parent,

	guardian, family member, or person at least 21 years old
Can law enforcement stop driver for violation of passenger restrictions as a primary offense?	No – Officer must stop driver for another offense to cite for passenger restriction violation
License Stage	
What is the minimum age for full license privileges and lifting of restrictions?	17

Laws Targeting Alcohol Suppliers

Furnishing Alcohol to Minors	
Is furnishing of alcoholic beverages to minors prohibited?	Yes
Are there exceptions based on family relationships?	
• Is furnishing allowed if the parent or guardian supplies the alcohol?	No
• Is furnishing allowed if the spouse supplies the alcohol?	No
Is there an exception based on location?	No
Affirmative Defense for Sellers and Licensees	
Does law require seller/licensee to be exonerated of furnishing to a minor if the minor has not been charged?	No

Compliance Check Protocols	
Does the state have a written protocol for when an underage decoy is used in compliance checks?	No data
What is the minimum age a decoy may be to participate in a compliance check?	N/A
What is the maximum age a decoy may be to participate in a compliance check?	N/A
What are the decoy’s appearance requirements?	N/A
Does decoy carry ID during compliance check?	N/A
May decoy verbally exaggerate his or her actual age?	N/A
Is decoy training mandated, recommended, prohibited, or not specified?	N/A

Penalty Guidelines for Sales to Minors	
Are there written guidelines for penalties imposed on retailers for furnishing to a minor?	No data
What is the time period for defining second, third, and subsequent offenses?	N/A
What is the penalty for the first offense?	N/A
What is the penalty for the second offense?	N/A
What is the penalty for the third offense?	N/A
What is the penalty for the fourth offense?	N/A

Responsible Beverage Service (RBS)	
Is there a state law pertaining to beverage service training?	Yes – Voluntary
If training is mandatory, who must participate?	N/A
If training is voluntary, which of the following incentives are offered?	
• Defense in dram shop liability lawsuits	No
• Discounts in dram shop liability insurance, license fees, or other	No

• Mitigation of fines or other administrative penalties for sales to minors or intoxicated persons	Yes
• Protection against license revocation for sales to minors or sales to intoxicated persons	Yes
Does the RBS law apply to on-premises establishments (such as bars and restaurants) or off-premises establishments (such as liquor stores)?	Both
Does the RBS law apply to new or existing licensees?	Both

Minimum Age for Sellers of Alcohol – Off-Premises (i.e., Liquor Stores)	
What is the minimum age requirement for off-premises retail establishments?	
Beer	None
Wine	None
Spirits	21
Does a manager or supervisor have to be present?	Yes
<i>Note: A minor employee of an off-premises retail licensee may handle, transport, or sell beer or table wine, provided there is an adult employee in attendance at all times.</i>	

Minimum Age for Alcohol Servers and Bartenders – On-Premises (i.e., Restaurants and Bars)	
What is the minimum age requirement for servers in on-premises establishments?	
Beer	19
Wine	19
Spirits	19
What is the minimum age requirement for bartenders in on-premises establishments?	
Beer	21
Wine	21
Spirits	21
Does a manager or supervisor have to be present?	Yes

Alcohol Outlet Siting Near Schools and Universities	
Colleges and Universities	
Is there a distance requirement for off-premises outlets (i.e., liquor stores)?	Yes, within 1 mile
Is there a distance requirement for on-premises outlets (i.e., restaurants and bars)?	Yes, within 1 mile
To which alcohol products does requirement apply?	Beer, wine, spirits
Primary and Secondary Schools	
Is there a distance requirement for off-premises outlets (i.e., liquor stores)?	No
Is there a distance requirement for on-premises outlets (i.e., restaurants and bars)?	No
To which alcohol products does requirement apply?	N/A

Dram Shop Liability	
Does a statute create dram shop liability?	Yes
Does the statute limit damages that may be recovered?	No
Does the statute limit who may be sued?	No
Does the statute limit elements or standards of proof?	No
Does common law dram shop liability exist?	No

Social Host Liability	
Does a statute create social host liability?	Yes
Does the statute limit damages that may be recovered?	No
Does the statute limit who may be sued?	No
Does the statute limit elements or standards of proof?	No
Does common law social host liability exist?	No

Prohibitions Against Hosting Underage Drinking Parties	
Does a statute prohibit hosting underage drinking parties?	Yes
Is the statute specific to underage parties, or a general prohibition against permitting underage drinking on the property?	Specific
What action by underage guest triggers a violation?	Possession/Consumption
Property type covered by the law?	Residential/Other
What level of knowledge by the host is required?	Knowledge: Host must have actual knowledge of party
Does host's preventive action protect him/her from being held liable?	Yes
Are there any exceptions for underage guests?	No
<i>Note:</i> Alabama's provision requires that the adult social host be in attendance at the gathering or party in order for a violation to occur. The "preventive action" provision in Alabama requires the prosecution to prove that the host failed to take preventive action.	

Retailer Interstate Shipments of Alcohol	
Are out-of-state retailers prohibited from sending interstate shipments to in-state consumers?	
Beer	Yes
Wine	Yes
Spirits	Yes

Direct Shipments/Sales	
May alcohol producers ship directly to consumers?	No
What alcohol types may be shipped?	N/A
Must purchaser make mandatory trip to producer before delivery is authorized?	N/A
Age verification requirements	
Must the producer/shipper verify purchaser's age before sale?	N/A
Must the common carrier (deliverer) verify age of recipients?	N/A
State approval/permit requirements	
Must the producer/manufacture obtain state license or permit?	N/A
Must the common carrier (deliverer) be approved by a state agency?	N/A
Recording/reporting requirements	
Must the producer/manufacture record/report purchaser's name?	N/A
Must the common carrier (deliverer) record/report recipient's name?	N/A
Shipping label requirements	
Must the label state "Package contains alcohol"?	N/A
Must the label state "Recipient must be 21 years old"?	N/A
Keg Registration	

How is a keg defined (in gallons)?	No law
Prohibitions	
Is it illegal to possess an unregistered or unlabeled keg and if so, what is the penalty?	No law
Is it illegal to destroy the label on a keg, and if so, what is the penalty?	No law
What purchaser information is collected?	
Must the retailer collect the name and address?	No law
Must the retailer collect the ID number, name and address on license or other government information?	No law
Must the retailer collect the address at which keg will be consumed?	No law
Must warning information be given to purchaser?	No law
Is a deposit required?	No law
Does law cover disposable kegs?	No law

Home Delivery	
Is home delivery of alcohol permitted?	
Beer	No
Wine	No
Spirits	No

High-Proof Grain Alcohol Beverages	
Are there restrictions on the sale of high-proof grain alcohol beverages?	No. However, Alabama is a control state, and control states may impose additional restrictions on the sale of products that are not reflected in statute or regulation.
Are restrictions based on Alcohol by Volume (ABV)?	N/A
Are there exceptions to restrictions?	N/A

Laws Affecting Alcohol Pricing

Alcohol Taxes	
Beer	
Control system for beer?	No
Specific excise tax per gallon for 5% alcohol beer	\$1.05
Ad valorem excise tax (for on-premises sales) on total receipts for 5% alcohol beer	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Ad valorem excise tax (for off-premises sales) on total receipts for 5% alcohol beer	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No

• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Additional taxes for 3.2–6% alcohol beer (if applicable)	
Wine	
Control system for wine?	Yes
Specific excise tax per gallon for 12% alcohol wine	
Ad valorem excise tax (for on-premises sales) on total receipts for 12% alcohol wine	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Ad valorem excise tax (for off-premises sales) on total receipts for 12% alcohol wine	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Additional taxes for 6–14% alcohol wine (if applicable)	
Spirits	
Control system for spirits?	Yes
Specific excise tax per gallon for 40% alcohol spirits	
Ad valorem excise tax (for on-premises sales) on total receipts for 40% alcohol spirits	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Ad valorem excise tax (for off-premises sales) on total receipts for 40% alcohol spirits	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Additional taxes for 15–50% alcohol spirits (if applicable)	

Low-Price, High-Volume Drink Specials	
What types of drink specials are prohibited by on-premises retailers?	
Free beverages	No
Multiple servings at one time	No
Multiple servings for same price as single serving	Yes
Reduced price for a specified day or time (i.e., happy hours)	Restricted (permitted 10 am – 9 pm)
Unlimited beverages for fixed price	No
Increased volume without increase in price	No

Wholesaler Pricing Restrictions	
Beer	
Are volume discounts to retailers allowed?	No law
Must wholesalers establish a minimum markup or maximum discount for each product sold to retailers?	No law
Must wholesalers publicly post and hold (i.e., not reduce) prices for a set period of time?	No law
Is wholesaler permitted to extend credit to retailer and if so, what is the maximum time period?	No
Wine	
Are volume discounts to retailers allowed?	No law
Must wholesalers establish a minimum markup or maximum discount for each product sold to retailers?	No law
Must wholesalers publicly post and hold (i.e., not reduce) prices for a set period of time?	No law
Is wholesaler permitted to extend credit to retailer and if so, what is the maximum time period?	No
Spirits	
Are volume discounts to retailers allowed?	N/A
Must wholesalers establish a minimum markup or maximum discount for each product sold to retailers?	N/A
Must wholesalers publicly post and hold (i.e., not reduce) prices for a set period of time?	N/A
Is wholesaler permitted to extend credit to retailer and if so, what is the maximum time period?	N/A

Alabama State Survey Responses

State Agency Information

Agency with primary responsibility for enforcing underage drinking laws:

Alabama Law Enforcement Agency

Enforcement Strategies

State law enforcement agencies use:

Cops in Shops	No
Shoulder Tap Operations	No
Party Patrol Operations or Programs	No
Underage Alcohol-Related Fatality Investigations	Yes

Local law enforcement agencies use:

Cops in Shops	No
Shoulder Tap Operations	No
Party Patrol Operations or Programs	No
Underage Alcohol-Related Fatality Investigations	No

State has a program to investigate and enforce direct sales/shipment laws Yes

Primary state agency responsible for enforcing laws addressing direct sales/shipments of alcohol to minors	Alabama Law Enforcement Agency
Such laws are also enforced by local law enforcement agencies	Don't know

Enforcement Statistics

State collects data on the number of minors found in possession Yes

Number of minors found in possession by state law enforcement agencies	159
Number pertains to the 12 months ending	12/31/2014
Data include arrests/citations issued by local law enforcement agencies	No

State conducts underage compliance checks/decoy operations² to determine if alcohol retailers are complying with laws prohibiting sales to minors Yes

Data are collected on these activities	Yes
Number of retail licensees in state ³	13,882
Number of licensees checked for compliance by state agencies (including random checks)	3,781
Number of licensees that failed state compliance checks	322
Numbers pertain to the 12 months ending	12/31/2014
Compliance checks/decoy operations conducted at on-sale, off-sale, or both retail establishments	Both on- and off-sale establishments

State conducts **random** underage compliance checks/decoy operations Yes

Number of licensees subject to random state compliance checks/decoy operations	unknown
Number of licensees that failed random state compliance checks	Not applicable

Local agencies conduct underage compliance checks/decoy operations to determine if alcohol retailers are complying with laws prohibiting sales to minors Yes

Data are collected on these activities	Yes
Number of licensees checked for compliance by local agencies	Unknown
Number of licensees that failed local compliance checks	322
Numbers pertain to the 12 months ending	12/31/2014

Sanctions

State collects data on fines imposed on retail establishments that furnish minors No

Number of fines imposed by the state ⁴	Not applicable
Total amount in fines across all licensees	Not applicable
Smallest fine imposed	Not applicable
Largest fine imposed	Not applicable
Numbers pertain to the 12 months ending	12/31/2014

<i>State collect data on license suspensions imposed on retail establishments specifically for furnishing minors</i>	Yes
Number of suspensions imposed by the state ⁵	No data
Total days of suspensions across all licensees	No data
Shortest period of suspension imposed (in days)	No data
Longest period of suspension imposed (in days)	No data
Numbers pertain to the 12 months ending	No data
<i>State collects data on license revocations imposed on retail establishments specifically for furnishing minors</i>	Yes
Number of license revocations imposed ⁶	Unknown
Numbers pertain to the 12 months ending	12/31/2014

Additional Clarification

No data

¹ Or having consumed or purchased per state statutes.

² Underage compliance checks/decoy operations to determine whether alcohol retailers are complying with laws prohibiting sales to minors.

³ Excluding special licenses such as temporary, seasonal, and common carrier licenses.

⁴ Does not include fines imposed by local agencies.

⁵ Does not include suspensions imposed by local agencies.

⁶ Does not include revocations imposed by local agencies.

Underage Drinking Prevention Programs Operated or Funded by the State

Drug Education Council (DEC)

Program serves specific or general population	Specific population
Number of youth served	No data
Number of parents served	No data
Number of caregivers served	No data
Program has been evaluated	No data
Evaluation report is available	No data
URL for evaluation report	No data
URL for more program information	http://www.drugeducation.org

Program Description: DEC is a voluntary, nonprofit organization dedicated to promoting a drug-free society, preventing chemical dependency, and providing quality education, information, and intervention programs. DEC is located in Mobile, Alabama, and is certified in prevention services through the Alabama Department of Mental Health (ADMH). DEC uses four of the six Center for Substance Abuse Prevention (CSAP) strategies, including education, alternatives, community-based processes, and environmental. Their target focus is high-risk youth in rural, urban and suburban communities. DEC provides an array of prevention services and activities to these youth through evidenced-based programming for indicated, selected, and universal populations. DEC offers alternative activities promoting positive family connections; summer camps for youth that include fun recreational opportunities; field trips; and community service activities. DEC promotes community-based processes by working with community members and stakeholders to promote events such as Red Ribbon Week, collaborations to promote a year-long Red Ribbon Leadership Program, and promoting awareness in the community about underage drinking. DEC's environmental strategy includes the promotion of reduced access and availability to minors by creating community support for an ordinance banning portable coolers containing alcohol in storefronts. DEC anticipates serving 240 youth and one or more parent/guardian(s) through its CAPP (Chemical Abuse Prevention Program). These targets will also be served through alternative strategies. Through the KIDS ROCK program, DEC anticipates serving approximately 75 youth (these numbers represent FY 2015).

Alcohol and Drug Abuse Treatment Center, Inc. (ADATC)

Program serves specific or general population	Specific population
Number of youth served	No data
Number of parents served	No data
Number of caregivers served	No data
Program has been evaluated	Yes

Evaluation report is available	No
URL for evaluation report	Not applicable
URL for more program information	http://www.adatc.org

Program Description: ADATC is a certified prevention provider located in Birmingham, Alabama. ADATC utilizes five of the six CSAP strategies to implement prevention services to high-risk youth (primarily in the Eastlake community), and its targeted area of implementation is considered urban. ADATC implements education, alternative, information dissemination, community-based processes, and environmental strategies. Strategies are implemented in a variety of mediums at various venues in the community, including videos developed by youth, Too Good for Drugs (an evidence-based curriculum), recreational and social events, town hall meetings, maintaining a youth coalition, and community service projects to name a few.

Aletheia House (AH)

Program serves specific or general population	Specific population
Number of youth served	No data
Number of parents served	No data
Number of caregivers served	No data
Program has been evaluated	Yes
Evaluation report is available	No
URL for evaluation report	Not applicable
URL for more program information	http://www.specialkindofcaring.org

Program Description: AH is a community-based organization committed to empowering individuals, and the communities in which they live, with the skills and services they need to become responsible for their own well-being. AH is certified as a substance abuse prevention provider by ADMH and provides prevention services to youth in the Birmingham area (considered urban). AH utilizes education, alternative, and environmental strategies to implement its prevention programs. AH uses the evidence-based Positive Action curriculum to deliver prevention programs in some area middle schools. Alternative strategies are implemented by providing a summer camp for youth, recognition events, culturally based activities, and intergenerational events that promote positive family and community interaction. AH's environmental strategy focuses on reducing access and availability of alcohol to minors by providing training to neighborhood residents, community mapping to collect data, and use of social media to mobilize community members to promote the implementation of a portable cooler relocation program among convenience store owners. AH anticipates serving approximately 200 youth through these efforts. Signature youth prevention programs include "Kids who Care," "Teens who Care," and "Ebony Pearls."

Aliceville Housing Authority

Program serves specific or general population	Specific population
Number of youth served	No data
Number of parents served	No data
Number of caregivers served	No data
Program has been evaluated	Yes
Evaluation report is available	No
URL for evaluation report	Not applicable
URL for more program information	No data

Program Description: Aliceville Housing Authority is located in Aliceville, Alabama (Pickens County), and is certified by ADMH to provide prevention services. Primary prevention efforts are focused on high-risk youth and include providing education and alternatives to the youth in the community. Additionally, Aliceville has sought to establish a formal coalition within the community to promote awareness and enhance the ability of the community to provide more effective prevention and treatment services. The environmental strategy focuses on population-level change. Efforts in the environmental strategy include collaborating with law enforcement to conduct sobriety checks at critical times, working to enforce curfews, and raising awareness about the dangers of underage drinking.

Cherokee-Etowah-DeKalb (CED) Mental Health

Program serves specific or general population	Specific population
Number of youth served	No data
Number of parents served	No data

Number of caregivers served	No data
Program has been evaluated	Yes
Evaluation report is available	No
URL for evaluation report	Not applicable
URL for more program information	No data

Program Description: CED provides prevention services through the implementation of five of the six CSAP strategies. CED is certified by ADMH to provide prevention services. Information dissemination is implemented through youth-designed billboard advertising, community health fairs, pamphlets, public service announcements, and television commercials. Education and alternatives are provided to 6th and 7th graders in various schools throughout its three-county service area as well as summer camps and in collaboration with the local Boys and Girls club. CED guides leadership in strengthening the organization structure and function of each of three coalitions for the purpose of enhancing policies and by-laws, in an effort to ensure the sustainability of the coalition membership and the community services they provide. Environmental services focus on access and availability of alcohol to youth. CED works with law enforcement and local government to support an ordinance for removal of portable coolers containing alcoholic beverages in storefronts of licensed alcohol retail vendors.

Mountain Lakes Behavioral Healthcare (MLBH)

Program serves specific or general population	Specific population
Number of youth served	No data
Number of parents served	No data
Number of caregivers served	No data
Program has been evaluated	Yes
Evaluation report is available	No
URL for evaluation report	Not applicable
URL for more program information	http://www.mlbhc.com

Program Description: The MLBH Substance Abuse Prevention Program focuses on teaching life skills to both children and adults. MLBH is certified by ADMH to deliver prevention services. Children's workshops focus on using a variety of activities to encourage children to develop self-respect and respect for others. Adult workshops include parenting classes, stress-management, and general workshops on alcoholism and addiction. MLBH implements five of the six CSAP strategies, with the exception of Problem Identification and Referral. MLBH implements information dissemination by providing youth and parents/guardians with information on ATOD in coordination with local schools and businesses. Additionally, they disseminate information at local sporting events and health fairs. Education is implemented using the Brain Power evidence-based curriculum to 5th graders in Marshal and Jackson counties. Too Good for Drugs is implemented at the local Boys and Girls club in Jackson County. A third education program will be implemented with a "selected" population using the Positive Action curriculum. Alternative strategies are implemented with students receiving prevention education through MLBH. The Community-Based Process strategy focuses on underage drinking, social hosting, and prescription drug abuse. MLBH provides workshops on those topics and works with local churches, civic groups, and other stakeholders to promote MLBH prevention programs. The environmental strategy focuses on passing an ordinance to ban portable ice coolers in fronts of licensed alcohol vendor retail outlets (i.e., convenience stores) to reduce access and availability of alcohol to youth.

Mental Healthcare of Cullman

Program serves specific or general population	Specific population
Number of youth served	No data
Number of parents served	No data
Number of caregivers served	No data
Program has been evaluated	Yes
Evaluation report is available	No
URL for evaluation report	Not applicable
URL for more program information	http://www.mentalhealthcareofcullman.org/prevention.html

Program Description: "HEADS UP" (HU) Is an Environmental Prevention Program of Mental Healthcare of Cullman located on the campus of Wallace State Community College in Hanceville, Alabama. HU has an office located in

the student center, open daily Monday–Friday, and is available to all students and faculty as a prevention resource. The office provides a relaxed environment within the college setting to promote healthy peer interactions while receiving information about risks of alcohol/drug use and abuse. Through this program, the Prevention Coordinator has the opportunity to build and establish healthy relationships with students. The overall goal is to reduce underage drinking. HEADS UP uses online student surveys to gather data about student perceptions and attitudes about drug and alcohol usage. The HEADS UP Program Prevention Coordinator works with campus law enforcement and the administration to promote dorm checks, collect data on related incidents, and assist in reviewing infractions with campus police to help identify areas to increase or enhance, or to implement further prevention efforts.

West Alabama Mental Health Center (WAMHC)

Program serves specific or general population	Specific population
Number of youth served	No data
Number of parents served	No data
Number of caregivers served	No data
Program has been evaluated	Yes
Evaluation report is available	No
URL for evaluation report	Not applicable
URL for more program information	http://www.wamhc.org

Program Description: WAMHC is certified through ADMH to provide prevention services. Prevention is listed under its Substance Abuse Programs. WAMHC utilizes three of the six CSAP strategies to include education, alternatives, and environmental strategies. Too Good for Drugs is the educational curriculum implemented in schools in Marengo and Hale counties. Alternative strategies are implemented through a 2-week summer camp and various activities throughout the year. As part of its environmental strategy to reduce access and availability, WAMHC has implemented a Reward Reminder Visit (RRV) protocol in Marengo and Hale counties. It also has worked to obtain a proclamation in support of the RRV campaign by the mayor and city council. WAMHC works to keep community members abreast of its prevention efforts through flyers, news bulletins, radio, and newsletters.

Franklin Primary Health Center (FPHC)

Program serves specific or general population	General population
Number of youth served	Not applicable
Number of parents served	Not applicable
Number of caregivers served	Not applicable
Program has been evaluated	Yes
Evaluation report is available	No
URL for evaluation report	Not applicable
URL for more program information	http://franklinprimary.org

Program Description: FPHC is a comprehensive health center providing health, social, medical, and dental services. Its prevention program is certified by ADMH. FPHC's prevention goal involves use of environmental strategies to reduce access and availability of alcohol to minors by passing an ordinance in the city of Mobile prohibiting the placement of portable coolers containing alcohol in store fronts (i.e., convenience stores). FPHC provides materials about the consequences of underage drinking to community members, meets with the city council, and intends to present a formal proposal of the ordinance to the city council.

Riverbend Center for Mental Health (RCMH)

Program serves specific or general population	Specific population
Number of youth served	No data
Number of parents served	No data
Number of caregivers served	No data
Program has been evaluated	Yes
Evaluation report is available	No
URL for evaluation report	Not applicable
URL for more program information	http://www.rcmh.org/programs.htm

Program Description: RCMH is certified by ADMH to provide prevention services. RCMH uses a community-centered approach utilizing the following CSAP strategies: information dissemination, education, alternatives,

community-based processes, and environmental. Information on alcohol, tobacco, and other drugs is provided to youth at local schools through bi-annual assemblies, dissemination at various venues, and speaking engagements. The Life Skills Training curriculum is implemented in 11 area schools and the SPAN (Special Program Achievement Network) is provided as required for students in Lauderdale County and Florence city schools by the juvenile court system. Riverbend provides a variety of alternative activities for youth enrolled in the afterschool educational programs and during the summer. These activities help youth build resilience and promote social skills. Community-based process strategies focus on interagency collaborations among the children's policy council and the Sheffield coalition to increase collaborations and partnerships among agencies. Environmental activities include the development of a partnership with the University of North Alabama to create a campus policy that mandates that a uniformed campus police officer be present at all campus events where alcohol is being served in an effort to reduce underage drinking and incidences of minors in possessions and DUI infractions.

Northwest Alabama Mental Health Center (NWAMHC)

Program serves specific or general population	Specific population
Number of youth served	No data
Number of parents served	No data
Number of caregivers served	No data
Program has been evaluated	Yes
Evaluation report is available	No
URL for evaluation report	Not applicable
URL for more program information	http://www.nwamhc.com

Program Description: NWAMHC is certified by ADMH to provide prevention services. NWAMHC uses four of the six CSAP strategies, including education, alternatives, information dissemination, and environmental. NWAMHC uses various community events and venues to provide information, including student-designed materials such as health fairs, Safe Prom activities, Jasper mall, and kids promotional week. Too Good For Drugs is the evidence-based curriculum used in 14 schools and 5 afterschool and summer programs. Youth participating in educational programs are provided opportunities to participate in alternative activities in classroom sessions as well as after school and during the summer. Environmental strategies consist of working with the ABC board in Walker county to increase compliance checks. Past efforts in this area resulted in significant reduction in purchase of alcohol by minors as reported to them by the ABC Board.

East Alabama Mental Health Center (EAMHC)

Program serves specific or general population	Specific population
Number of youth served	No data
Number of parents served	No data
Number of caregivers served	No data
Program has been evaluated	Yes
Evaluation report is available	Yes
URL for evaluation report	No data
URL for more program information	http://www.eastalabamamhc.org

Program Description: EAMHC is certified by ADMH to provide prevention services. It is located in Opelika, Alabama, and provides an array of prevention services through education, alternative, and environmental prevention strategies. The evidence-based Life Skills Training and Project Alert programs are used to deliver education to high-risk students, some of which include a selected population where small groups are utilized. EAMHC provides several alternative opportunities for youth who participate in the education programs. Those activities include but are not limited to afterschool programs and youth summer camps. EAMHC is active and present in the community and assists with Project Graduation at both Auburn and Opelika High Schools. Project Graduation is a major event held after graduation to provide youth with a safe, drug-free environment to celebrate their accomplishments. The night is filled with food, fun, games, dancing, and prizes and is well attended and supported by parents, adult volunteers, and local law enforcement. The primary focus of EAMHC's environmental strategy is to reduce access and availability of alcohol to minors through the use of fake IDs. The primary risk factor is community norms (practices and policies; attitudes and beliefs) that perpetuate the use of fake IDs by underage youth to attain alcohol.

Altapointe Health Systems

Program serves specific or general population	Specific population
Number of youth served	No data
Number of parents served	No data
Number of caregivers served	No data
Program has been evaluated	Yes
Evaluation report is available	No
URL for evaluation report	Not applicable
URL for more program information	https://www.facebook.com/BaldwinCountyCommunityAlliance?fref=ts

Program Description: Altapointe Health Systems is certified by ADMH, serving Baldwin County. Altapointe implements four of the six CSAP strategies to include education, alternatives, community-based processes, and environmental. The Too Good For Drugs and Life Skills Training evidenced-based curricula are used to provide education in various area schools including 3rd- through 7th-grade students. These same students are offered alternative strategy opportunities through field trips and summer programs. Community-based processes: Altapointe leads and works in collaboration with the Baldwin County Community Alliance to promote programs such as Prescription Drug Take Back events and installation of permanent prescription drug drop boxes. Environmental strategies include: Goal 1, Provide Responsible Vendor Training to licensed alcohol vendors in Baldwin County; Goal 2, Deter underage drinking during holidays, proms, sporting events, Mardi Gras, and graduation through mass media campaigns; and Goal 3, Deter underage drinking and prescription drug use through Baldwin County Community Alliance–sponsored events and contests.

MHC of North Alabama/Quest Recovery Center

Program serves specific or general population	Specific population
Number of youth served	No data
Number of parents served	No data
Number of caregivers served	No data
Program has been evaluated	Yes
Evaluation report is available	No
URL for evaluation report	Not applicable
URL for more program information	https://www.facebook.com/QuestRecoveryCenter?fref=ts

Program Description: MHC of North Alabama/Quest Recovery Center, located in Decatur, Alabama, is certified by ADMH to provide prevention services. MHC implements five of the six CSAP strategies with the exception of problem identification and referral. Target priorities for information dissemination are prescription drugs and underage drinking. Eight primary venues may include health fairs, Child Safety Conference, Calhoun Community College, school events, media (media campaigns and media outlets and social media websites, newspaper articles), speaking engagements, businesses (pharmacy take home bags, 20,000–25,000 utilities customers, florists, dress/tuxedo shops, limo drivers, alcohol vendors/merchants), and community agencies/organizations (medical offices, Advisory Committee, MHC Board of Directors, MCSAN Coalition, senior citizen centers, Area Agency on Aging, Community Action, Commission on Aging, and law enforcement personnel, etc.). Media campaigns include information about prescription and over-the-counter drug misuse, Prescription Drug Take-Back Day and Lock Your Meds campaigns, and information about substance abuse and unhealthy behaviors. Underage drinking campaigns will include materials from Parents Who Host Lose the Most and information to support compliance with the Decatur City Alcoholic Beverage Ordinance including the Responsible Vendor Program. Prevention education will be provided during school, after school, and during the summer at different sites throughout Morgan and Limestone counties, including PAWS After School program and Boys and Girls Clubs (St. Paul’s, Ardmore, Limestone County/Athens). The summer program site is Camp Safe Haven. The evidence-based curriculum at the four schools include Too Good for Drugs, Too Good for Violence; Too Good for Drugs & Violence–HS, Safe Dates, Girls Circle, and PATHS. The afterschool education programs at the four alternative sites and one summer program are Too Good for Drugs, Too Good for Violence, Too Good for Drugs & Violence–after school, Safe Dates, Girls Circle, and PATHS.

Alternative activities after school and in the summer at the community sites include community service activities such as planting a garden at the Boys and Girls Club location(s); preparing nursing home and military family goodie boxes; community cleanup activities; exercise programs, physical education activities, and games; and arts and crafts projects. Participants are referred by schools, Boys and Girls clubs, afterschool programs, summer programs, and daycare programs. The target priority for this strategy is to increase participation in the Morgan County Substance Abuse Network (MCSAN) coalition activities and events. MCSAN is a community antidrug coalition with more than 20 active members representing numerous community sectors. Additional community members support the coalition as volunteers and committee members. Target priorities for this strategy are (a) to conduct activities in Morgan County designed to reduce access and availability of alcohol to minors and to raise community awareness of the dangers of underage drinking and (b) conduct activities in Morgan County designed to reduce and/or prevent prescription and over-the-counter drug misuse and abuse and raise community awareness of the dangers of diverting medication for unintended use.

Cheaha Regional Mental Health Center (CRMHC)

Program serves specific or general population	Specific population
Number of youth served	No data
Number of parents served	No data
Number of caregivers served	No data
Program has been evaluated	Yes
Evaluation report is available	No
URL for evaluation report	Not applicable
URL for more program information	No data

Program Description: CRMHC, located in Sylacauga, Alabama, is certified to provide prevention services. Cheaha implements five of the six CSAP strategies with the exception of problem identification and referral. Three objectives to promote information dissemination include (a) increase health fair participation from four to six health fairs a year; (b) collaborate and schedule Mental Health First Aid (Youth and Adult) at least four times a year in the Southern Talladega County Area, and (c) collaborate with local stakeholders and become involved with community events (e.g., Promise Day, National Night Out, Recovery Month Celebrations, and at least three school events). Education is implemented through a collaboration with the Sylacauga Alliance for Family Enhancement, Inc. (SAFE), a community-based, nonprofit organization whose purpose is to provide meaningful opportunities for families to contribute to the growth of the community, serve others, promote community cohesion, and continue to provide afterschool educational activities throughout the school year. The Prevention Specialists will provide educational activities by using Life Skills Training, Too Good For Drugs, Too Good for Violence, or Protecting Me – Protecting You.

Alternative strategies are also implemented year-round through this collaboration by 21st Century Learning Center. The children from grades 2 through grade 8 will take part in school tutoring and through weekly field trips and activities that will include the library, Blue Bell Creamery, swimming, fishing, exercise classes and activities, music classes, healthy eating classes, and others. Community-based process includes fostering growth of the CRMHC Prevention Coalition. The Coalition will meet once a month and work as a community planning committee. It will continue to collaborate with other Southern Talladega county organizations and coalitions to promote mental health and wellness and substance abuse prevention, in particular Preventing Underage Alcohol and Tobacco Abuse in the Southern Talladega county and Coosa County areas. Environmental strategies include providing for social media campaigns that will cover both Talladega and Coosa County. Collaborations will aim to improve and increase the number of drivers license checks in both counties by the ABC Board, and, with the Alabama Department of Public Health to decrease tobacco rates in youth for both counties.

Additional Underage Drinking Prevention Programs Operated or Funded by the State

Program description: Alabama currently has 9 certified prevention providers that are subrecipients of the State Prevention Framework State Incentive Grant (SPF SIG), which provides services in 20 counties in Alabama. The programs receive oversight from the SPF SIG Project Director and two SPF SIG prevention consultants. Those providers focus on underage drinking, and implementation is accomplished primarily through coalition efforts in those counties. All providers and coalitions are provided extensive training and technical assistance utilizing the SPF model and best practices. Coalitions operate under the guidance of the following certified prevention

providers: Southern Prevention Associates, East Alabama Mental Health, Altapointe Health Systems, Cheaha Mental Health Center, Drug Education Council, Cahaba Mental Health, Covington County Children's Policy Council, Lighthouse Counseling Center, and SpectraCare.

Additional Clarification

No data

Additional Information Related to Underage Drinking Prevention Programs

State collaborates with federally recognized tribal governments in the prevention of underage drinking No

Description of collaboration Not applicable

State has programs to measure and/or reduce youth exposure to alcohol advertising and marketing Yes

Description of program: The Alabama Department of Mental Health currently certifies 28 community organizations to provide substance abuse prevention services to approximately 55 percent of counties throughout Alabama. Of those providers, 26 currently receive Block Grant funds and 9 of those agencies are subrecipients of SPF SIG funds implementing services in 20 counties.

State has adopted or developed best practice standards for underage drinking prevention programs Yes

Agencies/organizations that established best practices standards:

Federal agency(ies): SAMHSA/CSAP State Prevention Framework (SPF Model) Yes

Agency(ies) within your state: Alabama Department of Mental Health Substance Abuse Prevention Standards Yes

Nongovernmental agency(ies): No

Other: National Registry of Evidenced Based Programs and Practices Yes

Best practice standards description: To ensure compliance, all certified agencies are provided training on the State Prevention Framework Model and must utilize this model in the development of their prevention plans. All providers must adhere to the State Prevention Standards, which include standards for personnel, performance improvement, documentation and prevention records, and community planning and definitions. Strategy implementation must encompass use of Evidence Based Programs and Practices.

Additional Clarification

No data

State Interagency Collaboration

A state-level interagency governmental body/committee exists to coordinate or address underage drinking prevention activities Yes

Committee contact information:

Name: Beverly Johnson

Email: beverly.johnson@mh.alabama.gov

Address: 100 N. Union Street, RSA Suite 420, Montgomery, AL 36130

Phone: 334-353-8566

Agencies/organizations represented on the committee:

Alabama State Department of Education

Southern Prevention Associates, LLC

Family Guidance Center

Big Lots Distribution Center

Alabama State University

Alabama Campaign to Prevent Teen Pregnancy

United States Army

Homewood City Schools

Montgomery County Sheriff's Office

Elmore County District Judge's Office

Alabama Department of Human Resources

Alabama Department of Corrections

Office of the Attorney General

Foster Care Family Preservation
 Germane Solutions
 Auburn University at Montgomery
 University of Alabama Tuscaloosa
 Substance Abuse and Mental Health Services Administration

A website or other public source exists to describe committee activities Yes
 URL or other means of access: http://www.mh.alabama.gov/SAPV/?sm=d_d

Underage Drinking Reports

State has prepared a plan for preventing underage drinking in the last 3 years Yes

Prepared by: State Prevention Framework State Incentive Grant Management Team (SPF SIG Director/Coordinator, Epidemiologist, State Evaluator, CSAP Prevention Fellow, and State Prevention Advisory Board Chair) and oversight and guidance from State Prevention Advisory Board and Alabama Epidemiological Outcomes Workgroup. Plan can be accessed via:

<http://www.mh.alabama.gov/Downloads/SAPV/AlabamaStrategicPlan.pdf>

State has prepared a report on preventing underage drinking in the last 3 years Yes

Prepared by: Alabama Epidemiological Outcomes Workgroup

Plan can be accessed via: <http://www.mh.alabama.gov/Downloads/SAPV/EpidemiologicalProfile.pdf>

Additional Clarification

No data

State Expenditures for the Prevention of Underage Drinking

Compliance checks in retail outlets:

Estimate of state funds expended Data not available
 Estimate based on the 12 months ending 12/31/2014

Checkpoints and saturation patrols:

Estimate of state funds expended Data not available
 Estimate based on the 12 months ending 12/31/2014

Community-based programs to prevent underage drinking:

Estimate of state funds expended Data not available
 Estimate based on the 12 months ending Data not available

K–12 school-based programs to prevent underage drinking:

Estimate of state funds expended Data not available
 Estimate based on the 12 months ending Data not available

Programs targeted to institutes of higher learning:

Estimate of state funds expended Data not available
 Estimate based on the 12 months ending Data not available

Programs that target youth in the juvenile justice system:

Estimate of state funds expended Data not available
 Estimate based on the 12 months ending Data not available

Programs that target youth in the child welfare system:

Estimate of state funds expended Data not available
 Estimate based on the 12 months ending Data not available

Other programs:

Programs or strategies included Data not available
 Estimate of state funds expended Data not available
 Estimate based on the 12 months ending Data not available

Funds Dedicated to Underage Drinking

State derives funds dedicated to underage drinking from the following revenue streams:

Taxes No
 Fines No
 Fees No

Other Not applicable

No

Description of funding streams and how they are used:

Not applicable

Additional Clarification

Alabama cannot respond for the entire use of state funds for this purpose. Alabama can only account for the funds this state agency receives for such purpose. Of the state funds received by this office, \$178,981 goes toward underage drinking efforts through community programming (coalitions) and enforcement.



Alaska

State Population: 736,732

Population Ages 12–20: 92,000

	Percentage	Number
Ages 12–20		
Past-Month Alcohol Use	21.2	19,000
Past-Month Binge Alcohol Use	13.7	13,000
Ages 12–14		
Past-Month Alcohol Use	2.5	1,000
Past-Month Binge Alcohol Use	1	0
Ages 15–17		
Past-Month Alcohol Use	17.6	5,000
Past-Month Binge Alcohol Use	9.1	3,000
Ages 18–20		
Past-Month Alcohol Use	42.6	13,000
Past-Month Binge Alcohol Use	30.3	10,000
Alcohol-Attributable Deaths (under 21)		14
Years of Potential Life Lost (under 21)		843
	Percentage of All Traffic Fatalities	Number
Traffic Fatalities, 15- to 20-Year-Old Drivers with BAC > 0.01	17	2

Laws Addressing Minors in Possession of Alcohol

Underage Possession	
Is underage possession of alcoholic beverages prohibited?	Yes
Are there exceptions based on family relationships?	
• Is possession allowed if parent or guardian is present or consents?	Yes in specified locations – see below
• Is possession allowed if spouse is present or consents?	Yes in specified locations – see below
Is there an exception based on location?	Yes, in any private location if parent/guardian/spouse is present or consents

Underage Consumption	
Is underage consumption of alcoholic beverages prohibited?	Yes
Are there exceptions based on family relationships?	
• Is consumption allowed if the parent or guardian is present or consents?	Yes in specified locations – see below
• Is consumption allowed if the spouse is present or consents?	Yes in specified locations – see below
Is there an exception based on location?	Yes, in any private location if parent/guardian/spouse is present or consents

Underage Internal Possession	
Is underage internal possession of alcoholic beverages prohibited?	No law
Are there exceptions based on family relationships?	
• Is internal possession allowed if the parent or guardian is present or consents?	N/A
• Is internal possession allowed if the spouse is present or consents?	N/A
Is there an exception based on location?	N/A

Underage Purchase and Attempted Purchase	
Is the purchase of alcoholic beverages prohibited?	Yes
May youth purchase for law enforcement purposes?	Yes

False Identification for Obtaining Alcohol	
Provisions Targeting Minors	
Is the use of false identification (ID) prohibited?	Yes
Does the use of a false ID result in minor's driver's license suspension?	Yes, through an administrative process
Provisions Targeting Suppliers	
Is the lending or transferring or selling of a false ID prohibited?	No
Is the production of a false ID in the context of underage alcohol sales specifically prohibited?	No
Retailer Support Provisions	
Is there an incentive for the retailer to use electronic scanners for information digitally encoded on valid IDs?	No

Are state driver's licenses for persons under 21 easily distinguishable from licenses for persons 21 and over?	Yes
May retailers seize apparently false IDs without fear of prosecution even if the ID is ultimately deemed valid?	No
Does an affirmative defense exist for the retailer?	Yes
<ul style="list-style-type: none"> Is it a specific affirmative defense (retailer reasonably believed ID was valid after examining it)? 	No
<ul style="list-style-type: none"> Is it a general affirmative defense (retailer reasonably believed purchaser was over 21)? 	Yes
Does the retailer have the right to sue the minor for use of a false ID?	Yes
May a retailer detain a minor who used a false ID?	No

Laws Targeting Underage Drinking and Driving

Youth Blood Alcohol Concentration Limits (Underage Operators of Noncommercial Motor Vehicles)	
What is the maximum blood alcohol concentration (BAC) limit for an underage driver of a motor vehicle?	0
Does a BAC level in excess of limit automatically establish a violation (per se violation)?	Yes
What is the minimum age to which the limit applies?	14
What is the maximum age to which the limit applies?	21

Loss of Driving Privileges for Alcohol Violations by Minors ("Use/Lose" Laws)	
Is there a "use/lose" law that suspends or revokes a minor's driving privileges for alcohol violations?	No
What types of violation lead to license suspension or revocation?	
<ul style="list-style-type: none"> Purchase of alcohol 	N/A
<ul style="list-style-type: none"> Possession of alcohol 	N/A
<ul style="list-style-type: none"> Consumption of alcohol 	N/A
The law applies to people under what age?	N/A
Is suspension or revocation mandatory or discretionary?	N/A
What is the length of suspension/revocation?	
Minimum number of days	N/A
Maximum number of days	N/A

Graduated Driver's Licenses	
Learner Stage	
What is the minimum age for permit to drive with parents, guardians or other adults (other than instructors)?	14
What is the minimum number of months driver must hold learner permit before advancing to intermediate stage?	6
What is the minimum number of hours of driving with parents, guardians, or adults before advancing to intermediate stage?	40 (10 of which must be at night or in inclement weather)
Intermediate Stage	
What is the minimum age for driving without adult supervision?	16

For night driving, when does adult supervision requirement begin?	1 am
Can law enforcement stop a driver for night-driving violation as a primary offense?	Yes – Officer may stop driver for night-driving violation.
Are there restrictions on passengers?	Yes – No passengers under 21 except siblings, unless at least one passenger is parent, guardian, or person at least 21 years old
Can law enforcement stop driver for violation of passenger restrictions as a primary offense?	Yes – Officer may stop driver for passenger restrictions violation.
License Stage	
What is the minimum age for full license privileges and lifting of restrictions?	16 years, 6 months

Laws Targeting Alcohol Suppliers

Furnishing Alcohol to Minors	
Is furnishing of alcoholic beverages to minors prohibited?	Yes
Are there exceptions based on family relationships?	
<ul style="list-style-type: none"> Is furnishing allowed if the parent or guardian supplies the alcohol? 	Yes in specified locations
<ul style="list-style-type: none"> Is furnishing allowed if the spouse supplies the alcohol? 	Yes in specified locations
Is there an exception based on location?	Yes, in any private location if parent/guardian/spouse supplies alcohol
Affirmative Defense for Sellers and Licensees	
Does law require seller/licensee to be exonerated of furnishing to a minor if the minor has not been charged?	No

Compliance Check Protocols	
Does the state have a written protocol for when an underage decoy is used in compliance checks?	No data
What is the minimum age a decoy may be to participate in a compliance check?	N/A
What is the maximum age a decoy may be to participate in a compliance check?	N/A
What are the decoy's appearance requirements?	N/A
Does decoy carry ID during compliance check?	N/A
May decoy verbally exaggerate his or her actual age?	N/A
Is decoy training mandated, recommended, prohibited, or not specified?	N/A

Penalty Guidelines for Sales to Minors	
Are there written guidelines for penalties imposed on retailers for furnishing to a minor?	No data
What is the time period for defining second, third, and subsequent offenses?	N/A
What is the penalty for the first offense?	N/A
What is the penalty for the second offense?	N/A
What is the penalty for the third offense?	N/A
What is the penalty for the fourth offense?	N/A

Responsible Beverage Service (RBS)	
Is there a state law pertaining to beverage service training?	Yes – Mandatory
If training is mandatory, who must participate?	Licensees, managers, servers/sellers
If training is voluntary, which of the following incentives are offered?	
• Defense in dram shop liability lawsuits	N/A
• Discounts in dram shop liability insurance, license fees, or other	N/A
• Mitigation of fines or other administrative penalties for sales to minors or intoxicated persons	N/A
• Protection against license revocation for sales to minors or sales to intoxicated persons	N/A
Does the RBS law apply to on-premises establishments (such as bars and restaurants) or off-premises establishments (such as liquor stores)?	Both
Does the RBS law apply to new or existing licensees?	Both

Minimum Age for Sellers of Alcohol – Off-Premises (i.e., Liquor Stores)	
What is the minimum age requirement for off-premises retail establishments?	
Beer	21
Wine	21
Spirits	21
Does a manager or supervisor have to be present?	No

Minimum Age for Alcohol Servers and Bartenders – On-Premises (i.e., Restaurants and Bars)	
What is the minimum age requirement for servers in on-premises establishments?	
Beer	21
Wine	21
Spirits	21
What is the minimum age requirement for bartenders in on-premises establishments?	
Beer	21
Wine	21
Spirits	21
Does a manager or supervisor have to be present?	No

Alcohol Outlet Siting Near Schools and Universities	
Colleges and Universities	
Is there a distance requirement for off-premises outlets (i.e., liquor stores)?	No
Is there a distance requirement for on-premises outlets (i.e., restaurants and bars)?	No
To which alcohol products does requirement apply?	N/A
Primary and Secondary Schools	
Is there a distance requirement for off-premises outlets (i.e., liquor stores)?	Yes, within 200 feet
Is there a distance requirement for on-premises outlets (i.e., restaurants and bars)?	Yes, within 200 feet
To which alcohol products does requirement apply?	Beer, wine, spirits

Dram Shop Liability	
Does a statute create dram shop liability?	Yes
Does the statute limit damages that may be recovered?	No
Does the statute limit who may be sued?	No
Does the statute limit elements or standards of proof?	No
Does common law dram shop liability exist?	No

Social Host Liability	
Does a statute create social host liability?	Yes
Does the statute limit damages that may be recovered?	No
Does the statute limit who may be sued?	No
Does the statute limit elements or standards of proof?	Yes (knowledge of underage status)
Does common law social host liability exist?	No

Prohibitions Against Hosting Underage Drinking Parties	
Does a statute prohibit hosting underage drinking parties?	Yes
Is the statute specific to underage parties, or a general prohibition against permitting underage drinking on the property?	General
What action by underage guest triggers a violation?	Possession
Property type covered by the law?	Residential
What level of knowledge by the host is required?	Knowledge: Host must have actual knowledge of party
Does host's preventive action protect him/her from being held liable?	No
Are there any exceptions for underage guests?	Yes – Family members

Retailer Interstate Shipments of Alcohol	
Are out-of-state retailers prohibited from sending interstate shipments to in-state consumers?	
Beer	Uncertain
Wine	Uncertain
Spirits	Uncertain

Direct Shipments/Sales	
May alcohol producers ship directly to consumers?	Yes
What alcohol types may be shipped?	Beer, wine, distilled spirits
Must purchaser make mandatory trip to producer before delivery is authorized?	No
Age verification requirements	
Must the producer/shipper verify purchaser's age before sale?	No
Must the common carrier (deliverer) verify age of recipients?	No
State approval/permit requirements	
Must the producer/manufacture obtain state license or permit?	No
Must the common carrier (deliverer) be approved by a state agency?	No
Recording/reporting requirements	
Must the producer/manufacture record/report purchaser's name?	No

Must the common carrier (deliverer) record/report recipient's name?	No
Shipping label requirements	
Must the label state "Package contains alcohol"?	Yes
Must the label state "Recipient must be 21 years old"?	Yes

Keg Registration	
How is a keg defined (in gallons)?	No law
Prohibitions	
Is it illegal to possess an unregistered or unlabeled keg and if so, what is the penalty?	No law
Is it illegal to destroy the label on a keg, and if so, what is the penalty?	No law
What purchaser information is collected?	
Must the retailer collect the name and address?	No law
Must the retailer collect the ID number, name and address on license or other government information?	No law
Must the retailer collect the address at which keg will be consumed?	No law
Must warning information be given to purchaser?	No law
Is a deposit required?	No law
Does law cover disposable kegs?	No law

Home Delivery	
Is home delivery of alcohol permitted?	
Beer	Yes (All orders must be in writing. Written information on fetal alcohol syndrome must be included in all shipments.)
Wine	Yes (All orders must be in writing. Written information on fetal alcohol syndrome must be included in all shipments.)
Spirits	Yes (All orders must be in writing. Information on fetal alcohol syndrome must be included in all shipments.)

High-Proof Grain Alcohol Beverages	
Are there restrictions on the sale of high-proof grain alcohol beverages?	Yes
Are restrictions based on Alcohol by Volume (ABV)?	Yes (more than 76%)
Are there exceptions to restrictions?	No

Laws Affecting Alcohol Pricing

Alcohol Taxes	
Beer	
Control system for beer?	No
Specific excise tax per gallon for 5% alcohol beer	\$1.07
Ad valorem excise tax (for on-premises sales) on total receipts for 5% alcohol beer	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant

• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Ad valorem excise tax (for off-premises sales) on total receipts for 5% alcohol beer	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Additional taxes for 3.2–6% alcohol beer (if applicable)	
Wine	
Control system for wine?	No
Specific excise tax per gallon for 12% alcohol wine	\$2.50
Ad valorem excise tax (for on-premises sales) on total receipts for 12% alcohol wine	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Ad valorem excise tax (for off-premises sales) on total receipts for 12% alcohol wine	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Additional taxes for 6–14% alcohol wine (if applicable)	
Spirits	
Control system for spirits?	No
Specific excise tax per gallon for 40% alcohol spirits	\$12.80
Ad valorem excise tax (for on-premises sales) on total receipts for 40% alcohol spirits	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Ad valorem excise tax (for off-premises sales) on total receipts for 40% alcohol spirits	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	

If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Additional taxes for 15–50% alcohol spirits (if applicable)	\$2.50 per gallon for alcohol content of less than 21%

Low-Price, High-Volume Drink Specials	
What types of drink specials are prohibited by on-premises retailers?	
Free beverages	Yes
Multiple servings at one time	No
Multiple servings for same price as single serving	No
Reduced price for a specified day or time (i.e., happy hours)	Yes
Unlimited beverages for fixed price	Yes
Increased volume without increase in price	No

Wholesaler Pricing Restrictions	
Beer	
Are volume discounts to retailers allowed?	No law
Must wholesalers establish a minimum markup or maximum discount for each product sold to retailers?	No law
Must wholesalers publicly post and hold (i.e., not reduce) prices for a set period of time?	No law
Is wholesaler permitted to extend credit to retailer and if so, what is the maximum time period?	No law
Wine	
Are volume discounts to retailers allowed?	No law
Must wholesalers establish a minimum markup or maximum discount for each product sold to retailers?	No law
Must wholesalers publicly post and hold (i.e., not reduce) prices for a set period of time?	No law
Is wholesaler permitted to extend credit to retailer and if so, what is the maximum time period?	No law
Spirits	
Are volume discounts to retailers allowed?	No law
Must wholesalers establish a minimum markup or maximum discount for each product sold to retailers?	No law
Must wholesalers publicly post and hold (i.e., not reduce) prices for a set period of time?	No law
Is wholesaler permitted to extend credit to retailer and if so, what is the maximum time period?	No law

Alaska State Survey Responses

State Agency Information

Agency with primary responsibility for enforcing underage drinking laws:

The Alcoholic Beverage Control (ABC) Board coordinates efforts with the Alaska Bureau of Alcohol and Drug Enforcement (ABADE), Division of the Alaska State Troopers. The agency also depends on state and local police to enforce alcohol laws (Title 4). With four investigators and one enforcement unit supervisor, the ABC Board must rely on the assistance of local law enforcement and state troopers to enforce laws across the state. License fees are refunded to municipalities that have police departments and that enforce Title 4. The Alaska Court System has primary responsibility for enforcing the consequences related to any charges.

Enforcement Strategies

State law enforcement agencies use:

Cops in Shops	No
Shoulder Tap Operations	Yes
Party Patrol Operations or Programs	No
Underage Alcohol-Related Fatality Investigations	No

Local law enforcement agencies use:

Cops in Shops	Yes
Shoulder Tap Operations	No
Party Patrol Operations or Programs	Yes
Underage Alcohol-Related Fatality Investigations	Yes

<i>State has a program to investigate and enforce direct sales/shipment laws</i>	No
Primary state agency responsible for enforcing laws addressing direct sales/shipments of alcohol to minors	Not applicable
Such laws are also enforced by local law enforcement agencies	Not applicable

Enforcement Statistics

<i>State collects data on the number of minors found in possession</i>	Yes
Number of minors found in possession by state law enforcement agencies	1,596
Number pertains to the 12 months ending	12/31/2014
Data include arrests/citations issued by local law enforcement agencies	Yes
<i>State conducts underage compliance checks/decoy operations² to determine if alcohol retailers are complying with laws prohibiting sales to minors</i>	Yes
Data are collected on these activities	Yes
Number of retail licensees in state ³	1,800
Number of licensees checked for compliance by state agencies (including random checks)	855
Number of licensees that failed state compliance checks	88
Numbers pertain to the 12 months ending	6/30/2014
Compliance checks/decoy operations conducted at on-sale, off-sale, or both retail establishments	Both on- and off-sale establishments
<i>State conducts random underage compliance checks/decoy operations</i>	Yes
Number of licensees subject to random state compliance checks/decoy operations	855
Number of licensees that failed random state compliance checks	88
<i>Local agencies conduct underage compliance checks/decoy operations to determine if alcohol retailers are complying with laws prohibiting sales to minors</i>	No
Data are collected on these activities	No
Number of licensees checked for compliance by local agencies	Not applicable
Number of licensees that failed local compliance checks	Not applicable
Numbers pertain to the 12 months ending	Not applicable

Sanctions	
<i>State collects data on fines imposed on retail establishments that furnish minors</i>	Yes
Number of fines imposed by the state ⁴	0
Total amount in fines across all licensees	\$0
Smallest fine imposed	No data
Largest fine imposed	No data
Numbers pertain to the 12 months ending	6/30/2014
<i>State collects data on license suspensions imposed on retail establishments specifically for furnishing minors</i>	Yes
Number of suspensions imposed by the state ⁵	No data
Total days of suspensions across all licensees	No data
Shortest period of suspension imposed (in days)	7
Longest period of suspension imposed (in days)	30
Numbers pertain to the 12 months ending	6/30/2014
<i>State collects data on license revocations imposed on retail establishments specifically for furnishing minors</i>	Yes
Number of license revocations imposed ⁶	0
Numbers pertain to the 12 months ending	6/30/2014

Additional Clarification

No data

¹ Or having consumed or purchased per state statutes.

² Underage compliance checks/decoy operations to determine whether alcohol retailers are complying with laws prohibiting sales to minors.

³ Excluding special licenses such as temporary, seasonal, and common carrier licenses.

⁴ Does not include fines imposed by local agencies.

⁵ Does not include suspensions imposed by local agencies.

⁶ Does not include revocations imposed by local agencies.

Underage Drinking Prevention Programs Operated or Funded by the State

Adult and Juvenile ASAP Programs

Program serves specific or general population	Specific population
Number of youth served	415
Number of parents served	No data
Number of caregivers served	No data
Program has been evaluated	Yes
Evaluation report is available	No
URL for evaluation report	Not applicable
URL for more program information	http://dhss.alaska.gov/dbh/Pages/Prevention/programs/asap/default.aspx

Program Description: The Alaska Alcohol Safety Action Program (ASAP) provides substance abuse screening, case management, and accountability for driving while intoxicated (DWI) and other alcohol/drug-related misdemeanor cases. This involves screening cases referred from the district court into drinker classification categories, as well as thoroughly monitoring cases throughout education and/or treatment requirements. ASAP operates as a neutral link between the justice and healthcare delivery systems. This requires a close working relationship among all involved agencies: enforcement, prosecution, judicial, probation, corrections, rehabilitation, licensing, traffic records, and public information/education. The benefits of ASAP monitoring include:

- Increased accountability of offenders
- Reduced recidivism resulting from successful completion of required education or treatment
- Significant reductions in the amount of resources spent by prosecutors, law enforcement officers, judges, attorneys, and corrections officers enforcing court-ordered conditions
- Increased safety for victims and the larger community
- Offenders are more likely to receive treatment, make court appearances, and comply with other probation conditions.

Much like the adult program, the Juvenile Alcohol Safety Action Program (JASAP) receives referrals for those under age 18 who have three or more minor possession or consuming offenses, or who have a driving under the influence (DUI) type offense. In Alaska, ASAP is an integral part of the criminal justice and behavioral healthcare service systems, providing invaluable and necessary monitoring and tracking of clients referred to substance abuse services throughout the state. Five probation officers and five community grantees handle traditional adult misdemeanor ASAP referrals; an additional seven community grantees are funded to handle juvenile cases. In addition to the Anchorage office, adult and juvenile grant programs are located in Fairbanks, Juneau, Kenai/Homer, Kotzebue, and Wasilla/Palmer. Juvenile-only programs are located in Anchorage, Dillingham, Ketchikan, Kodiak, Seward, Nome, and Bethel.

The ASAP program provides a standardized statewide network of alcohol screening and case management for cases referred by the criminal justice system. It offers a consistent process to ensure that clients complete required substance abuse education or treatment programs as prescribed by the courts. The ASAP programs, including the Anchorage office, monitor these cases to confirm with the court and the Department of Motor Vehicles (DMV) when clients have completed court-ordered assignments. In FY 2010, the ASAP program incorporated motivational interviewing (MI), an evidence-based practice, as a model for increasing the engagement of clients during their first encounter with ASAP staff. Through the use of MI-styled interviews, the expected outcome is that clients will be motivated to change their personal behaviors and attitudes related to alcohol and drug use, thereby increasing their completion and success rates following the receipt of required services. Grantees are also responsible for engaging their community prevention coalition and for being involved in ASAP program outreach and education efforts in schools, community forums, and other appropriate venues.

Alcohol & Drug Information School (ADIS)

Program serves specific or general population	Specific population
Number of youth served	575
Number of parents served	No data
Number of caregivers served	No data
Program has been evaluated	No
Evaluation report is available	Not applicable
URL for evaluation report	Not applicable
URL for more program information:	http://dhss.alaska.gov/dbh/Pages/Prevention/programs/adis/default.aspx

Program Description: ADIS programs provide education to first-time DWI and minor consuming offenders, as well as those convicted of other alcohol/drug-related offenses who would not be diagnosed as substance abusers. ADIS programs aim to reduce subsequent alcohol- and/or drug-related offenses and associated high-risk behaviors. ADIS programs cover the effects of alcohol and drugs on driving and social behaviors, as well as health and legal consequences. Each ADIS program conforms to the same standards and is approved and monitored by the Division of Behavioral Health. These programs are designed to be available to all Alaskans involved in alcohol- and/or drug-related offenses. Each adult or youth ADIS program uses an identical core curriculum that combines the most recent research in early intervention and prevention. Each program includes regionally specific information and is designed to be relevant to all segments of Alaska’s diverse population while ensuring uniformity of the core ADIS program content statewide. The adult program uses a core curriculum developed by the Change Company and the State of Alaska. Adult ADIS programs are appropriate for all adults over age 18.

Prime for Life

Program serves specific or general population	Specific population
Number of youth served	403
Number of parents served	403
Number of caregivers served	No data
Program has been evaluated	Yes
Evaluation report is available	No
URL for evaluation report	Not applicable
URL for more program information	http://www.voak.org

Program Description: The youth program, PRIME for Life-Under 21, is similar to the ADIS course but was developed by the Prevention Research Institute (PRI) and is used for individuals ages 14 to not yet 21. Numbers reflect the two providers: Volunteers of America Alaska Chapter and the Alaska Native Justice Center.

Comprehensive Behavioral Health Prevention & Early Intervention

Program serves specific or general population	General population
Number of youth served	Not applicable
Number of parents served	Not applicable
Number of caregivers served	Not applicable
Program has been evaluated	No data
Evaluation report is available	No data
URL for evaluation report	No data
URL for more program information	http://dhss.alaska.gov/dbh/Pages/Prevention/default.aspx

Program Description: The grant program funds a comprehensive array of promotion, prevention, and early intervention approaches that focus on community-designed and community-driven services. These services are based on concepts and program strategies that have proven effective in the prevention of behavioral health concerns. Grant dollars “blend, braid, and pool” resources and programming concepts into an integrated approach to behavioral health prevention. The program is aware that substance abuse, mental health, suicide, fetal alcohol spectrum disorders, family violence, juvenile delinquency, and other issues are interrelated. Consequently, one of the program’s goals is for communities to have the freedom to connect these issues, to partner and collaborate with community members working on connected and related issues, and to focus on what it will take to develop overall community health and wellness. Agencies throughout the state receive funding through this grant program in remote or rural, as well as hub and urban, communities. Each community applying for these funds must use the SAMHSA Center for Substance Abuse Prevention’s Strategic Prevention Framework (SPF) planning model to assess, plan, strategize, implement, and evaluate community-based services. Prevention strategies must be identified based on a clear assessment of local/regional data, selecting programs or practices that are data driven. This model promotes a better connection between program selection and the critical issues facing the community, as evidenced by the available data.

Alaska Strategic Prevention Framework State Incentive Grant

Program serves specific or general population	General population
Number of youth served	Not applicable
Number of parents served	Not applicable
Number of caregivers served	Not applicable
Program has been evaluated	Yes
Evaluation report is available	No
URL for evaluation report	Not applicable
URL for more program information	http://alaskaspfsig.org

Program Description: The Alaska SPF SIG program is one of SAMHSA’s infrastructure grant programs. SAMHSA’s infrastructure grants support an array of activities to help grantees build a solid foundation for delivering and sustaining effective substance abuse and/or mental health services. The SPF SIGs, in particular, will provide funding to states and federally recognized tribes and tribal organizations to implement SAMHSA’s Strategic Prevention Framework in order to prevent the onset and reduce the progression of substance abuse, including childhood and underage drinking, reduce substance abuse related problems in communities, and build prevention capacity and infrastructure at the state/tribal and community levels.

University of Alaska Anchorage (UAA): Alcohol, Drug and Wellness Education

Program serves specific or general population	General population
Number of youth served	Not applicable
Number of parents served	Not applicable
Number of caregivers served	Not applicable
Program has been evaluated	Yes

Evaluation report is available	Yes
URL for evaluation report	Contact UAA Dean of Students Office at 907-786-1214
URL for more program information	http://www.uaa.alaska.edu/deanofstudents/AlcoholDrugAndWellnessEducation/index.cfm

Program Description: UAA provides a comprehensive alcohol and other drug (AOD) education program for approximately 15,000 UAA students. UAA provides numerous, ongoing alcohol-free events and activities for students, has created policies to limit alcohol on campus, and continually communicates these policies and normative messages to students. UAA consistently enforces AOD policies and assigns developmental sanctions to students who violate UAA's AOD policies. It also employs an Alcohol, Drug, and Wellness Educator (ADWE) to coordinate UAA's Alcohol, Drug, and Wellness Education program. The ADWE is a 10-month, 30-hour/week position funded by student health fees. The ADWE uses general fund monies to provide ongoing alcohol, drug, and wellness education programs on campus. The ADWE serves as a consultant to campus groups, meets with students who violate UAA's AOD policies, provides referrals to students seeking treatment for AOD use, and oversees UAA's compliance with the Drug Free Schools and Communities Act.

Enforcing the Underage Drinking Laws (EUDL) Program

Program serves specific or general population	Specific population
Number of youth served	2,319
Number of parents served	No data
Number of caregivers served	No data
Program has been evaluated	No
Evaluation report is available	Not applicable
URL for evaluation report	Not applicable
URL for more program information	No data

Program Description: The EUDL program is a federally funded program through the Office of Juvenile Justice and Delinquency Prevention (OJJDP). EUDL supports and enhances efforts by state and local jurisdictions to prohibit the sale of alcoholic beverages to minors and the purchase and consumption of alcoholic beverages by minors. The Alaska Division of Juvenile Justice administers the EUDL program; however, federal funding for this program ended in FY 2014 and no additional EUDL funding is anticipated for FY 2015. Projects funded with FY 2014 EUDL funds encouraged youth to develop innovative programs to prevent and combat underage drinking in their community, including training youth in media literacy and advocacy; state, federal, and local policies with respect to underage drinking; environmental prevention strategies; peer mentoring; developing and delivering presentations to peers in schools and communities about the effects of alcohol and the risks youth take in soliciting adults for alcohol; developing a media campaign emphasizing the social responsibility, liability, and result of parents/adults providing alcohol to minors; and peer-directed advertising addressing risks youth take in accepting alcohol from adults.

Additional Underage Drinking Prevention Programs Operated or Funded by the State

Program description: No data

Additional Clarification

No data

Additional Information Related to Underage Drinking Prevention Programs

State collaborates with federally recognized tribal governments in the prevention of underage drinking Yes

Description of collaboration: The State of Alaska partners with tribal health corporations to fund community-level prevention strategies driven by the needs of individual communities or regions. Currently, the state's prevention partners are Bristol Bay Health Corporation, Fairbanks Native Association, Maniilaq, Akiachak Native Community, Southeast Alaska Regional Health Consortium, Asa'carsarmiut, Association of Village Council Presidents, Cook Inlet Tribal Council, Copper River Native Association, Ketchikan Indian Corporation, Kodiak Area Native Health Association, Nulato, Tanana Chiefs Conference, Yukon Kuskokwim Health Corporation, and Norton Sound Health Corporation. The states works in close partnership with the Alaska Native Health Consortium and Cook Inlet Tribal

Council. The state also relies on input and support of leaders from the Alaska Native community through informal and formal avenues, including participation in the SPF SIG processes; these processes include the Advisory Committee, Epidemiological Committee, and Evidence-Based Work Group. Representatives from the Alaska Native Justice Center serve on the Alaska Committee to Prevent Underage Drinking.

<i>State has programs to measure and/or reduce youth exposure to alcohol advertising and marketing</i>	No
Description of program:	Not applicable
<i>State has adopted or developed best practice standards for underage drinking prevention programs</i>	Yes
Agencies/organizations that established best practices standards:	
Federal agency(ies):	No
Agency(ies) within your state: Alaska Committee to Prevent Underage Drinking	Yes
Nongovernmental agency(ies):	No
Other:	No
Best practice standards description: Recommendations are included in the State of Alaska Plan to Reduce and Prevent Underage Drinking, which can be found at http://dhss.alaska.gov/dbh/Documents/Prevention/UnderagedrinkingUpdated.pdf	

Additional Clarification

No data

State Interagency Collaboration

A state-level interagency governmental body/committee exists to coordinate or address underage drinking prevention activities Yes

Committee contact information:

Name: Sara Clark
 Email: sara.clark@alaska.gov
 Address: 3601 C Street, Suite 934, Anchorage, AK 99524
 Phone: 907-269-3781

Agencies/organizations represented on the committee:

Division of Juvenile Justice
 Alcohol Beverage Control Board
 University of Alaska College of Health
 Department of Education and Early Development
 Alcohol Safety Action Program
 University of Alaska Justice Center
 Alaska Native Justice Center
 Alaska Mental Health Board
 Alaska Court System
 DHSS / Division of Behavioral Health / Prevention & Early Intervention Section

A website or other public source exists to describe committee activities No
 URL or other means of access: Not applicable

Underage Drinking Reports

State has prepared a plan for preventing underage drinking in the last 3 years Yes

Prepared by: Alaska Committee to Prevent Underage Drinking
 Plan can be accessed via:
<http://dhss.alaska.gov/dbh/Documents/Prevention/UnderagedrinkingUpdated.pdf>

State has prepared a report on preventing underage drinking in the last 3 years Yes

Prepared by: University of Alaska Anchorage Justice Center
 Plan can be accessed via:
http://justice.uaa.alaska.edu/research/2010/1010.voa/1010.04.youth_alcohol_accs.update.html

Additional Clarification

No data

State Expenditures for the Prevention of Underage Drinking

<i>Compliance checks in retail outlets:</i>	
Estimate of state funds expended	\$100,000
Estimate based on the 12 months ending	6/30/2014
<i>Checkpoints and saturation patrols:</i>	
Estimate of state funds expended	\$219,642
Estimate based on the 12 months ending	10/1/2014
<i>Community-based programs to prevent underage drinking:</i>	
Estimate of state funds expended	\$2,625,701
Estimate based on the 12 months ending	6/30/2014
<i>K–12 school-based programs to prevent underage drinking:</i>	
Estimate of state funds expended	\$0
Estimate based on the 12 months ending	6/30/2014
<i>Programs targeted to institutes of higher learning:</i>	
Estimate of state funds expended	\$11,475
Estimate based on the 12 months ending	6/30/2014
<i>Programs that target youth in the juvenile justice system:</i>	
Estimate of state funds expended	Data not available
Estimate based on the 12 months ending	Data not available
<i>Programs that target youth in the child welfare system:</i>	
Estimate of state funds expended	Data not available
Estimate based on the 12 months ending	Data not available
<i>Other programs:</i>	
Programs or strategies included	No data
Estimate of state funds expended	No data
Estimate based on the 12 months ending	No data

Funds Dedicated to Underage Drinking

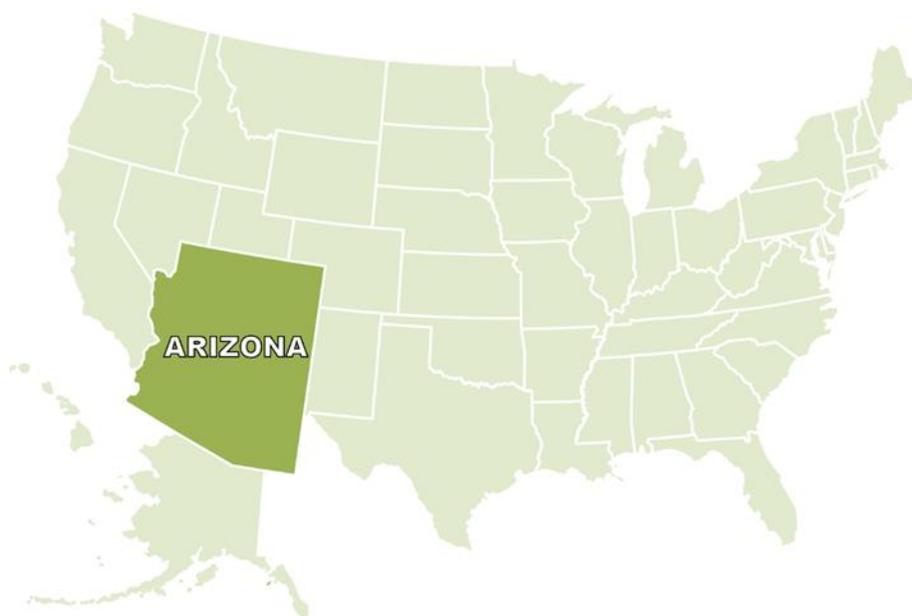
<i>State derives funds dedicated to underage drinking from the following revenue streams:</i>	
Taxes	Yes
Fines	Yes
Fees	No
Other: The comprehensive behavioral health community grant program represents funding from state GF, alcohol tax funds, interagency receipts, and revenue from fines. Other sources of funding for UAD prevention come from the SAPT Block Grant 20% set-aside and the federal SPF SIG grant.	Yes

Description of funding streams and how they are used:

The alcohol tax fund state dollars (approximately \$250,000 in SFY 2014) were used to fund an underage drinking prevention, statewide, coordinated media campaign operated by the Alaska Wellness Coalition. The goal of the program is to reduce underage drinking and is focused on evidence-based environmental prevention strategies to change social norms regarding youth alcohol. By using this approach, the Alaska Wellness Coalition will maximize communication, outcomes, and economic use of resources, while at the same time reducing duplicate and ineffective approaches. The campaign kicked off in spring 2015.

Additional Clarification

No data



Arizona

State Population: 6,731,484

Population Ages 12–20: 807,000

	Percentage	Number
Ages 12–20		
Past-Month Alcohol Use	22.9	185,000
Past-Month Binge Alcohol Use	13.3	108,000
Ages 12–14		
Past-Month Alcohol Use	5.5	15,000
Past-Month Binge Alcohol Use	3.4	9,000
Ages 15–17		
Past-Month Alcohol Use	19.9	55,000
Past-Month Binge Alcohol Use	9.0	25,000
Ages 18–20		
Past-Month Alcohol Use	43.2	115,000
Past-Month Binge Alcohol Use	27.7	74,000
Alcohol-Attributable Deaths (under 21)		114
Years of Potential Life Lost (under 21)		6,896
	Percentage of All Traffic Fatalities	Number
Traffic Fatalities, 15- to 20-Year-Old Drivers with BAC > 0.01	14	13

Laws Addressing Minors in Possession of Alcohol

Underage Possession	
Is underage possession of alcoholic beverages prohibited?	Yes
Are there exceptions based on family relationships?	
• Is possession allowed if parent or guardian is present or consents?	No
• Is possession allowed if spouse is present or consents?	No
Is there an exception based on location?	No

Underage Consumption	
Is underage consumption of alcoholic beverages prohibited?	Yes
Are there exceptions based on family relationships?	
• Is consumption allowed if the parent or guardian is present or consents?	No
• Is consumption allowed if the spouse is present or consents?	No
Is there an exception based on location?	No

Underage Internal Possession	
Is underage internal possession of alcoholic beverages prohibited?	No law
Are there exceptions based on family relationships?	
• Is internal possession allowed if the parent or guardian is present or consents?	N/A
• Is internal possession allowed if the spouse is present or consents?	N/A
Is there an exception based on location?	N/A
<p><i>Note:</i> Although Arizona does not prohibit internal possession as defined in this report, it has a statutory provision that makes it unlawful for a person under age 21 to have in the person's body any spirituous liquor. Laws that prohibit minors from having alcohol in their bodies, but do so without reference to a blood, breath, or urine test, are not considered as prohibiting internal possession for purposes of this report.</p>	

Underage Purchase and Attempted Purchase	
Is the purchase of alcoholic beverages prohibited?	Yes
May youth purchase for law enforcement purposes?	Yes

False Identification for Obtaining Alcohol	
Provisions Targeting Minors	
Is the use of false identification (ID) prohibited?	Yes
Does the use of a false ID result in minor's driver's license suspension?	Yes, through both judicial and administrative processes
Provisions Targeting Suppliers	
Is the lending or transferring or selling of a false ID prohibited?	No
Is the production of a false ID in the context of underage alcohol sales specifically prohibited?	No
Retailer Support Provisions	
Is there an incentive for the retailer to use electronic scanners for information digitally encoded on valid IDs?	Yes
Are state driver's licenses for persons under 21 easily distinguishable from licenses for persons 21 and over?	Yes

May retailers seize apparently false IDs without fear of prosecution even if the ID is ultimately deemed valid?	No
Does an affirmative defense exist for the retailer?	Yes
<ul style="list-style-type: none"> Is it a specific affirmative defense (retailer reasonably believed ID was valid after examining it)? 	Yes
<ul style="list-style-type: none"> Is it a general affirmative defense (retailer reasonably believed purchaser was over 21)? 	No
Does the retailer have the right to sue the minor for use of a false ID?	No
May a retailer detain a minor who used a false ID?	No

Laws Targeting Underage Drinking and Driving

Youth Blood Alcohol Concentration Limits (Underage Operators of Noncommercial Motor Vehicles)	
What is the maximum blood alcohol concentration (BAC) limit for an underage driver of a motor vehicle?	0
Does a BAC level in excess of limit automatically establish a violation (per se violation)?	Yes
What is the minimum age to which the limit applies?	0
What is the maximum age to which the limit applies?	21

Loss of Driving Privileges for Alcohol Violations by Minors (“Use/Lose” Laws)	
Is there a “use/lose” law that suspends or revokes a minor’s driving privileges for alcohol violations?	Yes
What types of violation lead to license suspension or revocation?	
<ul style="list-style-type: none"> Purchase of alcohol 	Yes
<ul style="list-style-type: none"> Possession of alcohol 	Yes
<ul style="list-style-type: none"> Consumption of alcohol 	Yes
The law applies to people under what age?	18
Is suspension or revocation mandatory or discretionary?	Discretionary
What is the length of suspension/revocation?	
Minimum number of days	0
Maximum number of days	180

Graduated Driver’s Licenses	
Learner Stage	
What is the minimum age for permit to drive with parents, guardians or other adults (other than instructors)?	15 years, 6 months
What is the minimum number of months driver must hold learner permit before advancing to intermediate stage?	6
What is the minimum number of hours of driving with parents, guardians, or adults before advancing to intermediate stage?	0 with driver education; 30 hours without (10 of which must be at night))
Intermediate Stage	
What is the minimum age for driving without adult supervision?	16

For night driving, when does adult supervision requirement begin?	12 am
Can law enforcement stop a driver for night-driving violation as a primary offense?	No – Officer must stop driver for another offense to cite for night-driving violation
Are there restrictions on passengers?	Yes – No more than one passenger under 18 who is not driver's sibling, unless accompanied by a parent or guardian
Can law enforcement stop driver for violation of passenger restrictions as a primary offense?	No – Officer must stop driver for another offense to cite for passenger restriction violation
License Stage	
What is the minimum age for full license privileges and lifting of restrictions?	16 years, 6 months

Laws Targeting Alcohol Suppliers

Furnishing Alcohol to Minors	
Is furnishing of alcoholic beverages to minors prohibited?	Yes
Are there exceptions based on family relationships?	
• Is furnishing allowed if the parent or guardian supplies the alcohol?	No
• Is furnishing allowed if the spouse supplies the alcohol?	No
Is there an exception based on location?	No
Affirmative Defense for Sellers and Licensees	
Does law require seller/licensee to be exonerated of furnishing to a minor if the minor has not been charged?	No

Compliance Check Protocols	
Does the state have a written protocol for when an underage decoy is used in compliance checks?	Yes
What is the minimum age a decoy may be to participate in a compliance check?	15
What is the maximum age a decoy may be to participate in a compliance check?	19
What are the decoy's appearance requirements?	Yes – Age-appropriate appearance; limit use of cosmetics; no jewelry associated with adulthood (such as wedding or engagement ring); limit facial hair (no full beards or mustaches), no receding hairlines, be of appropriate height and weight
Does decoy carry ID during compliance check?	Discretionary
May decoy verbally exaggerate his or her actual age?	Not specified
Is decoy training mandated, recommended, prohibited, or not specified?	Not specified

Penalty Guidelines for Sales to Minors	
Are there written guidelines for penalties imposed on retailers for furnishing to a minor?	Yes

What is the time period for defining second, third, and subsequent offenses?	2 years
What is the penalty for the first offense?	\$1,000–\$2,000 fine and/or up to 30-day suspension
What is the penalty for the second offense?	\$2,000–\$3,000 fine and/or up to 30-day suspension
What is the penalty for the third offense?	\$3,000 fine and/or up to 30-day suspension
What is the penalty for the fourth offense?	Not specified
<i>Note:</i> Mitigating or aggravating factors considered.	

Responsible Beverage Service (RBS)	
Is there a state law pertaining to beverage service training?	Yes – Voluntary
If training is mandatory, who must participate?	N/A
If training is voluntary, which of the following incentives are offered?	
• Defense in dram shop liability lawsuits	No
• Discounts in dram shop liability insurance, license fees, or other	No
• Mitigation of fines or other administrative penalties for sales to minors or intoxicated persons	Yes
• Protection against license revocation for sales to minors or sales to intoxicated persons	No
Does the RBS law apply to on-premises establishments (such as bars and restaurants) or off-premises establishments (such as liquor stores)?	Both
Does the RBS law apply to new or existing licensees?	Unspecified

Minimum Age for Sellers of Alcohol – Off-Premises (i.e., Liquor Stores)	
What is the minimum age requirement for off-premises retail establishments?	
Beer	16
Wine	16
Spirits	16
Does a manager or supervisor have to be present?	Yes
<i>Note:</i> Off-sale retailers may employ persons who are at least 16 to check out, if supervised by a person on the premises who is at least 19, package or carry merchandise, including spirituous liquor, in unbroken packages, for the convenience of the customer of the employer, if the employer sells primarily merchandise other than spirituous liquor.	

Minimum Age for Alcohol Servers and Bartenders – On-Premises (i.e., Restaurants and Bars)	
What is the minimum age requirement for servers in on-premises establishments?	
Beer	19
Wine	19
Spirits	19
What is the minimum age requirement for bartenders in on-premises establishments?	
Beer	19
Wine	19
Spirits	19
Does a manager or supervisor have to be present?	No

Alcohol Outlet Siting Near Schools and Universities	
Colleges and Universities	
Is there a distance requirement for off-premises outlets (i.e., liquor stores)?	No
Is there a distance requirement for on-premises outlets (i.e., restaurants and bars)?	No
To which alcohol products does requirement apply?	N/A
Primary and Secondary Schools	
Is there a distance requirement for off-premises outlets (i.e., liquor stores)?	Yes, within 300 feet
Is there a distance requirement for on-premises outlets (i.e., restaurants and bars)?	Yes, within 300 feet
To which alcohol products does requirement apply?	Beer, wine, spirits
<i>Note:</i> Exceptions are restaurants; hotel-motels; government; and golf courses. In addition, case-by-case exemptions may apply for certain licenses within entertainment districts.	

Dram Shop Liability	
Does a statute create dram shop liability?	Yes
Does the statute limit damages that may be recovered?	No
Does the statute limit who may be sued?	No
Does the statute limit elements or standards of proof?	No
Does common law dram shop liability exist?	Yes

Social Host Liability	
Does a statute create social host liability?	No
Does the statute limit damages that may be recovered?	N/A
Does the statute limit who may be sued?	N/A
Does the statute limit elements or standards of proof?	N/A
Does common law social host liability exist?	Yes

Prohibitions Against Hosting Underage Drinking Parties	
Does a statute prohibit hosting underage drinking parties?	Yes
Is the statute specific to underage parties, or a general prohibition against permitting underage drinking on the property?	Specific
What action by underage guest triggers a violation?	Possession/Consumption
Property type covered by the law?	Residential/Outdoor/Other
What level of knowledge by the host is required?	Negligence: Host knew or should have known of the party
Does host's preventive action protect him/her from being held liable?	No
Are there any exceptions for underage guests?	Yes – Family members and residents of household
<i>Note:</i> Arizona's social host provision applies to gatherings of two or more underage persons on unlicensed premises, where the person charged knows or should know that one or more of the underage persons is in possession of or consuming spirituous liquor.	

Retailer Interstate Shipments of Alcohol

Are out-of-state retailers prohibited from sending interstate shipments to in-state consumers?	
Beer	Yes
Wine	Yes
Spirits	Yes

Direct Shipments/Sales	
May alcohol producers ship directly to consumers?	Yes
What alcohol types may be shipped?	Wine, distilled spirits
Must purchaser make mandatory trip to producer before delivery is authorized?	No
Age verification requirements	
Must the producer/shipper verify purchaser's age before sale?	Yes
Must the common carrier (deliverer) verify age of recipients?	Yes
State approval/permit requirements	
Must the producer/manufacture obtain state license or permit?	Yes
Must the common carrier (deliverer) be approved by a state agency?	No
Recording/reporting requirements	
Must the producer/manufacture record/report purchaser's name?	Yes
Must the common carrier (deliverer) record/report recipient's name?	Yes
Shipping label requirements	
Must the label state "Package contains alcohol"?	No
Must the label state "Recipient must be 21 years old"?	Yes
<i>Note: A farm winery that produces not more than 20,000 gallons of wine and a craft distillery that produces not more than 1,189 gallons of distilled spirits in a calendar year may make sales and deliveries of their product to consumers who order by telephone, mail, fax, or the internet.</i>	

Keg Registration	
How is a keg defined (in gallons)?	No law
Prohibitions	
Is it illegal to possess an unregistered or unlabeled keg and if so, what is the penalty?	No law
Is it illegal to destroy the label on a keg, and if so, what is the penalty?	No law
What purchaser information is collected?	
Must the retailer collect the name and address?	No law
Must the retailer collect the ID number, name and address on license or other government information?	No law
Must the retailer collect the address at which keg will be consumed?	No law
Must warning information be given to purchaser?	No law
Is a deposit required?	No law
Does law cover disposable kegs?	No law

Home Delivery	
Is home delivery of alcohol permitted?	
Beer	Yes

Wine	Yes
Spirits	Yes

High-Proof Grain Alcohol Beverages	
Are there restrictions on the sale of high-proof grain alcohol beverages?	No
Are restrictions based on Alcohol by Volume (ABV)?	N/A
Are there exceptions to restrictions?	N/A

Laws Affecting Alcohol Pricing

Alcohol Taxes	
Beer	
Control system for beer?	No
Specific excise tax per gallon for 5% alcohol beer	\$0.16
Ad valorem excise tax (for on-premises sales) on total receipts for 5% alcohol beer	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Ad valorem excise tax (for off-premises sales) on total receipts for 5% alcohol beer	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Additional taxes for 3.2–6% alcohol beer (if applicable)	
Wine	
Control system for wine?	No
Specific excise tax per gallon for 12% alcohol wine	\$0.84
Ad valorem excise tax (for on-premises sales) on total receipts for 12% alcohol wine	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Ad valorem excise tax (for off-premises sales) on total receipts for 12% alcohol wine	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant

Additional taxes for 6–14% alcohol wine (if applicable)	
Spirits	
Control system for spirits?	No
Specific excise tax per gallon for 40% alcohol spirits	\$3.00
Ad valorem excise tax (for on-premises sales) on total receipts for 40% alcohol spirits	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Ad valorem excise tax (for off-premises sales) on total receipts for 40% alcohol spirits	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Additional taxes for 15–50% alcohol spirits (if applicable)	

Low-Price, High-Volume Drink Specials	
What types of drink specials are prohibited by on-premises retailers?	
Free beverages	No
Multiple servings at one time	No
Multiple servings for same price as single serving	No
Reduced price for a specified day or time (i.e., happy hours)	No
Unlimited beverages for fixed price	Yes
Increased volume without increase in price	No

Wholesaler Pricing Restrictions	
Beer	
Are volume discounts to retailers allowed?	No law
Must wholesalers establish a minimum markup or maximum discount for each product sold to retailers?	No law
Must wholesalers publicly post and hold (i.e., not reduce) prices for a set period of time?	No law
Is wholesaler permitted to extend credit to retailer and if so, what is the maximum time period?	No

Wine	
Are volume discounts to retailers allowed?	No law
Must wholesalers establish a minimum markup or maximum discount for each product sold to retailers?	No law
Must wholesalers publicly post and hold (i.e., not reduce) prices for a set period of time?	No law
Is wholesaler permitted to extend credit to retailer and if so, what is the maximum time period?	No
Spirits	
Are volume discounts to retailers allowed?	No law
Must wholesalers establish a minimum markup or maximum discount for each product sold to retailers?	No law
Must wholesalers publicly post and hold (i.e., not reduce) prices for a set period of time?	No law
Is wholesaler permitted to extend credit to retailer and if so, what is the maximum time period?	No

Arizona State Survey Responses

State Agency Information	
<i>Agency with primary responsibility for enforcing underage drinking laws:</i>	
Arizona Department of Liquor	
Enforcement Strategies	
<i>State law enforcement agencies use:</i>	
Cops in Shops	Yes
Shoulder Tap Operations	No
Party Patrol Operations or Programs	Yes
Underage Alcohol-Related Fatality Investigations	Yes
<i>Local law enforcement agencies use:</i>	
Cops in Shops	No
Shoulder Tap Operations	Yes
Party Patrol Operations or Programs	Yes
Underage Alcohol-Related Fatality Investigations	Yes
<i>State has a program to investigate and enforce direct sales/shipment laws</i>	No
Primary state agency responsible for enforcing laws addressing direct sales/shipments of alcohol to minors	Not applicable
Such laws are also enforced by local law enforcement agencies	Not applicable
Enforcement Statistics	
<i>State collects data on the number of minors found in possession</i>	Yes
Number of minors found in possession by state law enforcement agencies	1,245
Number pertains to the 12 months ending	12/31/2014
Data include arrests/citations issued by local law enforcement agencies	No
<i>State conducts underage compliance checks/decoy operations² to determine if alcohol retailers are complying with laws prohibiting sales to minors</i>	Yes
Data are collected on these activities	Yes
Number of retail licensees in state ³	Approximately 11,000
Number of licensees checked for compliance by state agencies (including random checks)	181
Number of licensees that failed state compliance checks	76
Numbers pertain to the 12 months ending	12/31/2014
Compliance checks/decoy operations conducted at on-sale, off-sale, or both retail establishments	Both on- and off-sale establishments
<i>State conducts random underage compliance checks/decoy operations</i>	No
Number of licensees subject to random state compliance checks/decoy operations	Not applicable
Number of licensees that failed random state compliance checks	Not applicable
<i>Local agencies conduct underage compliance checks/decoy operations to determine if alcohol retailers are complying with laws prohibiting sales to minors</i>	Yes
Data are collected on these activities	No
Number of licensees checked for compliance by local agencies	Not applicable
Number of licensees that failed local compliance checks	Not applicable
Numbers pertain to the 12 months ending	Not applicable
Sanctions	
<i>State collects data on fines imposed on retail establishments that furnish minors</i>	Yes
Number of fines imposed by the state ⁴	173
Total amount in fines across all licensees	\$92,125
Smallest fine imposed	\$750
Largest fine imposed	\$7,000
Numbers pertain to the 12 months ending	12/31/2014

<i>State collects data on license suspensions imposed on retail establishments specifically for furnishing minors</i>	Yes
Number of suspensions imposed by the state ⁵	0
Total days of suspensions across all licensees	No data
Shortest period of suspension imposed (in days)	No data
Longest period of suspension imposed (in days)	No data
Numbers pertain to the 12 months ending	12/31/2014
<i>State collects data on license revocations imposed on retail establishments specifically for furnishing minors</i>	Yes
Number of license revocations imposed ⁶	0
Numbers pertain to the 12 months ending	12/31/2014

Additional Clarification

No data.

¹ Or having consumed or purchased per state statutes.

² Underage compliance checks/decoy operations to determine whether alcohol retailers are complying with laws prohibiting sales to minors.

³ Excluding special licenses such as temporary, seasonal, and common carrier licenses.

⁴ Does not include fines imposed by local agencies.

⁵ Does not include suspensions imposed by local agencies.

⁶ Does not include revocations imposed by local agencies.

Underage Drinking Prevention Programs Operated or Funded by the State

Parker Area Alliance for Community Empowerment (PAACE)

Program serves specific or general population	No data
Number of youth served	No data
Number of parents served	No data
Number of caregivers served	No data
Program has been evaluated	Yes
Evaluation report is available	No
URL for evaluation report	Not applicable
URL for more program information	http://www.paace.org

Program Description: PAACE addresses underage drinking by implementing community development strategies and providing community education and training on the risks, harms, and consequences of underage drinking for youth and adults. Activities include a life skills component to help youth decrease favorable attitudes toward substance (ab)use and increase knowledge of the perceived risks and harms of underage drinking. The number of clients served directly and indirectly (including youth, parents, and caregivers) was 3,801 ending June 2014.

Campesinos Sin Fronteras

Program serves specific or general population	No data
Number of youth served	No data
Number of parents served	No data
Number of caregivers served	No data
Program has been evaluated	Yes
Evaluation report is available	No
URL for evaluation report	http://campesinossinfronteras.org
URL for more program information	No data

Program Description: Campesinos Sin Fronteras is implementing the Primero La Familia/Family First Program to address the high rates of alcohol abuse and controlled substance use in the rural areas of Yuma County, Arizona. The program increases and enhances parental involvement in community-based prevention and intervention targeting the serious risks and public health problems caused by abuse of alcohol and controlled substances. The program uses multiple strategies to increase parental involvement, including peer education groups, parent and caregiver community mobilization, implementation of the South Yuma County Anti-Drug Coalition Subcommittee, youth leadership development, and a family/community theater production. The number of clients served directly or indirectly (including youth, parents, and caregivers) was 21,091 ending June 2014.

La Frontera Center

Program serves specific or general population	No data
Number of youth served	No data
Number of parents served	No data
Number of caregivers served	no data
Program has been evaluated	Yes
Evaluation report is available	No
URL for evaluation report	Not applicable
URL for more program information	http://www.lafronteraaz.org

Program Description: The program provides parent education to refugee families who have relocated in Tucson, Arizona. The education is for the purpose of preventing underage drinking among refugee youth. The number of clients served directly or indirectly (including youth, parents, and caregivers) was 6,491 ending June 2014.

MATForce

Program serves specific or general population	No data
Number of youth served	No data
Number of parents served	No data
Number of caregivers served	No data
Program has been evaluated	Yes
Evaluation report is available	No
URL for evaluation report	Not applicable
URL for more program information	http://www.MATForce.org

Program Description: Due to an overwhelming concern for substance abuse and its effects, MATForce, the Yavapai County Substance Abuse Coalition, was formed. The coalition consists of over 300 volunteers working on various projects to reduce substance abuse in Yavapai County. The coalition's mission statement is: "With determination and integrity, we, the citizens of Yavapai County, commit to working in partnership to build healthier communities by striving to eliminate substance abuse and its effects." The coalition's five goal statements are (1) support prevention programs for youth and families, (2) increase the capacity to intervene and treat, (3) address the problem of underage drinking, (4) influence public opinion and policy, and (5) reduce prescription drug abuse. MATForce consists of various committees and workgroups, each working on objectives of the specified goal statements. The number of clients served directly or indirectly (including youth, parents, and caregivers) was 63,156 ending June 2014.

Arizona Youth Partnership

Program serves specific or general population	No data
Number of youth served	No data
Number of parents served	No data
Number of caregivers served	No data
Program has been evaluated	Yes
Evaluation report is available	No
URL for evaluation report:	Not applicable
URL for more program information:	http://www.azyp.org

Program Description: Arizona Youth Partnership is implementing Project GIFTS (Growing and Inspiring Families to Succeed) in three communities in Mohave County: Bullhead City, Kingman, and Lake Havasu City. Project GIFTS combines two research-based programs proven to significantly reduce violence against self, the family, and the community. The two programs, Strengthening Families and Parent Pledge, educate parents on the social and judicial dangers of youth underage drinking. The number of clients served directly or indirectly (including youth, parents, and caregivers) was 74,309 ending June 2014.

Compass Health Care

Program serves specific or general population	No data
Number of youth served	No data
Number of parents served	No data
Number of caregivers served	No data

Program has been evaluated	Yes
Evaluation report is available	No
URL for evaluation report:	Not applicable
URL for more program information:	http://www.compasshc.org

Program Description: The goal of the project is for the Community Prevention Coalition to target parents in Pima County through the development and implementation of multiple strategies that educate parents on the harms and consequences associated with youth alcohol and prescription drug use. The project teaches effective parenting skills and practices to engage parents in their child’s life as a protective factor, in order to reduce youth risk of alcohol and prescription drug use. Parents become more informed on issues of youth alcohol use and the current prescription drug epidemic while learning to communicate with their youth in a way that positively impacts youth’s choices, which ultimately prevents youth alcohol and prescription drug use. The number of clients served directly or indirectly (including youth, parents, and caregivers) was 1,770,684 ending June 2014.

Parenting Arizona (PA)

Program serves specific or general population	No data
Number of youth served	No data
Number of parents served	No data
Number of caregivers served	No data
Program has been evaluated	Yes
Evaluation report is available	No
URL for evaluation report:	Not applicable
URL for more program information:	http://www.parentingaz.org

Program Description: Chicanos Por La Causa (CPLC) – Parenting Arizona will impact 6,000 individuals both directly and indirectly by increasing and enhancing parental involvement in school and community. PA will have all Parent Resource Coordinators (PRCs) trained in substance abuse prevention to increase parental knowledge of serious risks and public health problems caused by substance abuse of alcohol and controlled substances. The number of clients served directly or indirectly (including youth, parents, and caregivers) was 21,177 ending June 2014.

ASU-SIRC

Program serves specific or general population	No data
Number of youth served	No data
Number of parents served	No data
Number of caregivers served	No data
Program has been evaluated	No data
Evaluation report is available	No data
URL for evaluation report:	No data
URL for more program information:	No data

Program Description: The number of clients served directly or indirectly (including youth, parents, and caregivers) was 3,663 ending June 2014.

CGA Inc.

Program serves specific or general population	No data
Number of youth served	No data
Number of parents served	No data
Number of caregivers served	No data
Program has been evaluated	No data
Evaluation report is available	No data
URL for evaluation report:	No data
URL for more program information:	No data

Program Description: The number of clients served directly or indirectly (including youth, parents, and caregivers) was 373,003 ending June 2014.

Childhelp, Inc.

Program serves specific or general population	No data
Number of youth served	No data

Number of parents served	No data
Number of caregivers served	No data
Program has been evaluated	No data
Evaluation report is available	No data
URL for evaluation report:	No data
URL for more program information:	No data

Program Description: The number of clients served directly or indirectly (including youth, parents, and caregivers) was 1,987 ending June 2014.

CODAC Behavioral Health

Program serves specific or general population	
Number of youth served	No data
Number of parents served	No data
Number of caregivers served	No data
Program has been evaluated	No data
Evaluation report is available	No data
URL for evaluation report:	No data
URL for more program information:	No data

Program Description: The number of clients served directly or indirectly (including youth, parents, and caregivers) was 2,826 ending June 2014.

Community Bridges, Inc.

Program serves specific or general population	No data
Number of youth served	No data
Number of parents served	No data
Number of caregivers served	No data
Program has been evaluated	No data
Evaluation report is available	No data
URL for evaluation report:	No data
URL for more program information:	No data

Program Description: The number of clients served directly or indirectly (including youth, parents, and caregivers) was 3,911 ending June 2014.

Friendly House, Inc.

Program serves specific or general population	No data
Number of youth served	No data
Number of parents served	No data
Number of caregivers served	No data
Program has been evaluated	No data
Evaluation report is available	No data
URL for evaluation report:	No data
URL for more program information:	No data

Program Description: The number of clients served directly or indirectly (including youth, parents, and caregivers) was 22,457 ending June 2014.

ICAN

Program serves specific or general population	No data
Number of youth served	No data
Number of parents served	No data
Number of caregivers served	No data
Program has been evaluated	No data
Evaluation report is available	No data
URL for evaluation report:	No data
URL for more program information:	No data

Program Description: The number of clients served directly or indirectly (including youth, parents, and caregivers) was 1,424 ending June 2014.

Office of the Arizona Attorney General

Program serves specific or general population	No data
Number of youth served	No data
Number of parents served	No data
Number of caregivers served	No data
Program has been evaluated	No data
Evaluation report is available	No data
URL for evaluation report:	No data
URL for more program information:	No data

Program Description: The number of clients served directly or indirectly (including youth, parents, and caregivers) was 190,821 ending June 2014.

Additional Underage Drinking Prevention Programs Operated or Funded by the State

Program description: *Partnership for a Drug-Free America, Arizona Affiliate:* The number of clients served directly or indirectly (including youth, parents, and caregivers) was 2,487 ending June 2014. *Phoenix Indian Center, Inc.:* The number of clients served directly or indirectly (including youth, parents, and caregivers) was 14,643 ending June 2014. *Pima Prevention Partnership:* The number of clients served directly or indirectly (including youth, parents, and caregivers) was 8,313 ending June 2014. *Southeastern Arizona Behavioral Health Services, Inc.:* The number of clients served directly or indirectly (including youth, parents, and caregivers) 8,820 ending June 2014. *Southwest Behavioral Health Services, Inc.:* The number of clients served directly or indirectly (including youth, parents, and caregivers) was 44,346 ending June 2014. *White Mountain Communities Hospital:* The number of clients served directly or indirectly (including youth, parents, and caregivers) was 27,767 ending June 2014. *ACJC:* The number of clients served directly or indirectly (including youth, parents, and caregivers) was 686,078 ending June 2014.

Additional Clarification

No data

Additional Information Related to Underage Drinking Prevention Programs

State collaborates with federally recognized tribal governments in the prevention of underage drinking Yes

Description of collaboration: Arizona has intergovernmental agreements with the Gila River Indian Community and Pascua Yaqui Tribe to provide alcohol-related substance abuse prevention services. Arizona subcontracts to private nonprofit corporations (Regional Behavioral Health Authorities) that (1) provide alcohol-related substance abuse prevention services directly to the San Carlos Apache Tribe, (2) provide alcohol-related prevention services to the Ak-Chin Indian Community and Hopi Nation, and (3) work collaboratively to write grants and develop capacity to deliver alcohol-related substance abuse prevention services with the Hualapai Nation.

State has programs to measure and/or reduce youth exposure to alcohol advertising and marketing Yes

Description of program: Develop and support a community campaign that increases the compliance with existing statutes that prohibit the sale of alcohol to minors and inebriated patrons; and prohibitions against excessive alcohol marketing in the form of billboards and vinyl banners.

State has adopted or developed best practice standards for underage drinking prevention programs Yes

Agencies/organizations that established best practices standards:	
Federal agency(ies):	No
Agency(ies) within your state: Arizona Department of Health Services, Division of Behavioral Health (ADHS/DBHS)	Yes
Nongovernmental agency(ies):	No
Other:	No

Best practice standards description: Evidence-based practice (EBP) review teams are assembled to review and evaluate all Arizona Department of Health Services/Division of Behavioral Health Services subcontracted prevention programs to determine which are evidence based, using criteria recommended by the Substance Abuse and Mental Health Services Administration (SAMHSA). In addition to fulfilling block grant requirements, the purpose of the EBP review is to provide an opportunity for learning and improvement among Arizona’s prevention community. Each EBP review team consists of a member of ADHS/DBHS, one to two provider representatives, a Regional Behavioral Health Authority (RBHA) representative, and a research representative. Each team reviews 8 to 12 programs. The definition of “program” within the ADHS/BHS RBHA system is “a set of prevention strategies, which address a common set of goals and objectives for a common target audience in one county.” This definition is broad and intended to serve as an umbrella to encompass many strategies used by a provider. The information viewed under this definition combines all prevention strategies, activities, and/or curriculum under one program. Reviewers use the program logic model, program descriptions, strategies, and outcomes to assess whether the overall program meets the criteria of being evidence based. The criteria to be considered evidence based are based on the SAMHSA National Registry of Evidence-based Programs and Practices (NREPP) criteria. To be deemed an evidence-based practice, a program/strategy must meet the following criteria: (1) Included on federal lists or registries of evidence-based interventions, (2) reported (with positive effects) in peer-reviewed journals; and (3) documented effectiveness supported by other sources of information and the consensus judgment of informed experts:

- *Guideline 1:* The intervention is based on a theory of change that is documented in a clear logic or conceptual mode.
- *Guideline 2:* The intervention is similar in content and structure to interventions that appear in registries and/or the peer-reviewed literature.
- *Guideline 3:* The intervention is supported by documentation that it has been effectively implemented in the past, and multiple times, in a manner attentive to scientific standards of evidence and with results that show a consistent pattern of credible and positive effects.
- *Guideline 4:* The intervention is reviewed and deemed appropriate by a panel of informed prevention experts that includes well-qualified prevention researchers experienced in evaluating prevention interventions similar to those under review, local prevention practitioners, and key community leaders as appropriate, e.g., officials from law enforcement and education sectors or elders within indigenous cultures.

In addition to the above guidelines, ground rules are set for how the groups formulate their expert judgments: (a) The team must come to a consensus for a “yes.” (b) No consensus is needed for a “no.” An “I don’t know,” “I’m not sure,” “I can’t judge this,” or “I need more information” is simply a “no.” (c) Program funding and jobs are not in jeopardy if a program receives a “no.” (d) Programs that would be “yes” due to Guideline 1 or 2 still must demonstrate logical grounding.

Additional Clarification

No data

State Interagency Collaboration

A state-level interagency governmental body/committee exists to coordinate or address underage drinking prevention activities Yes

Committee contact information:

Name: Samuel Burba
 Email: sburba@az.gov
 Address: 1700 West Washington Street, Phoenix, AZ 85007
 Phone: 602-542-6004

Agencies/organizations represented on the committee:

Maricopa County Attorney
 Governor’s Office for Children, Youth and Families
 Arizona Department of Liquor License and Control
 Control Technology Solutions
 Graham County Substance Abuse Coalition
 Governor’s Office of Highway Safety
 Citizens Against Substance Abuse

Apache Junction Police Department
 Arizona High Intensity Drug Trafficking Area
 Arizona Supreme Court
 Arizona Attorney General Office
 Arizona State University
 Phoenix Institute for Psychotherapy
 AZ Board of Behavioral Health Examiners
 Arizona Criminal Justice Commission
 Veteran’s Administration Medical Center
 Arizona Health Care Cost Containment System
 Arizona Department of Juvenile Corrections
 Arizona Department of Public Safety
 Parker Area Alliance for Community Empowerment
 Division of Behavioral Health Services
 Arizona Department of Corrections
 Department of Economic Security

<i>A website or other public source exists to describe committee activities</i>	Yes
URL or other means of access: http://goyff.az.gov/CommGroups/ASAP.asp	

Underage Drinking Reports

<i>State has prepared a plan for preventing underage drinking in the last 3 years</i>	Yes
Prepared by: Arizona Department of Health Services	
Plan can be accessed via:	No data
<i>State has prepared a report on preventing underage drinking in the last 3 years</i>	Yes
Prepared by:	No data
Plan can be accessed via:	No data

Additional Clarification

No data

State Expenditures for the Prevention of Underage Drinking

<i>Compliance checks in retail outlets:</i>	
Estimate of state funds expended	\$24,000
Estimate based on the 12 months ending	12/31/2014
<i>Checkpoints and saturation patrols:</i>	
Estimate of state funds expended	\$0
Estimate based on the 12 months ending	12/31/2014
<i>Community-based programs to prevent underage drinking:</i>	
Estimate of state funds expended	No data
Estimate based on the 12 months ending	No data
<i>K–12 school-based programs to prevent underage drinking:</i>	
Estimate of state funds expended	No data
Estimate based on the 12 months ending	No data
<i>Programs targeted to institutes of higher learning:</i>	
Estimate of state funds expended	No data
Estimate based on the 12 months ending	No data
<i>Programs that target youth in the juvenile justice system:</i>	
Estimate of state funds expended	No data
Estimate based on the 12 months ending	No data
<i>Programs that target youth in the child welfare system:</i>	
Estimate of state funds expended	No data
Estimate based on the 12 months ending	No data

Other programs:

Programs or strategies included	No data
Estimate of state funds expended	No data
Estimate based on the 12 months ending	No data

Funds Dedicated to Underage Drinking

State derives funds dedicated to underage drinking from the following revenue streams:

Taxes	Yes
Fines	No data
Fees	No data
Other	No data

Description of funding streams and how they are used:

Arizona's Parents Commission receives a percentage of liquor sales taxes. The Parents Commission funds some related underage drinking prevention programs (listed in Part 2: Section A). Otherwise, most programs related to underage drinking prevention in Arizona are funded through grants and other sources, not state funds.

Additional Clarification

No data



Arkansas

State Population: 2,966,369

Population Ages 12–20: 358,000

	Percentage	Number
Ages 12–20		
Past-Month Alcohol Use	20.5	74,000
Past-Month Binge Alcohol Use	14.1	50,000
Ages 12–14		
Past-Month Alcohol Use	2.5	3,000
Past-Month Binge Alcohol Use	1.5	2,000
Ages 15–17		
Past-Month Alcohol Use	20	24,000
Past-Month Binge Alcohol Use	12.5	15,000
Ages 18–20		
Past-Month Alcohol Use	38.1	46,000
Past-Month Binge Alcohol Use	27.6	34,000
Alcohol-Attributable Deaths (under 21)		55
Years of Potential Life Lost (under 21)		3,309
	Percentage of All Traffic Fatalities	Number
Traffic Fatalities, 15- to 20-Year-Old Drivers with BAC > 0.01	22	13

Laws Addressing Minors in Possession of Alcohol

Underage Possession	
Is underage possession of alcoholic beverages prohibited?	Yes
Are there exceptions based on family relationships?	
• Is possession allowed if parent or guardian is present or consents?	No
• Is possession allowed if spouse is present or consents?	No
Is there an exception based on location?	No

Underage Consumption	
Is underage consumption of alcoholic beverages prohibited?	No law
Are there exceptions based on family relationships?	
• Is consumption allowed if the parent or guardian is present or consents?	N/A
• Is consumption allowed if the spouse is present or consents?	N/A
Is there an exception based on location?	N/A

Underage Internal Possession	
Is underage internal possession of alcoholic beverages prohibited?	No law
Are there exceptions based on family relationships?	
• Is internal possession allowed if the parent or guardian is present or consents?	N/A
• Is internal possession allowed if the spouse is present or consents?	N/A
Is there an exception based on location?	N/A
<p><i>Note:</i> Arkansas law provides that intoxicating liquor, wine, or beer in the body of a minor is deemed to be in his or her possession. Laws that prohibit minors from having alcohol in their bodies, but do so without reference to a blood, breath, or urine test, are not considered as prohibiting internal possession for purposes of this report.</p>	

Underage Purchase and Attempted Purchase	
Is the purchase of alcoholic beverages prohibited?	Yes
May youth purchase for law enforcement purposes?	No

False Identification for Obtaining Alcohol	
Provisions Targeting Minors	
Is the use of false identification (ID) prohibited?	Yes
Does the use of a false ID result in minor's driver's license suspension?	Yes, through a judicial process
Provisions Targeting Suppliers	
Is the lending or transferring or selling of a false ID prohibited?	Yes
Is the production of a false ID in the context of underage alcohol sales specifically prohibited?	Yes
Retailer Support Provisions	
Is there an incentive for the retailer to use electronic scanners for information digitally encoded on valid IDs?	No
Are state driver's licenses for persons under 21 easily distinguishable from licenses for persons 21 and over?	Yes

May retailers seize apparently false IDs without fear of prosecution even if the ID is ultimately deemed valid?	No
Does an affirmative defense exist for the retailer?	No
• Is it a specific affirmative defense (retailer reasonably believed ID was valid after examining it)?	N/A
• Is it a general affirmative defense (retailer reasonably believed purchaser was over 21)?	N/A
Does the retailer have the right to sue the minor for use of a false ID?	No
May a retailer detain a minor who used a false ID?	Yes
<i>Note:</i> Under Arkansas law, a seller's detention of a person under 21 for use of false ID shall not include physical detention.	

Laws Targeting Underage Drinking and Driving

Youth Blood Alcohol Concentration Limits (Underage Operators of Noncommercial Motor Vehicles)	
What is the maximum blood alcohol concentration (BAC) limit for an underage driver of a motor vehicle?	0.02
Does a BAC level in excess of limit automatically establish a violation (per se violation)?	Yes
What is the minimum age to which the limit applies?	0
What is the maximum age to which the limit applies?	21

Loss of Driving Privileges for Alcohol Violations by Minors (“Use/Lose” Laws) – For Ages 18–20	
Is there a “use/lose” law that suspends or revokes a minor’s driving privileges for alcohol violations?	Yes
What types of violation lead to license suspension or revocation?	
• Purchase of alcohol	Yes
• Possession of alcohol	Yes
• Consumption of alcohol	No
The law applies to people under what age?	21
Is suspension or revocation mandatory or discretionary?	Mandatory
What is the length of suspension/revocation?	
Minimum number of days	60
Maximum number of days	60

Loss of Driving Privileges for Alcohol Violations by Minors (“Use/Lose” Laws) – For Ages 17 and Under	
Is there a “use/lose” law that suspends or revokes a minor’s driving privileges for alcohol violations?	Yes
What types of violation lead to license suspension or revocation?	
• Purchase of alcohol	Yes
• Possession of alcohol	Yes
• Consumption of alcohol	No
The law applies to people under what age?	18
Is suspension or revocation mandatory or discretionary?	Discretionary
What is the length of suspension/revocation?	
Minimum number of days	0
Maximum number of days	Not specified

Graduated Driver's Licenses	
Learner Stage	
What is the minimum age for permit to drive with parents, guardians or other adults (other than instructors)?	14
What is the minimum number of months driver must hold learner permit before advancing to intermediate stage?	6
What is the minimum number of hours of driving with parents, guardians, or adults before advancing to intermediate stage?	0
Intermediate Stage	
What is the minimum age for driving without adult supervision?	16
For night driving, when does adult supervision requirement begin?	11 pm
Can law enforcement stop a driver for night-driving violation as a primary offense?	Yes – Officer may stop driver for night-driving violation
Are there restrictions on passengers?	Yes – No unrelated minor passengers in the motor vehicle unless the driver is accompanied by a licensed driver who is 21 or older
Can law enforcement stop driver for violation of passenger restrictions as a primary offense?	Yes – Officer may stop driver for passenger restrictions violation
License Stage	
What is the minimum age for full license privileges and lifting of restrictions?	18

Laws Targeting Alcohol Suppliers

Furnishing Alcohol to Minors	
Is furnishing of alcoholic beverages to minors prohibited?	Yes
Are there exceptions based on family relationships?	
• Is furnishing allowed if the parent or guardian supplies the alcohol?	Yes
• Is furnishing allowed if the spouse supplies the alcohol?	Yes
Is there an exception based on location?	No
Affirmative Defense for Sellers and Licensees	
Does law require seller/licensee to be exonerated of furnishing to a minor if the minor has not been charged?	No
<i>Note:</i> Arkansas' statute regarding furnishing alcohol to any person under 21 includes an exception for "family" members, but does not specify which family members. For purposes of this report, the phrase "family" is interpreted as including a spouse.	

Compliance Check Protocols	
Does the state have a written protocol for when an underage decoy is used in compliance checks?	No data
What is the minimum age a decoy may be to participate in a compliance check?	N/A
What is the maximum age a decoy may be to participate in a compliance check?	N/A
What are the decoy's appearance requirements?	N/A
Does decoy carry ID during compliance check?	N/A

May decoy verbally exaggerate his or her actual age?	N/A
Is decoy training mandated, recommended, prohibited, or not specified?	N/A

Penalty Guidelines for Sales to Minors	
Are there written guidelines for penalties imposed on retailers for furnishing to a minor?	No data
What is the time period for defining second, third, and subsequent offenses?	N/A
What is the penalty for the first offense?	N/A
What is the penalty for the second offense?	N/A
What is the penalty for the third offense?	N/A
What is the penalty for the fourth offense?	N/A

Responsible Beverage Service (RBS)	
Is there a state law pertaining to beverage service training?	Yes – Voluntary
If training is mandatory, who must participate?	N/A
If training is voluntary, which of the following incentives are offered?	
• Defense in dram shop liability lawsuits	No
• Discounts in dram shop liability insurance, license fees, or other	No
• Mitigation of fines or other administrative penalties for sales to minors or intoxicated persons	Yes
• Protection against license revocation for sales to minors or sales to intoxicated persons	No
Does the RBS law apply to on-premises establishments (such as bars and restaurants) or off-premises establishments (such as liquor stores)?	Both
Does the RBS law apply to new or existing licensees?	Both

Minimum Age for Sellers of Alcohol – Off-Premises (i.e., Liquor Stores)	
What is the minimum age requirement for off-premises retail establishments?	
Beer	18
Wine	18
Spirits	21
Does a manager or supervisor have to be present?	No

Minimum Age for Alcohol Servers and Bartenders – On-Premises (i.e., Restaurants and Bars)	
What is the minimum age requirement for servers in on-premises establishments?	
Beer	19
Wine	19
Spirits	19
What is the minimum age requirement for bartenders in on-premises establishments?	
Beer	21
Wine	21
Spirits	21
Does a manager or supervisor have to be present?	No

Alcohol Outlet Siting Near Schools and Universities	
Colleges and Universities	
Is there a distance requirement for off-premises outlets (i.e., liquor stores)?	No
Is there a distance requirement for on-premises outlets (i.e., restaurants and bars)?	No
To which alcohol products does requirement apply?	N/A
Primary and Secondary Schools	
Is there a distance requirement for off-premises outlets (i.e., liquor stores)?	Yes, within 1,000 feet
Is there a distance requirement for on-premises outlets (i.e., restaurants and bars)?	No
To which alcohol products does requirement apply?	Wine, spirits
<i>Note:</i> There is an exception for small farm wine retail off-premises permit-holders.	

Dram Shop Liability	
Does a statute create dram shop liability?	Yes
Does the statute limit damages that may be recovered?	No
Does the statute limit who may be sued?	No
Does the statute limit elements or standards of proof?	No
Does common law dram shop liability exist?	No

Social Host Liability	
Does a statute create social host liability?	No
Does the statute limit damages that may be recovered?	N/A
Does the statute limit who may be sued?	N/A
Does the statute limit elements or standards of proof?	N/A
Does common law social host liability exist?	No

Prohibitions Against Hosting Underage Drinking Parties	
Does a statute prohibit hosting underage drinking parties?	Yes
Is the statute specific to underage parties, or a general prohibition against permitting underage drinking on the property?	General
What action by underage guest triggers a violation?	Consumption
Property type covered by the law?	Residential/Outdoor/Other
What level of knowledge by the host is required?	Knowledge: Host must have actual knowledge of party
Does host's preventive action protect him/her from being held liable?	No
Are there any exceptions for underage guests?	Yes – Family members
<i>Note:</i> Arkansas's social host provision applies only to a person who is present and in control of the private property at the time the consumption occurs.	

Retailer Interstate Shipments of Alcohol	
Are out-of-state retailers prohibited from sending interstate shipments to in-state consumers?	
Beer	Yes
Wine	Yes
Spirits	Yes

Direct Shipments/Sales	
May alcohol producers ship directly to consumers?	Yes
What alcohol types may be shipped?	Wine
Must purchaser make mandatory trip to producer before delivery is authorized?	Yes
Age verification requirements	
Must the producer/shipper verify purchaser's age before sale?	Yes
Must the common carrier (deliverer) verify age of recipients?	No
State approval/permit requirements	
Must the producer/manufacture obtain state license or permit?	Yes
Must the common carrier (deliverer) be approved by a state agency?	No
Recording/reporting requirements	
Must the producer/manufacture record/report purchaser's name?	No
Must the common carrier (deliverer) record/report recipient's name?	No
Shipping label requirements	
Must the label state "Package contains alcohol"?	No
Must the label state "Recipient must be 21 years old"?	No

Keg Registration	
How is a keg defined (in gallons)?	More than 5.00
Prohibitions	
Is it illegal to possess an unregistered or unlabeled keg and if so, what is the penalty?	Yes (maximum fine/jail, \$1,000/90 days)
Is it illegal to destroy the label on a keg, and if so, what is the penalty?	Yes (maximum fine/jail, \$1,000/90 days)
What purchaser information is collected?	
Must the retailer collect the name and address?	Yes
Must the retailer collect the ID number, name and address on license or other government information?	Yes
Must the retailer collect the address at which keg will be consumed?	No
Must warning information be given to purchaser?	Yes, active (requires an action by purchaser)
Is a deposit required?	Yes, \$75
Does law cover disposable kegs?	No

Home Delivery	
Is home delivery of alcohol permitted?	
Beer	No
Wine	No
Spirits	No

High-Proof Grain Alcohol Beverages	
Are there restrictions on the sale of high-proof grain alcohol beverages?	No
Are restrictions based on Alcohol by Volume (ABV)?	N/A
Are there exceptions to restrictions?	N/A

Laws Affecting Alcohol Pricing

Alcohol Taxes	
Beer	
Control system for beer?	No
Specific excise tax per gallon for 5% alcohol beer	\$0.24
Ad valorem excise tax (for on-premises sales) on total receipts for 5% alcohol beer	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Ad valorem excise tax (for off-premises sales) on total receipts for 5% alcohol beer	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	1%
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	1%
Additional taxes for 3.2–6% alcohol beer (if applicable)	
Wine	
Control system for wine?	No
Specific excise tax per gallon for 12% alcohol wine	\$0.75
Ad valorem excise tax (for on-premises sales) on total receipts for 12% alcohol wine	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Ad valorem excise tax (for off-premises sales) on total receipts for 5% alcohol wine	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	3%
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant

• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	3%
Additional taxes for 6–14% alcohol wine (if applicable)	
Spirits	
Control system for spirits?	No
Specific excise tax per gallon for 40% alcohol spirits	\$2.50
Ad valorem excise tax (for on-premises sales) on total receipts for 40% alcohol spirits	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	14%
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	14%
Ad valorem excise tax (for off-premises sales) on total receipts for 40% alcohol spirits	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	3%
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	3%
Additional taxes for 15–50% alcohol spirits (if applicable)	\$1 per gallon for alcohol content of less than 26.25% but more than 6.25%

Low-Price, High-Volume Drink Specials	
What types of drink specials are prohibited by on-premises retailers?	
Free beverages	Yes
Multiple servings at one time	No
Multiple servings for same price as single serving	Yes
Reduced price for a specified day or time (i.e., happy hours)	No
Unlimited beverages for fixed price	Yes
Increased volume without increase in price	No

Wholesaler Pricing Restrictions	
Beer	
Are volume discounts to retailers allowed?	No law
Must wholesalers establish a minimum markup or maximum discount for each product sold to retailers?	No law
Must wholesalers publicly post and hold (i.e., not reduce) prices for a set period of time?	No law
Is wholesaler permitted to extend credit to retailer and if so, what is the maximum time period?	No

Wine	
Are volume discounts to retailers allowed?	No law
Must wholesalers establish a minimum markup or maximum discount for each product sold to retailers?	No law
Must wholesalers publicly post and hold (i.e., not reduce) prices for a set period of time?	No law
Is wholesaler permitted to extend credit to retailer and if so, what is the maximum time period?	No
Spirits	
Are volume discounts to retailers allowed?	No law
Must wholesalers establish a minimum markup or maximum discount for each product sold to retailers?	No law
Must wholesalers publicly post and hold (i.e., not reduce) prices for a set period of time?	No law
Is wholesaler permitted to extend credit to retailer and if so, what is the maximum time period?	No

Arkansas State Survey Responses

State Agency Information

Agency with primary responsibility for enforcing underage drinking laws:

Arkansas Department of Finance and Administration, Alcoholic Beverage Control Enforcement Division

Enforcement Strategies

State law enforcement agencies use:

Cops in Shops	Yes
Shoulder Tap Operations	Yes
Party Patrol Operations or Programs	Yes
Underage Alcohol-Related Fatality Investigations	Yes

Local law enforcement agencies use:

Cops in Shops	Yes
Shoulder Tap Operations	Yes
Party Patrol Operations or Programs	Yes
Underage Alcohol-Related Fatality Investigations	Yes

State has a program to investigate and enforce direct sales/shipment laws

No

Primary state agency responsible for enforcing laws addressing direct sales/shipments of alcohol to minors

Not applicable

Such laws are also enforced by local law enforcement agencies

Not applicable

Enforcement Statistics

State collects data on the number of minors found in possession

Yes

Number of minors found in possession by state law enforcement agencies

14

Number pertains to the 12 months ending

12/31/2014

Data include arrests/citations issued by local law enforcement agencies

No

State conducts underage compliance checks/decoy operations² to determine if alcohol retailers are complying with laws prohibiting sales to minors

Yes

Data are collected on these activities

Yes

Number of retail licensees in state³

4,825

Number of licensees checked for compliance by state agencies

3,244

(including random checks)

Number of licensees that failed state compliance checks

240

Numbers pertain to the 12 months ending

12/31/2014

Compliance checks/decoy operations conducted at on-sale, off-sale, or both retail establishments

Both on- and off-sale establishments

State conducts **random** underage compliance checks/decoy operations

Yes

Number of licensees subject to **random** state compliance checks/decoy operations

3,244

Number of licensees that failed **random** state compliance checks

240

Local agencies conduct underage compliance checks/decoy operations to determine if alcohol retailers are complying with laws prohibiting sales to minors

Yes

Data are collected on these activities

No

Number of licensees checked for compliance by local agencies

Not applicable

Number of licensees that failed local compliance checks

Not applicable

Numbers pertain to the 12 months ending

12/31/2014

Sanctions

State collects data on fines imposed on retail establishments that furnish minors

Yes

Number of fines imposed by the state⁴

306

Total amount in fines across all licensees

\$132,600

Smallest fine imposed

\$300

Largest fine imposed

\$1,000

Numbers pertain to the 12 months ending

12/31/2014

<i>State collects data on license suspensions imposed on retail establishments specifically for furnishing minors</i>	Yes
Number of suspensions imposed by the state ⁵	3
Total days of suspensions across all licensees	6
Shortest period of suspension imposed (in days)	2
Longest period of suspension imposed (in days)	2
Numbers pertain to the 12 months ending	12/31/2014
<i>State collects data on license revocations imposed on retail establishments specifically for furnishing minors</i>	Yes
Number of license revocations imposed ⁶	0
Numbers pertain to the 12 months ending	12/31/2014

Additional Clarification

No data

¹ Or having consumed or purchased per state statutes.

² Underage compliance checks/decoy operations to determine whether alcohol retailers are complying with laws prohibiting sales to minors.

³ Excluding special licenses such as temporary, seasonal, and common carrier licenses.

⁴ Does not include fines imposed by local agencies.

⁵ Does not include suspensions imposed by local agencies.

⁶ Does not include revocations imposed by local agencies.

Underage Drinking Prevention Programs Operated or Funded by the State

No data

Program serves specific or general population	No data
Number of youth served	No data
Number of parents served	No data
Number of caregivers served	No data
Program has been evaluated	No data
Evaluation report is available	No data
URL for evaluation report:	No data
URL for more program information:	No data

Program Description: No data

Additional Underage Drinking Prevention Programs Operated or Funded by the State

Program description: No data

Additional Clarification

No data

Additional Information Related to Underage Drinking Prevention Programs

<i>State collaborates with federally recognized tribal governments in the prevention of underage drinking</i>	No data
Description of collaboration:	No data
<i>State has programs to measure and/or reduce youth exposure to alcohol advertising and marketing</i>	No data
Description of program:	No data
<i>State has adopted or developed best practice standards for underage drinking prevention programs</i>	No data
Agencies/organizations that established best practices standards:	
Federal agency(ies):	No data
Agency(ies) within your state:	No data
Nongovernmental agency(ies):	No data
Other:	No data

Best practice standards description:	No data
Additional Clarification	
No data	
State Interagency Collaboration	
<i>A state-level interagency governmental body/committee exists to coordinate or address underage drinking prevention activities</i>	No data
<i>Committee contact information: No data</i>	
<i>Agencies/organizations represented on the committee: No data</i>	
<i>Additional Agencies/organizations:</i>	
<i>A website or other public source exists to describe committee activities</i>	No data
<i>URL or other means of access:</i>	No data
Underage Drinking Reports	
<i>State has prepared a plan for preventing underage drinking in the last 3 years</i>	No data
Prepared by: No data	
Plan can be accessed via: No data	
<i>State has prepared a report on preventing underage drinking in the last 3 years</i>	No data
Prepared by: No data	
Plan can be accessed via: No data	
Additional Clarification	
No data	
State Expenditures for the Prevention of Underage Drinking	
<i>Compliance checks in retail outlets:</i>	
Estimate of state funds expended	Data not available
Estimate based on the 12 months ending	12/31/2014
<i>Checkpoints and saturation patrols:</i>	
Estimate of state funds expended	\$0
Estimate based on the 12 months ending	12/31/2014
<i>Community-based programs to prevent underage drinking:</i>	
Estimate of state funds expended	\$0
Estimate based on the 12 months ending	No data
<i>K–12 school-based programs to prevent underage drinking:</i>	
Estimate of state funds expended	\$0
Estimate based on the 12 months ending	No data
<i>Programs targeted to institutes of higher learning:</i>	
Estimate of state funds expended	\$0
Estimate based on the 12 months ending	No data
<i>Programs that target youth in the juvenile justice system:</i>	
Estimate of state funds expended	\$0
Estimate based on the 12 months ending	No data
<i>Programs that target youth in the child welfare system:</i>	
Estimate of state funds expended	\$0
Estimate based on the 12 months ending	No data
<i>Other programs:</i>	
Programs or strategies included	No data
Estimate of state funds expended	No data
Estimate based on the 12 months ending	No data

Funds Dedicated to Underage Drinking

State derives funds dedicated to underage drinking from the following revenue streams:

Taxes	No data
Fines	No data
Fees	No data
Other	No data

Description of funding streams and how they are used:

No data

Additional Clarification

No data



California

State Population: 38,802,500

Population Ages 12–20: 5,002,000

	Percentage	Number
Ages 12–20		
Past-Month Alcohol Use	24.4	1,218,000
Past-Month Binge Alcohol Use	15.0	750,000
Ages 12–14		
Past-Month Alcohol Use	3.8	58,000
Past-Month Binge Alcohol Use	1.8	27,000
Ages 15–17		
Past-Month Alcohol Use	20.3	326,000
Past-Month Binge Alcohol Use	11.7	188,000
Ages 18–20		
Past-Month Alcohol Use	44.3	835,000
Past-Month Binge Alcohol Use	28.4	535,000
Alcohol-Attributable Deaths (under 21)		503
Years of Potential Life Lost (under 21)		30,236
	Percentage of All Traffic Fatalities	Number
Traffic Fatalities, 15- to 20-Year-Old Drivers with BAC > 0.01	24	99

Laws Addressing Minors in Possession of Alcohol

Underage Possession	
Is underage possession of alcoholic beverages prohibited?	Yes
Are there exceptions based on family relationships?	
• Is possession allowed if parent or guardian is present or consents?	Yes
• Is possession allowed if spouse is present or consents?	Yes
Is there an exception based on location?	Yes, in any private location
<p><i>Note:</i> California's "Any Private Location" exception excludes possession in motor vehicles. California's statute regarding possession of alcohol by a person under 21 includes an exception for "responsible adult relative" but does not specify which relatives are included. For purposes of this report, the phrase "responsible adult relative" is interpreted as including a spouse.</p>	

Underage Consumption	
Is underage consumption of alcoholic beverages prohibited?	No law
Are there exceptions based on family relationships?	
• Is consumption allowed if the parent or guardian is present or consents?	N/A
• Is consumption allowed if the spouse is present or consents?	N/A
Is there an exception based on location?	N/A

Underage Internal Possession	
Is underage internal possession of alcoholic beverages prohibited?	No law
Are there exceptions based on family relationships?	
• Is internal possession allowed if the parent or guardian is present or consents?	N/A
• Is internal possession allowed if the spouse is present or consents?	N/A
Is there an exception based on location?	N/A

Underage Purchase and Attempted Purchase	
Is the purchase of alcoholic beverages prohibited?	Yes
May youth purchase for law enforcement purposes?	Yes

False Identification for Obtaining Alcohol	
Provisions Targeting Minors	
Is the use of false identification (ID) prohibited?	Yes
Does the use of a false ID result in minor's driver's license suspension?	Yes, through a judicial process
Provisions Targeting Suppliers	
Is the lending or transferring or selling of a false ID prohibited?	Yes
Is the production of a false ID in the context of underage alcohol sales specifically prohibited?	No
Retailer Support Provisions	
Is there an incentive for the retailer to use electronic scanners for information digitally encoded on valid IDs?	No
Are state driver's licenses for persons under 21 easily distinguishable from licenses for persons 21 and over?	Yes

May retailers seize apparently false IDs without fear of prosecution even if the ID is ultimately deemed valid?	Yes
Does an affirmative defense exist for the retailer?	Yes
<ul style="list-style-type: none"> Is it a specific affirmative defense (retailer reasonably believed ID was valid after examining it)? 	Yes
<ul style="list-style-type: none"> Is it a general affirmative defense (retailer reasonably believed purchaser was over 21)? 	No
Does the retailer have the right to sue the minor for use of a false ID?	No
May a retailer detain a minor who used a false ID?	No

Laws Targeting Underage Drinking and Driving

Youth Blood Alcohol Concentration Limits (Underage Operators of Noncommercial Motor Vehicles)	
What is the maximum blood alcohol concentration (BAC) limit for an underage driver of a motor vehicle?	0.01
Does a BAC level in excess of limit automatically establish a violation (per se violation)?	Yes
What is the minimum age to which the limit applies?	0
What is the maximum age to which the limit applies?	21

Loss of Driving Privileges for Alcohol Violations by Minors (“Use/Lose” Laws)	
Is there a “use/lose” law that suspends or revokes a minor’s driving privileges for alcohol violations?	Yes
What types of violation lead to license suspension or revocation?	
<ul style="list-style-type: none"> Purchase of alcohol 	Yes
<ul style="list-style-type: none"> Possession of alcohol 	Yes
<ul style="list-style-type: none"> Consumption of alcohol 	No
The law applies to people under what age?	21
Is suspension or revocation mandatory or discretionary?	Mandatory
What is the length of suspension/revocation?	
Minimum number of days	365
Maximum number of days	365

Graduated Driver’s Licenses	
Learner Stage	
What is the minimum age for permit to drive with parents, guardians or other adults (other than instructors)?	15 years, 6 months
What is the minimum number of months driver must hold learner permit before advancing to intermediate stage?	6
What is the minimum number of hours of driving with parents, guardians, or adults before advancing to intermediate stage?	50 (10 of which must be at night)
Intermediate Stage	
What is the minimum age for driving without adult supervision?	16
For night driving, when does adult supervision requirement begin?	11 pm

Can law enforcement stop a driver for night-driving violation as a primary offense?	No – Officer must stop driver for another offense to cite for night-driving violation
Are there restrictions on passengers?	Yes – No passengers under 20, unless accompanied by a parent, guardian, instructor or licensed driver over 25
Can law enforcement stop driver for violation of passenger restrictions as a primary offense?	No – Officer must stop driver for another offense to cite for passenger restriction violation
License Stage	
What is the minimum age for full license privileges and lifting of restrictions?	17

Laws Targeting Alcohol Suppliers

-Furnishing Alcohol to Minors	
Is furnishing of alcoholic beverages to minors prohibited?	Yes
Are there exceptions based on family relationships?	
• Is furnishing allowed if the parent or guardian supplies the alcohol?	No
• Is furnishing allowed if the spouse supplies the alcohol?	No
Is there an exception based on location?	No
Affirmative Defense for Sellers and Licensees	
Does law require seller/licensee to be exonerated of furnishing to a minor if the minor has not been charged?	No

Compliance Check Protocols	
Does the state have a written protocol for when an underage decoy is used in compliance checks?	Yes
What is the minimum age a decoy may be to participate in a compliance check?	Not specified
What is the maximum age a decoy may be to participate in a compliance check?	19
What are the decoy's appearance requirements?	No hats, sunglasses, tattoos, visible body piercing, clothing with college or alcohol verbiage/logos; minimal jewelry; not large in stature; appropriate dress for age; hair that does not obscure facial features. Male: No facial hair, really short hair, balding or receding hairline. Female: Minimal makeup, no provocative clothing.
Does decoy carry ID during compliance check?	Discretionary
May decoy verbally exaggerate his or her actual age?	Prohibited
Is decoy training mandated, recommended, prohibited, or not specified?	Not specified

Penalty Guidelines for Sales to Minors	
Are there written guidelines for penalties imposed on retailers for furnishing to a minor?	Yes
What is the time period for defining second, third, and subsequent offenses?	3 years
What is the penalty for the first offense?	15-day license suspension
What is the penalty for the second offense?	25-day license suspension
What is the penalty for the third offense?	License revocation
What is the penalty for the fourth offense?	Not specified
<i>Note:</i> Retailer has the option to accept fine in lieu of suspension. List of aggravating and mitigating factors is provided.	

Responsible Beverage Service (RBS)	
Is there a state law pertaining to beverage service training?	Yes – Voluntary
If training is mandatory, who must participate?	N/A
If training is voluntary, which of the following incentives are offered?	
• Defense in dram shop liability lawsuits	No
• Discounts in dram shop liability insurance, license fees, or other	No
• Mitigation of fines or other administrative penalties for sales to minors or intoxicated persons	Yes
• Protection against license revocation for sales to minors or sales to intoxicated persons	No
Does the RBS law apply to on-premises establishments (such as bars and restaurants) or off-premises establishments (such as liquor stores)?	Unspecified
Does the RBS law apply to new or existing licensees?	Unspecified

Minimum Age for Sellers of Alcohol – Off-Premises (i.e., Liquor Stores)	
What is the minimum age requirement for off-premises retail establishments?	
Beer	None
Wine	None
Spirits	None
Does a manager or supervisor have to be present?	Yes

Minimum Age for Alcohol Servers and Bartenders – On-Premises (i.e., Restaurants and Bars)	
What is the minimum age requirement for servers in on-premises establishments?	
Beer	18
Wine	18
Spirits	18
What is the minimum age requirement for bartenders in on-premises establishments?	
Beer	21
Wine	21
Spirits	21
Does a manager or supervisor have to be present?	No

Alcohol Outlet Siting Near Schools and Universities	
Colleges and Universities	
Is there a distance requirement for off-premises outlets (i.e., liquor stores)?	Yes, within 1½ miles of universities with enrollments of 1,000 or more students of which 500 or more reside on the university's grounds
Is there a distance requirement for on-premises outlets (i.e., restaurants and bars)?	Yes, within 1½ miles of universities with enrollments of 1,000 or more students of which 500 or more reside on the university's grounds
To which alcohol products does requirement apply?	Wine, spirits (does not include products of 4% ABV or less)
<i>Note:</i> Exceptions to the college restriction exist for numerous individual colleges and universities.	
Primary and Secondary Schools	
Is there a distance requirement for off-premises outlets (i.e., liquor stores)?	No
Is there a distance requirement for on-premises outlets (i.e., restaurants and bars)?	Yes, within 600 feet
To which alcohol products does requirement apply?	Beer, wine, spirits

Dram Shop Liability	
Does a statute create dram shop liability?	Yes
Does the statute limit damages that may be recovered?	No
Does the statute limit who may be sued?	No
Does the statute limit elements or standards of proof?	Yes (minor must be obviously intoxicated at time alcohol of furnishing)
Does common law dram shop liability exist?	No

Social Host Liability	
Does a statute create social host liability?	Yes
Does the statute limit damages that may be recovered?	No
Does the statute limit who may be sued?	No
Does the statute limit elements or standards of proof?	Yes (knowledge of underage status)
Does common law social host liability exist?	No

Prohibitions Against Hosting Underage Drinking Parties	
Does a statute prohibit hosting underage drinking parties?	No
Is the statute specific to underage parties, or a general prohibition against permitting underage drinking on the property?	N/A
What action by underage guest triggers a violation?	N/A
Property type covered by the law?	N/A
What level of knowledge by the host is required?	N/A
Does host's preventive action protect him/her from being held liable?	N/A
Are there any exceptions for underage guests?	N/A

Retailer Interstate Shipments of Alcohol	
Are out-of-state retailers prohibited from sending interstate shipments to in-state consumers?	
Beer	Prohibited
Wine	Uncertain
Spirits	Prohibited
<p><i>Note:</i> An individual or retail licensee in a state that affords California retail licensees or individuals an equal reciprocal shipping privilege, may ship, for personal use and not for resale, no more than two cases of wine (no more than 9 liters each case) per month to any adult resident in California. Delivery of a shipment pursuant to this provision shall not be deemed to constitute a sale in California.</p>	

Direct Shipments/Sales	
May alcohol producers ship directly to consumers?	Yes
What alcohol types may be shipped?	Wine
Must purchaser make mandatory trip to producer before delivery is authorized?	No
Age verification requirements	
Must the producer/shipper verify purchaser's age before sale?	No
Must the common carrier (deliverer) verify age of recipients?	No
State approval/permit requirements	
Must the producer/manufacture obtain state license or permit?	Yes
Must the common carrier (deliverer) be approved by a state agency?	No
Recording/reporting requirements	
Must the producer/manufacture record/report purchaser's name?	No
Must the common carrier (deliverer) record/report recipient's name?	No
Shipping label requirements	
Must the label state "Package contains alcohol"?	Yes
Must the label state "Recipient must be 21 years old"?	Yes

Keg Registration	
How is a keg defined (in gallons)?	Equal to or more than 6.00
Prohibitions	
Is it illegal to possess an unregistered or unlabeled keg and if so, what is the penalty?	Yes (maximum fine/jail, \$1,000/6 months)
Is it illegal to destroy the label on a keg, and if so, what is the penalty?	No
What purchaser information is collected?	
Must the retailer collect the name and address?	Yes
Must the retailer collect the ID number, name and address on license or other government information?	Yes
Must the retailer collect the address at which keg will be consumed?	No
Must warning information be given to purchaser?	Not required
Is a deposit required?	No
Does law cover disposable kegs?	No

Home Delivery	
Is home delivery of alcohol permitted?	
Beer	Yes
Wine	Yes
Spirits	Yes

High-Proof Grain Alcohol Beverages	
Are there restrictions on the sale of high-proof grain alcohol beverages?	Yes
Are restrictions based on Alcohol by Volume (ABV)?	Yes (more than 60%)
Are there exceptions to restrictions?	No

Laws Affecting Alcohol Pricing

Alcohol Taxes	
Beer	
Control system for beer?	No
Specific excise tax per gallon for 5% alcohol beer	\$0.20
Ad valorem excise tax (for on-premises sales) on total receipts for 5% alcohol beer	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Ad valorem excise tax (for off-premises sales) on total receipts for 5% alcohol beer	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Additional taxes for 3.2–6% alcohol beer (if applicable)	
Wine	
Control system for wine?	No
Specific excise tax per gallon for 12% alcohol wine	\$0.20
Ad valorem excise tax (for on-premises sales) on total receipts for 12% alcohol wine	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Ad valorem excise tax (for off-premises sales) on total receipts for 12% alcohol wine	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No

• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Additional taxes for 6–14% alcohol wine (if applicable)	
Spirits	
Control system for spirits?	No
Specific excise tax per gallon for 40% alcohol spirits	\$3.30
Ad valorem excise tax (for on-premises sales) on total receipts for 40% alcohol spirits	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Ad valorem excise tax (for off-premises sales) on total receipts for 40% alcohol spirits	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Additional taxes for 15–50% alcohol spirits (if applicable)	

Low-Price, High-Volume Drink Specials	
What types of drink specials are prohibited by on-premises retailers?	
Free beverages	No
Multiple servings at one time	No
Multiple servings for same price as single serving	No
Reduced price for a specified day or time (i.e., happy hours)	No
Unlimited beverages for fixed price	No
Increased volume without increase in price	No
<i>Note: On-premises retailers may offer a free drink on a case-by-case basis.</i>	

Wholesaler Pricing Restrictions	
Beer	
Are volume discounts to retailers allowed?	No law
Must wholesalers establish a minimum markup or maximum discount for each product sold to retailers?	No law
Must wholesalers publicly post and hold (i.e., not reduce) prices for a set period of time?	Post
Is wholesaler permitted to extend credit to retailer and if so, what is the maximum time period?	Yes (30 days)

Wine	
Are volume discounts to retailers allowed?	No law
Must wholesalers establish a minimum markup or maximum discount for each product sold to retailers?	No law
Must wholesalers publicly post and hold (i.e., not reduce) prices for a set period of time?	No law
Is wholesaler permitted to extend credit to retailer and if so, what is the maximum time period?	Yes (30 days)
Spirits	
Are volume discounts to retailers allowed?	No law
Must wholesalers establish a minimum markup or maximum discount for each product sold to retailers?	No law
Must wholesalers publicly post and hold (i.e., not reduce) prices for a set period of time?	No law
Is wholesaler permitted to extend credit to retailer and if so, what is the maximum time period?	Yes (30 days)

California State Survey Responses

State Agency Information

Agency with primary responsibility for enforcing underage drinking laws:

California Department of Alcoholic Beverage Control

Enforcement Strategies

State law enforcement agencies use:

Cops in Shops	Yes
Shoulder Tap Operations	Yes
Party Patrol Operations or Programs	Yes
Underage Alcohol-Related Fatality Investigations	Yes

Local law enforcement agencies use:

Cops in Shops	Yes
Shoulder Tap Operations	Yes
Party Patrol Operations or Programs	Yes
Underage Alcohol-Related Fatality Investigations	Yes

State has a program to investigate and enforce direct sales/shipment laws

No

Primary state agency responsible for enforcing laws addressing direct sales/shipments of alcohol to minors

Not applicable

Such laws are also enforced by local law enforcement agencies

Not applicable

Enforcement Statistics

State collects data on the number of minors found in possession

Yes

Number of minors found in possession by state law enforcement agencies

3,995

Number pertains to the 12 months ending

6/30/2014

Data include arrests/citations issued by local law enforcement agencies

Yes

State conducts underage compliance checks/decoy operations² to determine if alcohol retailers are complying with laws prohibiting sales to minors

Yes

Data are collected on these activities

Yes

Number of retail licensees in state³

Approximately 58,420

Number of licensees checked for compliance by state agencies

7,746

(including random checks)

Number of licensees that failed state compliance checks

1,234

Numbers pertain to the 12 months ending

6/30/2014

Compliance checks/decoy operations conducted at on-sale, off-sale, or both retail establishments

Both on- and off-sale establishments

State conducts **random** underage compliance checks/decoy operations

Yes

Number of licensees subject to **random** state compliance checks/decoy operations

7,746

Number of licensees that failed **random** state compliance checks

1,234

Local agencies conduct underage compliance checks/decoy operations to determine if alcohol retailers are complying with laws prohibiting sales to minors

Yes

Data are collected on these activities

No

Number of licensees checked for compliance by local agencies

Not applicable

Number of licensees that failed local compliance checks

Not applicable

Numbers pertain to the 12 months ending

6/30/2014

Sanctions

State collects data on fines imposed on retail establishments that furnish minors

No

Number of fines imposed by the state⁴

Not applicable

Total amount in fines across all licensees

Not applicable

Smallest fine imposed

\$750

Largest fine imposed

Not applicable

Numbers pertain to the 12 months ending	6/30/2014
<i>State collects data on license suspensions imposed on retail establishments specifically for furnishing minors</i>	No
Number of suspensions imposed by the state ⁵	Not applicable
Total days of suspensions across all licensees	Not applicable
Shortest period of suspension imposed (in days)	Not applicable
Longest period of suspension imposed (in days)	Not applicable
Numbers pertain to the 12 months ending	6/30/2014
<i>State collects data on license revocations imposed on retail establishments specifically for furnishing minors</i>	No
Number of license revocations imposed ⁶	Not applicable
Numbers pertain to the 12 months ending	Not applicable

Additional Clarification

In addition to information provided by Alcoholic Beverage Control, the California Highway Patrol also collects specified data related to underage drinking. The following data cover California Highway Patrol enforcement efforts from January 1, 2014, through December 31, 2014:

- 539 citations for a driver under the age of 21 with .01% to less than .05% blood alcohol content
- 588 citations for a driver under the age of 21 driving with .05% blood alcohol content or greater
- 81 citations for a driver under age 21 with alcohol in the vehicle
- 47 citations for a passenger under 21 in possession of alcohol
- 76 citations for a minor in possession of alcohol

¹ Or having consumed or purchased per state statutes.

² Underage compliance checks/decoy operations to determine whether alcohol retailers are complying with laws prohibiting sales to minors.

³ Excluding special licenses such as temporary, seasonal, and common carrier licenses.

⁴ Does not include fines imposed by local agencies.

⁵ Does not include suspensions imposed by local agencies.

⁶ Does not include revocations imposed by local agencies.

Underage Drinking Prevention Programs Operated or Funded by the State

Substance Abuse Prevention and Treatment Block Grant (SAPT)—Primary Prevention

Program serves specific or general population	General population
Number of youth served	Not applicable
Number of parents served	Not applicable
Number of caregivers served	Not applicable
Program has been evaluated	No
Evaluation report is available	Not applicable
URL for evaluation report: Process measures are reported in CalOMS Pv. Level of evaluation provided varies by county. Reports are available upon request (if available).	
URL for more program information:	No data

Program Description: Underage drinking is a priority for California. California allocates funds through the Department of Health Care Services (DHCS) to counties based on population utilizing the 20% Primary Prevention Set-Aside of the Substance Abuse Prevention and Treatment Block Grant administered through SAMHSA. California requires that each county create a strategic prevention plan utilizing the Strategic Prevention Framework to ensure that primary prevention services are implemented based on local need. DHCS supports county local efforts by monitoring county contractual requirements with counties and administering statewide training and technical assistance to support counties with their primary prevention efforts.

As of June 2014, 48 of California's 58 counties identified underage drinking as a priority in their county strategic prevention plans. The most frequently implemented evidence-based programs in California are Project Alert, LifeSkills Training, Communities Mobilizing for Change on Alcohol (CMCA), Strengthening Families, and Guiding Good Choices. Local innovative programs in California that specifically emphasize underage drinking include:

- CMCA: Counties implementing CMCA are Contra Costa, Los Angeles, San Francisco, and Santa Cruz. CMCA is a community-organizing program designed to reduce teens' (ages 13–20) access to alcohol by changing community policies and practices. CMCA seeks both to limit youths' access to alcohol and to communicate a clear message to the community that underage drinking is inappropriate and unacceptable. This evidence-based curriculum was developed in California by the Youth Leadership Institute.
- Club Live, Diamond View, Lassen County: This youth-led group facilitates the “Responsible Alcohol Merchants Awards” Program to learn leadership skills and reduce underage drinking.
- Youth Leadership Institute, Thurgood Marshall High School’s Questioning Unspoken Underage Drinking, and Washington High School’s Washington Peer Pressure group: Student leaders carry out a positive social norms marketing campaign to reduce underage drinking by students on their campus. Students collect information about perceived and real rates of drinking and associated behaviors. The data are used to highlight positive behaviors through extensive media campaigns that target youth and parents.
- Communities that Care (CTC), Jewish Family Services of Los Angeles County: CTC is a community-level intervention that mobilizes stakeholders to collaborate on selecting and implementing evidence-based prevention programs. The Jewish Family Services of Los Angeles County implements CTC focusing on community education and mobilizing youth and adults to participate in efforts regarding the risks of underage drinking.
- Parents Who Host Lose the Most, National Council on Alcohol and Drug Dependence, People Coordinated Services of Southern California, Phoenix House of Los Angeles: A public awareness campaign that educates communities and parents about the health and safety risks of serving alcohol at teen parties. The program takes place at state and local levels, concentrating on celebratory times for youth such as homecoming, holidays, prom, graduation, and other times when underage drinking parties are prevalent.
- Community Trials Intervention to Reduce High-Risk Drinking, Avalon Carver Community Center, Los Angeles: This program is a multicomponent, community-based program developed to alter the alcohol use patterns and related problems of people of all ages. The program addresses underage drinking, binge drinking, and drinking and driving. The program also utilizes Responsible Beverage Server Training as a prevention strategy.
- Community Trials Intervention to Reduce High-Risk Drinking, California Hispanic Commission on Alcohol and Drug Abuse, Los Angeles County: The program includes gathering and analyzing underage drinking data, development of a marketing report to increase awareness and support of a Social Host Ordinance (SHO), and preparation of a presentation to be utilized during outreach efforts to support the passing of the SHO.
- Team Fitspiration, Asian Pacific Community Counseling, Sacramento County: This program provides education about the problem of underage drinking, including sharing the prevention science of risk and protective factors to give participants the tools to combat underage drinking within their own families through information dissemination and fitness training.
- Underage Drinking with Social Media, Omni Peer Project, Sacramento County: This social norms media campaign consists of weekly YouTube videos for parents and teens on various risk and protective factors, asset building, skill building, improved decisionmaking, emotional expression, self-control, and more. Interactive options will be part of the underage drinking campaign and tied in to the video series through Facebook, agency website, and Twitter. The goal is to reach youth through channels they use the most.
- Underage Drinking Project, Voices United, Santa Clara County: The project focuses on community building using environmental strategies such as social host ordinances, public awareness events, and speaking engagements. See <http://www.voicesunited.net/en/underage-drinking>.
- Underage Drinking in Retail and Social Settings, Sonoma County: The Cities of Rohnert Park and Sebastopol facilitate a program that includes work on conditional use permits to control alcohol outlet density, monitoring compliance with existing laws in both retail and social settings, informing the community about SHOs, shoulder tap strategies, and identifying other ways that youth access alcohol such as alcohol theft and adults purchasing alcohol for youth.
- Party Patrol, Stanislaus County Behavioral Health and Recovery Services (BHRS): BHRS collaborates with the Modesto Police Department to conduct party patrols, compliance checks, and decoy operations to curtail the underage drinking problem in Stanislaus County.

Strategic Prevention Framework State Incentive Grant (SPF SIG)

Program serves specific or general population	General population
Number of youth served	Not applicable
Number of parents served	Not applicable
Number of caregivers served	Not applicable
Program has been evaluated	No
Evaluation report is available	Not applicable
URL for evaluation report:	Not applicable
URL for more program information:	http://www.dhcs.ca.gov/provgovpart/Pages/SPFSIG.aspx

Program Description: Since September 2010, the Department of Health Care Services has implemented a SPF SIG to (1) provide more streamlined state and county processes and procedures; (2) expedite the planning/action/outcomes process; (3) create a means for communicating statewide priorities at all levels; (4) increase the use of data in local planning; and (5) provide more coordinated and effective evidence-based prevention efforts.

Following the SPF SIG five-step process, a statewide needs assessment was conducted, the results of which identified underage and excessive drinking among 12- to 25-year-olds as the priority of the California SPF SIG project. Twenty-four communities were paired and a random selection process determined 12 project communities and 12 control communities. Communities are currently implementing environmental prevention strategies that address both retail and social access aimed at the general population in order to change community norms. Research indicates that by implementing these strategies, underage and young adult use and consequences related to alcohol will be reduced.

Community Prevention Initiative (CPI)

Program serves specific or general population	General population
Number of youth served	Not applicable
Number of parents served	Not applicable
Number of caregivers served	Not applicable
Program has been evaluated	Yes
Evaluation report is available	Yes
URL for evaluation report:	Training evaluations are reported to DHCS to monitor efficacy of training and technical assistance.
URL for more program information:	http://www.ca-cpi.org

Program Description: CPI provides no-cost training and technical assistance (TTA) in substance use disorder prevention. CPI is administered by the Center for Applied Research Solutions and funded and directed by DHCS. CPI provides TTA support for planning and prevention services that include a broad community perspective. CPI also focuses on reducing and managing community-level risks and problems directly attributable to and/or collaterally resulting from alcohol, tobacco and other drug availability, manufacture, distribution, promotion, sale and/or use. During this project year, training services aimed at mitigating problems associated with underage and excessive alcohol use are:

- Social Host/Media Advocacy
- From Risk to Resilience: Inside-Out Prevention
- Environmental Prevention 101: Covering the Basics
- Environmental Prevention: Strategies for Engaging Youth
- Community Action to Reduce Binge Drinking
- Responsible beverage service training

Technical assistance was provided throughout California for the development of alcohol policies impacting underage alcohol use (Santa Cruz, Palmdale, and Contra Costa).

In order to support capacity building within the substance use disorder prevention field, CPI provides written products as resources to support knowledge transfer of successful, best practices to reduce underage and binge drinking strategies. Publications are available online at <http://www.ca-cpi.org/resources>, and include:

- Binge Drinking: Community Action to Reduce Binge Drinking

- Policy Strategies to Reduce Underage and Binge Drinking
- Social Host Ordinances: An Approach to Prevent Underage Drinking

California Friday Night Live (FNL) Partnership

Program serves specific or general population	Specific population
Number of youth served	639,055
Number of parents served	No data
Number of caregivers served	No data
Program has been evaluated	Yes
Evaluation report is available	Yes
URL for evaluation report:	http://www.fridaynightlive.org
URL for more program information:	http://www.fridaynightlive.org

Program Description: FNL is a youth development program predicated on youth and adults working in partnership to influence issues relevant to their well-being and that of their community. FNL programs:

- Encourage young people to develop programs that are meaningful
- Promote messages through shared experiences
- Encourage peer-oriented programming (youth driven and youth led)
- Are goal directed, action oriented, and innovative
- Encourage and empower young people as active leaders and community resources
- Have broad appeal to diverse ethnic, racial, and social groups
- Encourage youth to care about each other and their environment
- Offer conferences and trainings for young people to develop leadership skills

Many FNL programs statewide engage youth in environmental prevention efforts to reduce underage drinking. Also, every other year the California Friday Night Live Partnership (CFNLP) collaborates with the Governor's Prevention Advisory Council (GPAC) to provide support and leadership to Town Hall Meetings on Underage Drinking.

Every 15 Minutes

Program serves specific or general population	Specific population
Number of youth served	140,498
Number of parents served	No data
Number of caregivers served	No data
Program has been evaluated	No
Evaluation report is available	Not applicable
URL for evaluation report:	Not applicable
URL for more program information:	
https://www.chp.ca.gov/programs-services/programs/youth-programs/every-15-minutes	

Program Description: The Every 15 Minutes program is a 2-day program focusing on high school juniors and seniors that challenges them to think about drinking, driving, personal safety, the responsibility of making mature decisions, and the impact their decisions have on family, friends, and their community.

Start Smart Program

Program serves specific or general population	Specific population
Number of youth served	No data
Number of parents served	No data
Number of caregivers served	No data
Program has been evaluated	No
Evaluation report is available	Not applicable
URL for evaluation report:	Not applicable
URL for more program information:	
https://www.chp.ca.gov/programs-services/programs/youth-programs/start-smart-driving-smart-to-stay-safe	

Program Description: The Start Smart Program is aimed at helping newly licensed—or soon to be licensed—teenage drivers (ages 15–19) become more aware of the responsibilities that accompany the privilege of being a licensed California driver. The newly licensed teenage drivers and their parents/guardians are invited to attend and participate in a free 2-hour Start Smart class usually hosted at a local California Highway Patrol (CHP) office. CHP officers speak directly to the newly licensed drivers and their parents/guardians through candid conversations, discussing topics such as collision avoidance techniques along with collision causing elements, which includes excessive speed, driving under the influence, and distracted driving. Start Smart makes teens and parents aware of the responsibilities they face and teaches what precautions to take to stay safe, such as the importance of seat belts, unsafe passengers in the vehicle, and what to do when involved in a collision. The data collection is no longer separated between teens and parents for Start Smart events; the total number of people impacted was 201,968 (includes youth and parents).

California Department of Alcoholic Beverage Control (ABC)—

Underage Drinking Programs

Program serves specific or general population	Specific population
Number of youth served	No data
Number of parents served	No data
Number of caregivers served	No data
Program has been evaluated	No
Evaluation report is available	Not applicable
URL for evaluation report:	Not applicable
URL for more program information:	
http://www.abc.ca.gov/forms/ABC511.pdf ,	
http://www.abc.ca.gov/forms/ABC509.pdf ,	
http://www.abc.ca.gov/programs/Trace.html ,	
http://www.abc.ca.gov/forms/ABC512.pdf	

Program Description: Target Responsibility For Alcohol Connected Emergencies (TRACE) is a protocol wherein first responders to alcohol-related emergencies immediately notify ABC when an incident involves a person under 21 and an alcoholic beverage. ABC agents will conduct a simultaneous investigation to determine where the alcoholic beverages were acquired, purchased, or served. For more information, go to <https://www.abc.ca.gov/programs/Trace.html>.

Minor Decoy Operations reduce the number of licensees who sell alcohol to minors and reduce youth access to alcohol. These operations, conducted by law enforcement and/or community groups, can markedly increase the percentage of licensees who comply with the minimum purchase age law. For more information, go to <https://www.abc.ca.gov/forms/ABC511.pdf>.

Decoy Shoulder Tap Operation is an enforcement program that ABC and local law enforcement agencies use to detect and deter shoulder tap activity. During the program, a minor decoy under direct supervision of law enforcement officers solicits adults outside ABC-licensed stores to buy the minor decoy alcohol. Any person seen furnishing alcohol to the minor decoy is arrested (either cited or booked) for furnishing alcohol to a minor (a violation of Section 25658(a) Business and Professions Code). For more information, go to <https://www.abc.ca.gov/forms/ABC509.pdf>.

The Teenage Party Prevention, Enforcement, and Dispersal Program Enablers aims to reduce the number of teen drinking parties and driving under the influence incidents. Objectives of the program include (1) forming an Alcohol Enforcement Response Team or provide specialized training to patrol officers; (2) increasing awareness and support by involving the media, parents, and community stakeholders; (3) containing party participants and controlling their release; and (4) deterring future parties by citing or arresting violators. For more information, go to <https://www.abc.ca.gov/forms/ABC512.pdf>.

Primary Prevention, Youth Action Council Club, and Life Skills

Program serves specific or general population	Specific population
Number of youth served	1,000 high school youth, 4% of whom are Native American; 240 junior high youth, 9% of whom are Native American

Number of parents served	No data
Number of caregivers served	No data
Program has been evaluated	No
Evaluation report is available	Not applicable
URL for evaluation report:	Not applicable
URL for more program information:	http://www.svyvouthcoalition.org

Program Description: Interventions like these, provided by the Santa Ynez Valley Youth Coalition, occur widely throughout California. The Coalition provides campus-led alcohol and other drug prevention campaigns including all students at the high school, led by a Coalition Youth Action Council Club on the high school campus. These campaigns include Alcohol Awareness Month, Safe and Sober Graduation, December Drunk and Drugged Driving month, and Teen Drug Facts week. Each campaign uses a multitude of strategies to engage high school students in education and prevention, including ping pong tournaments, poster contests, video productions, sidewalk chalk messaging and much more. The AlcoholEdu program is supported by the Coalition to teach alcohol prevention to all 9th-grade students in their health classes. The Botvin LifeSkills program is implemented in the four middle schools through a Coalition Prevention Educator, teaching alcohol and drug prevention and life skills needed to resist negative behaviors.

California State University (CSU) (completed by the Office of the Chancellor for the 23 CSU campuses)

Program serves specific or general population	Specific population
Number of youth served	94,359
Number of parents served	No data
Number of caregivers served	No data
Program has been evaluated	Yes
Evaluation report is available	Yes
URL for evaluation report:	http://www.calstate.edu/ATOD
URL for more program information:	http://www.calstate.edu/ATOD

Program Description: A significant number of strategies and programs have been undertaken by CSU, as part of the commitment to alcohol policy and prevention programming at the 23 campuses, that address the under 21 student population, comprising 38% of the systemwide student body. CSU alcohol prevention and education programs surround a number of strategies, including Peer Education Programs, targeted activities around times with high collegiate alcohol consumption (e.g., Alcohol Awareness Week, Safe Spring Break, late nights); collaboration with campus and community partners (e.g., Mothers Against Drunk Driving, local police departments, Alcoholic Beverage Control); and increasing the number of online assessments and interactive education tools (e.g., Alcohol.Edu, eCHECKUPTOGO, College Wise, eChug, eToke, National College Health Assessment, Screening, Brief Intervention, Referral to Treatment (SBIRT)).

CSU Alcohol Tobacco and Other Drug programs strategies include focusing efforts on first-time freshmen (94,359 or 21% of CSU students) through student orientations and freshman student success courses.

The programs also target specific student populations (158,687 or 35% who are under 21) who may be considered at risk, as indicated from campuswide assessments or national trends (examples may include freshmen, student-athletes, residential life/housing, alcohol-related violators, and Greek student organizations). The CSU Board of Trustees Alcohol Policy requires each campus to communicate alcohol policies to new students and their parents before and when they arrive on campus. The parent data are not collected centrally.

California Department of Education, Safe and Supportive Schools (S3) Grant

Program serves specific or general population	Specific population
Number of youth served	87,000
Number of parents served	130,000
Number of caregivers served	No data
Program has been evaluated	Yes
Evaluation report is available	Yes

URL for evaluation report: http://californias3.wested.org/resources/S3FinalEvalReport_2013-14.pdf

URL for more program information: <http://californias3.wested.org>

Program Description: The Department of Education received a grant from the U.S. Department of Education to improve school climate. One goal of the grant is to reduce alcohol use among students. The grant has been awarded to 58 school districts statewide. To measure the impact on school climate, each participating district must collect data about the learning and teaching environment, the health and well-being of students, and support for parents, school staff, and students that foster learning and school success.

University of California (UC)

Program serves specific or general population	General population
Number of youth served	Not applicable
Number of parents served	Not applicable
Number of caregivers served	Not applicable
Program has been evaluated	No data
Evaluation report is available	No data
URL for evaluation report:	No data
URL for more program information:	Individual UC campus websites provide program information.

Program Description: Each UC campus promotes individual programs created to address their diverse student populations. Programs include but are not limited to AlcoholEDU; Student Health Outreach & Promotion (SHOP); PartySafe; Southside Safety Patrol; Event Planning & Risk Management Training for Greeks; Alcohol & Other Drug Counseling; Student Health Advocates (SHA); e-CHUG; College Alcohol Risk Reduction Seminar (CARRS); and, Just Say Gnome/Small Party.

Campuses also provide educational workshops, peer education, individual consultation and referrals for students, and recovery support programs. Information regarding health risks associated with alcohol use is provided through educational presentations, outreach events, and passive campaigns (use of campus data on social norms). Students are educated on federal, state, and campus policies/laws and provided resources and referrals for drug and alcohol problems (counseling, treatment, etc.). Support is provided to students who violate the alcohol-related standards of conduct including facilitating group alcohol awareness class and one-on-one Brief Alcohol Screening and Intervention for College Students (BASICS program). Due to the number of campus programs being implemented across the UC system, the following describes two examples:

- The Student Health Outreach & Promotion (SHOP) program provides students with the opportunity to learn about health and wellness in a safe, nonjudgmental environment. SHOP offers information, education, resources, and support on issues such as alcohol and other drug use, sexual health, holistic health, and stress management.
- PartySafe@Cal (PSafe) aims to reduce alcohol-related risks and harm in the campus community. PSafe utilizes ongoing research literature review and data collection to examine campus assets and challenges, then selects strategies to address unique campus alcohol-related risks and harm.

Additional Underage Drinking Prevention Programs Operated or Funded by the State

Program description: No data

Additional Clarification

No data

Additional Information Related to Underage Drinking Prevention Programs

State collaborates with federally recognized tribal governments in the prevention of underage drinking Yes

Description of collaboration: Through the Community Prevention Initiative contract, technical assistance and training (TTA) was provided to the following federally recognized tribes to support prevention efforts that include underage drinking:

- Hoopa Americorp on Native Lands received TTA on capacity building and empowerment efforts to encourage a healthier and connected community, focusing on preventing underage drinking through strategies that center on healing and wellness.
- Intertribal Friendship House received training on the effects of underage drinking in native communities. Staff received training on prevention research and information, along with cultural teaching and traditions that can be used to develop relevant prevention strategies.
- Native Women Health and Alliance, Inc., received training support on effective underage drinking prevention strategies.
- Resources for Indian Student Education received training for their peer youth advocates regarding substance abuse refusal skills to impact underage drinking.

State has programs to measure and/or reduce youth exposure to alcohol advertising and marketing Yes

Program description:

- The California Tobacco Control Program (CTCP) collaborates with other state agencies, including alcohol use prevention and nutrition promotion, in the Healthy Stores for a Healthy Community (HSHC) campaign, the goal of which is to improve the health of the public through changes in the retail environment. One intervention communities engage in is to pass policies to reduce the amount of storefront advertising, including the promotion of alcohol, tobacco products, and unhealthy foods. Doing so reduces youth exposure to this marketing. CTCP's long-term effort explores ways in which the retail environment can be utilized as a force to build healthier communities and neighborhoods.
- The California Friday Night Live Partnership provides TTA to the FNL field to empower youth to partner with the community at large in the implementation of a number of projects including the Retail Alcohol Merchant Awards, which works with local merchants on a voluntary basis to reduce advertising and increase adherence to local policies.
- The California State University (CSU) Executive Order 966 Alcohol Sales & Advertising Policy prohibits sale of alcohol beverages at athletic events and limits advertising to beer and wine at CSU campuses in compliance with Guidelines for Beverage Alcohol Marketing by National Inter-Association Task Force on Alcohol Issues. Additionally, the Board of Trustees policy asks all campuses to adopt policies that require alcoholic beverage trademarks or logos be clearly subordinate to the sponsored event itself. Similarly, the name of an alcoholic-beverage manufacturer or product may not be connected to the name of the institutional event or facility, but may be promoted as a sponsor of the event.
- Of the University of California (UC) campuses that responded, the responses indicate the campuses actively work with community prevention partners to reduce advertising and outreach to youth. For example, UC Santa Cruz works with its campus newspaper to refuse advertising money from alcohol beverage distributors, and works with community partners to reduce advertising and outreach to youth. UC Berkeley Campus Policy governs the promotion of alcoholic beverages on campus and at campus-sponsored events. The policy prohibits advertisement and promotion of certain brands of alcoholic beverages on campus, or in conjunction and with campus-sponsored activities or events. These limits effectively reduce student exposure to some alcohol advertising and marketing.

It should also be noted that although some campuses do not specifically focus on advertising and marketing measures to reduce youth exposure, there are campus policies that govern promotion of alcoholic beverages that are used to minimize the exposure to alcohol advertising and marketing.

State has adopted or developed best practice standards for underage drinking prevention programs Yes

Agencies/organizations that established best practices standards:

Federal agency(ies): No

Agency(ies) within your state: Department of Health Care Services and California State Yes

University

Nongovernmental agency(ies): No

Other: No

Best practice standards description:

- Department of Health Care Services best practice standards include: (a) Statewide use of the Strategic Prevention Framework (SPF) to ensure data-informed programmatic decisionmaking; (b) encourage the implementation of Evidence-Based Programs; and (c) ensure effective prevention services guided by the SPF and maintain fidelity of evidence-based programs by providing individualized and community-based technical assistance and training.
- The California State University has a systemwide committee, the Alcohol Policy Implementation Steering Committee, made up of nine member of Student Council (i.e., Vice Presidents for Student Affairs) that meet regularly to provide guidance to campuses about effective policy implementation practices and provide leadership on systemwide efforts. Campuses also have campus and community collaborations on Alcohol, Tobacco and other Drug Advisory Committees made up of community and campus constituents. Programs use a variety of assessment tools and best practice standards. A few examples include resources such as Standards and Guidelines for Alcohol and Drug Programs by the Council for the Advancement of Standards in Higher Education; National Institute on Alcohol Abuse and Alcoholism College Drinking Report; and annual program evaluation.

Additional Clarification

No data

State Interagency Collaboration

A state-level interagency governmental body/committee exists to coordinate or address underage drinking prevention activities Yes

Committee contact information:

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Email: Margie.Hieter@dhcs.ca.gov

Address: DHCS - SUD PRTS, MS 2622, 1500 Capitol Avenue, Sacramento, CA 95899-7413

Phone: 916-327-4076

Agencies/organizations represented on the committee:

Attorney General's Office
 California Community Colleges
 California Conservation Corps
 California Conservation Corps
 California Highway Patrol
 California National Guard
 Department of Alcoholic Beverage Control
 Department of Education
 Department of Health Care Services
 Department of Public Health
 Department of Rehabilitation
 Department of Social Services
 California State University, Office of the Chancellor
 University of California, Office of the President
 Office of Traffic Safety

A website or other public source exists to describe committee activities Yes

URL or other means of access: <http://www.dhcs.ca.gov/provgovpart/Pages/IPAC.aspx>

Underage Drinking Reports

State has prepared a plan for preventing underage drinking in the last 3 years No

Prepared by: Not applicable

Plan can be accessed via: Not applicable

State has prepared a report on preventing underage drinking in the last 3 years No

Prepared by: Not applicable

Plan can be accessed via: Not applicable

Additional Clarification

No data

State Expenditures for the Prevention of Underage Drinking

Compliance checks in retail outlets:

Estimate of state funds expended	Data not available
Estimate based on the 12 months ending	6/30/2014

Checkpoints and saturation patrols:

Estimate of state funds expended	\$4,432,073
Estimate based on the 12 months ending	12/31/2014

Community-based programs to prevent underage drinking:

Estimate of state funds expended	Data not available
Estimate based on the 12 months ending	Data not available

K-12 school-based programs to prevent underage drinking:

Estimate of state funds expended	Data not available
Estimate based on the 12 months ending	Data not available

Programs targeted to institutes of higher learning:

Estimate of state funds expended	Data not available
Estimate based on the 12 months ending	Data not available

Programs that target youth in the juvenile justice system:

Estimate of state funds expended	Data not available
Estimate based on the 12 months ending	Data not available

Programs that target youth in the child welfare system:

Estimate of state funds expended	Data not available
Estimate based on the 12 months ending	Data not available

Other programs:

Programs or strategies included:	Data not available
Estimate of state funds expended:	Data not available
Estimate based on the 12 months ending:	Data not available

Funds Dedicated to Underage Drinking

State derives funds dedicated to underage drinking from the following revenue streams:

Taxes	No
Fines	No
Fees	No
Other: Not applicable	No

Description of funding streams and how they are used:

Not applicable

Additional Clarification

Note that for Checkpoints and Saturation Patrols, the funding listed represents reimbursable, grant-funded expenditures through the California Office of Traffic Safety.



Colorado

State Population: 5,355,866

Population Ages 12–20: 599,000

	Percentage	Number
Ages 12–20		
Past-Month Alcohol Use	26.5	159,000
Past-Month Binge Alcohol Use	14.7	88,000
Ages 12–14		
Past-Month Alcohol Use	5.4	11,000
Past-Month Binge Alcohol Use	1.8	4,000
Ages 15–17		
Past-Month Alcohol Use	24.9	50,000
Past-Month Binge Alcohol Use	12.1	24,000
Ages 18–20		
Past-Month Alcohol Use	50	98,000
Past-Month Binge Alcohol Use	30.9	60,000
Alcohol-Attributable Deaths (under 21)		61
Years of Potential Life Lost (under 21)		3,715
	Percentage of All Traffic Fatalities	Number
Traffic Fatalities, 15- to 20-Year-Old Drivers with BAC > 0.01	34	26

Laws Addressing Minors in Possession of Alcohol

Underage Possession	
Is underage possession of alcoholic beverages prohibited?	Yes
Are there exceptions based on family relationships?	
• Is possession allowed if parent or guardian is present or consents?	Yes in specified locations – See below
• Is possession allowed if spouse is present or consents?	No
Is there an exception based on location?	Yes, in any private location if parent/guardian is present or consents
<i>Note: Colorado's exception requires the knowledge and consent of the owner of the private property when minors possess alcohol (in addition to the consent and presence of a parent or guardian).</i>	

Underage Consumption	
Is underage consumption of alcoholic beverages prohibited?	Yes
Are there exceptions based on family relationships?	
• Is consumption allowed if the parent or guardian is present or consents?	Yes in specified locations – See below
• Is consumption allowed if the spouse is present or consents?	No
Is there an exception based on location?	Yes, in any private location if parent/guardian is present or consents
<i>Note: Colorado's exception requires the knowledge and consent of the owner of the private property when minors consume alcohol (in addition to the consent and presence of a parent or guardian).</i>	

Underage Internal Possession	
Is underage internal possession of alcoholic beverages prohibited?	Yes
Are there exceptions based on family relationships?	
• Is internal possession allowed if the parent or guardian is present or consents?	Yes, in specified locations – See below
• Is internal possession allowed if the spouse is present or consents?	No
Is there an exception based on location?	Yes, in any private location if parent/guardian is present or consents
<i>Note: Colorado's exception requires the knowledge and consent of the owner of the private property when minors possess or consume alcohol (in addition to consent and presence of a parent/guardian).</i>	

Underage Purchase and Attempted Purchase	
Is the purchase of alcoholic beverages prohibited?	Yes
May youth purchase for law enforcement purposes?	No

False Identification for Obtaining Alcohol	
Provisions Targeting Minors	
Is the use of false identification (ID) prohibited?	Yes
Does the use of a false ID result in minor's driver's license suspension?	Yes, through a judicial process

Provisions Targeting Suppliers	
Is the lending or transferring or selling of a false ID prohibited?	Yes
Is the production of a false ID in the context of underage alcohol sales specifically prohibited?	No
Retailer Support Provisions	
Is there an incentive for the retailer to use electronic scanners for information digitally encoded on valid IDs?	No
Are state driver's licenses for persons under 21 easily distinguishable from licenses for persons 21 and over?	Yes
May retailers seize apparently false IDs without fear of prosecution even if the ID is ultimately deemed valid?	Yes
Does an affirmative defense exist for the retailer?	Yes
<ul style="list-style-type: none"> Is it a specific affirmative defense (retailer reasonably believed ID was valid after examining it)? 	Yes
<ul style="list-style-type: none"> Is it a general affirmative defense (retailer reasonably believed purchaser was over 21)? 	No
Does the retailer have the right to sue the minor for use of a false ID?	No
May a retailer detain a minor who used a false ID?	Yes
<i>Note:</i> In Colorado, the license revocation period for a first conviction of obtaining or attempting to obtain an alcoholic beverage by misrepresentation of age is 24 hours of public service, if ordered by the court, or 3 months.	

Laws Targeting Underage Drinking and Driving

Youth Blood Alcohol Concentration Limits (Underage Operators of Noncommercial Motor Vehicles)	
What is the maximum blood alcohol concentration (BAC) limit for an underage driver of a motor vehicle?	0.02
Does a BAC level in excess of limit automatically establish a violation (per se violation)?	Yes
What is the minimum age to which the limit applies?	0
What is the maximum age to which the limit applies?	21

Loss of Driving Privileges for Alcohol Violations by Minors ("Use/Lose" Laws)	
Is there a "use/lose" law that suspends or revokes a minor's driving privileges for alcohol violations?	Yes
What types of violation lead to license suspension or revocation?	
<ul style="list-style-type: none"> Purchase of alcohol 	Yes
<ul style="list-style-type: none"> Possession of alcohol 	Yes
<ul style="list-style-type: none"> Consumption of alcohol 	Yes
The law applies to people under what age?	21
Is suspension or revocation mandatory or discretionary?	Mandatory
What is the length of suspension/revocation?	
Minimum number of days	Not specified
Maximum number of days	90

Graduated Driver's Licenses	
Learner Stage	
What is the minimum age for permit to drive with parents, guardians or other adults (other than instructors)?	15
What is the minimum number of months driver must hold learner permit before advancing to intermediate stage?	12
What is the minimum number of hours of driving with parents, guardians, or adults before advancing to intermediate stage?	50 (10 of which must be at night)
Intermediate Stage	
What is the minimum age for driving without adult supervision?	16
For night driving, when does adult supervision requirement begin?	12 am
Can law enforcement stop a driver for night-driving violation as a primary offense?	No – Officer must stop driver for another offense to cite for night-driving violation
Are there restrictions on passengers?	Yes – For first 6 months, no passenger under 21 who is not an immediate family member unless accompanied by driver's parent or guardian; second 6 months, only one passenger under 21 who is not an immediate family member unless accompanied by driver's parent or guardian
Can law enforcement stop driver for violation of passenger restrictions as a primary offense?	No – Officer must stop driver for another offense to cite for passenger restriction violation
License Stage	
What is the minimum age for full license privileges and lifting of restrictions?	17

Laws Targeting Alcohol Suppliers

Furnishing Alcohol to Minors	
Is furnishing of alcoholic beverages to minors prohibited?	Yes
Are there exceptions based on family relationships?	
• Is furnishing allowed if the parent or guardian supplies the alcohol?	Yes in specified locations
• Is furnishing allowed if the spouse supplies the alcohol?	No
Is there an exception based on location?	Yes, in any private location if parent/guardian supplies alcohol
Affirmative Defense for Sellers and Licensees	
Does law require seller/licensee to be exonerated of furnishing to a minor if the minor has not been charged?	No

Compliance Check Protocols	
Does the state have a written protocol for when an underage decoy is used in compliance checks?	Yes

What is the minimum age a decoy may be to participate in a compliance check?	18
What is the maximum age a decoy may be to participate in a compliance check?	20.5
What are the decoy's appearance requirements?	Yes – Age-appropriate appearance with no age enhancements
Does decoy carry ID during compliance check?	Discretionary
May decoy verbally exaggerate his or her actual age?	Permitted
Is decoy training mandated, recommended, prohibited, or not specified?	Not specified

Penalty Guidelines for Sales to Minors	
Are there written guidelines for penalties imposed on retailers for furnishing to a minor?	Yes
What is the time period for defining second, third, and subsequent offenses?	1 year
What is the penalty for the first offense?	Written warning, Assurance of Voluntary Compliance, or up to 15-day license suspension. Accepting a fine in lieu of actual suspension or holding a portion of the suspension time in abeyance are both at the discretion of the licensing authority.
What is the penalty for the second offense?	5- to 25-day license suspension. At the discretion of the licensing authority, licensee may pay fine in lieu of suspension or suspension may be held in abeyance if no fine was paid or suspension served at time of 1st offense.
What is the penalty for the third offense?	15- to 40-day license suspension
What is the penalty for the fourth offense?	45-day license suspension or license revocation
<i>Note:</i> List of aggravating and mitigating factors is provided. The time period for the fourth offense is 2 years. All penalties are for compliance check violations only.	

Responsible Beverage Service (RBS)	
Is there a state law pertaining to beverage service training?	Yes – Voluntary
If training is mandatory, who must participate?	N/A
If training is voluntary, which of the following incentives are offered?	
• Defense in dram shop liability lawsuits	No
• Discounts in dram shop liability insurance, license fees, or other	No
• Mitigation of fines or other administrative penalties for sales to minors or intoxicated persons	Yes
• Protection against license revocation for sales to minors or sales to intoxicated persons	No
Does the RBS law apply to on-premises establishments (such as bars and restaurants) or off-premises establishments (such as liquor stores)?	Unspecified
Does the RBS law apply to new or existing licensees?	Unspecified

Minimum Age for Sellers of Alcohol – Off-Premises (i.e., Liquor Stores)	
What is the minimum age requirement for off-premises retail establishments?	
Beer	21
Wine	21
Spirits	21
Does a manager or supervisor have to be present?	No
<i>Note:</i> Although employees must be at least 21 to sell malt, vinous, or spirituous liquors in a retail liquor store, employees at least 18 may sell fermented malt beverages containing not more than 3.2% alcohol by weight in establishments where fermented malt beverages are sold at retail in containers for off-premises consumption.	

Minimum Age for Alcohol Servers and Bartenders – On-Premises (i.e., Restaurants and Bars)	
What is the minimum age requirement for servers in on-premises establishments?	
Beer	18
Wine	18
Spirits	18
What is the minimum age requirement for bartenders in on-premises establishments?	
Beer	18
Wine	18
Spirits	18
Does a manager or supervisor have to be present?	Yes
<i>Note:</i> Persons under 21 employed to sell or dispense malt, vinous, or spirituous liquors are required to be supervised by another person who is on premise and over 21.	

Alcohol Outlet Siting Near Schools and Universities	
Colleges and Universities	
Is there a distance requirement for off-premises outlets (i.e., liquor stores)?	Yes, within 500 feet
Is there a distance requirement for on-premises outlets (i.e., restaurants and bars)?	Yes, within 500 feet
To which alcohol products does requirement apply?	Beer, wine, spirits
Primary and Secondary Schools	
Is there a distance requirement for off-premises outlets (i.e., liquor stores)?	Yes, within 500 feet
Is there a distance requirement for on-premises outlets (i.e., restaurants/bars)?	Yes, within 500 feet
To which alcohol products does requirement apply?	Beer, wine, spirits

Dram Shop Liability	
Does a statute create dram shop liability?	Yes
Does the statute limit damages that may be recovered?	Yes (\$280,810 per person)
Does the statute limit who may be sued?	No
Does the statute limit elements or standards of proof?	Yes (knowledge of underage status)
Does common law dram shop liability exist?	No

Social Host Liability	
Does a statute create social host liability?	Yes
Does the statute limit damages that may be recovered?	Yes (\$280,810 per person)
Does the statute limit who may be sued?	No

Does the statute limit elements or standards of proof?	Yes (knowledge of underage status)
Does common law social host liability exist?	No

Prohibitions Against Hosting Underage Drinking Parties	
Does a statute prohibit hosting underage drinking parties?	No
Is the statute specific to underage parties, or a general prohibition against permitting underage drinking on the property?	N/A
What action by underage guest triggers a violation?	N/A
Property type covered by the law?	N/A
What level of knowledge by the host is required?	N/A
Does host's preventive action protect him/her from being held liable?	N/A
Are there any exceptions for underage guests?	N/A

Retailer Interstate Shipments of Alcohol	
Are out-of-state retailers prohibited from sending interstate shipments to in-state consumers?	
Beer	Yes
Wine	Yes
Spirits	Yes

Direct Shipments/Sales	
May alcohol producers ship directly to consumers?	Yes
What alcohol types may be shipped?	Wine
Must purchaser make mandatory trip to producer before delivery is authorized?	No
Age verification requirements	
Must the producer/shipper verify purchaser's age before sale?	No
Must the common carrier (deliverer) verify age of recipients?	Yes
State approval/permit requirements	
Must the producer/manufacture obtain state license or permit?	Yes
Must the common carrier (deliverer) be approved by a state agency?	No
Recording/reporting requirements	
Must the producer/manufacture record/report purchaser's name?	Yes
Must the common carrier (deliverer) record/report recipient's name?	No
Shipping label requirements	
Must the label state "Package contains alcohol"?	Yes
Must the label state "Recipient must be 21 years old"?	Yes

Keg Registration	
How is a keg defined (in gallons)?	No law
Prohibitions	
Is it illegal to possess an unregistered or unlabeled keg and if so, what is the penalty?	No law
Is it illegal to destroy the label on a keg, and if so, what is the penalty?	No law
What purchaser information is collected?	
Must the retailer collect the name and address?	No law

Must the retailer collect the ID number, name and address on license or other government information?	No law
Must the retailer collect the address at which keg will be consumed?	No law
Must warning information be given to purchaser?	No law
Is a deposit required?	No law
Does law cover disposable kegs?	No law

Home Delivery	
Is home delivery of alcohol permitted?	
Beer	Yes (state permit required)
Wine	Yes (state permit required)
Spirits	Yes (state permit required)

High-Proof Grain Alcohol Beverages	
Are there restrictions on the sale of high-proof grain alcohol beverages?	No
Are restrictions based on Alcohol by Volume (ABV)?	N/A
Are there exceptions to restrictions?	N/A

Laws Affecting Alcohol Pricing

Alcohol Taxes	
Beer	
Control system for beer?	No
Specific excise tax per gallon for 5% alcohol beer	\$0.08
Ad valorem excise tax (for on-premises sales) on total receipts for 5% alcohol beer	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Ad valorem excise tax (for off-premises sales) on total receipts for 5% alcohol beer	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Additional taxes for 3.2–6% alcohol beer (if applicable)	
Wine	
Control system for wine?	No
Specific excise tax per gallon for 12% alcohol wine	\$0.32
Ad valorem excise tax (for on-premises sales) on total receipts for 12% alcohol wine	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No

• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Ad valorem excise tax (for off-premises sales) on total receipts for 12% alcohol wine	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Additional taxes for 6–14% alcohol wine (if applicable)	
Spirits	
Control system for spirits?	No
Specific excise tax per gallon for 40% alcohol spirits	\$2.28
Ad valorem excise tax (for on-premises sales) on total receipts for 40% alcohol spirits	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Ad valorem excise tax (for off-premises sales) on total receipts for 40% alcohol spirits	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Additional taxes for 15–50% alcohol spirits (if applicable)	

Low-Price, High-Volume Drink Specials	
What types of drink specials are prohibited by on-premises retailers?	
Free beverages	No
Multiple servings at one time	No
Multiple servings for same price as single serving	No
Reduced price for a specified day or time (i.e., happy hours)	No
Unlimited beverages for fixed price	No
Increased volume without increase in price	No

Wholesaler Pricing Restrictions	
Beer	
Are volume discounts to retailers allowed?	No law
Must wholesalers establish a minimum markup or maximum discount for each product sold to retailers?	Yes

Must wholesalers publicly post and hold (i.e., not reduce) prices for a set period of time?	No law
Is wholesaler permitted to extend credit to retailer and if so, what is the maximum time period?	Yes (30 days)
Wine	
Are volume discounts to retailers allowed?	No law
Must wholesalers establish a minimum markup or maximum discount for each product sold to retailers?	Yes
Must wholesalers publicly post and hold (i.e., not reduce) prices for a set period of time?	No law
Is wholesaler permitted to extend credit to retailer and if so, what is the maximum time period?	Yes (30 days)
Spirits	
Are volume discounts to retailers allowed?	No law
Must wholesalers establish a minimum markup or maximum discount for each product sold to retailers?	Yes
Must wholesalers publicly post and hold (i.e., not reduce) prices for a set period of time?	No law
Is wholesaler permitted to extend credit to retailer and if so, what is the maximum time period?	Yes (30 days)
<i>Note: Wholesalers may not sell below cost.</i>	

Colorado State Survey Responses

State Agency Information

Agency with primary responsibility for enforcing underage drinking laws:

Colorado Department of Revenue, Liquor Enforcement Division

Enforcement Strategies

State law enforcement agencies use:

Cops in Shops	Yes
Shoulder Tap Operations	No
Party Patrol Operations or Programs	Yes
Underage Alcohol-Related Fatality Investigations	Yes

Local law enforcement agencies use:

Cops in Shops	Yes
Shoulder Tap Operations	Yes
Party Patrol Operations or Programs	Yes
Underage Alcohol-Related Fatality Investigations	Yes

State has a program to investigate and enforce direct sales/shipment laws Yes

Primary state agency responsible for enforcing laws addressing direct sales/shipments of alcohol to minors Colorado Dept. of Revenue, Liquor Enforcement Div.

Such laws are also enforced by local law enforcement agencies No

Enforcement Statistics

State collects data on the number of minors found in possession Yes

Number of minors found in possession by state law enforcement agencies 4,499

Number pertains to the 12 months ending 12/31/2014

Data include arrests/citations issued by local law enforcement agencies Yes

State conducts underage compliance checks/decoy operations² to determine if alcohol retailers are complying with laws prohibiting sales to minors Yes

Data are collected on these activities Yes

Number of retail licensees in state³ 9,900

Number of licensees checked for compliance by state agencies (including random checks) 3,322

Number of licensees that failed state compliance checks 280

Numbers pertain to the 12 months ending 12/31/2014

Compliance checks/decoy operations conducted at on-sale, off-sale, or both retail establishments Both on- and off-sale establishments

State conducts **random** underage compliance checks/decoy operations Yes

Number of licensees subject to **random** state compliance checks/decoy operations 3,322

Number of licensees that failed **random** state compliance checks 280

Local agencies conduct underage compliance checks/decoy operations to determine if alcohol retailers are complying with laws prohibiting sales to minors Yes

Data are collected on these activities Yes

Number of licensees checked for compliance by local agencies 241

Number of licensees that failed local compliance checks 19

Numbers pertain to the 12 months ending 12/31/2014

Sanctions

State collects data on fines imposed on retail establishments that furnish minors Don't know

Number of fines imposed by the state⁴ Not applicable

Total amount in fines across all licensees Not applicable

Smallest fine imposed Not applicable

Largest fine imposed	Not applicable
Numbers pertain to the 12 months ending	Not applicable
<i>State collects data on license suspensions imposed on retail establishments specifically for furnishing minors</i>	
Number of suspensions imposed by the state ⁵	Not applicable
Total days of suspensions across all licensees	Not applicable
Shortest period of suspension imposed (in days)	Not applicable
Longest period of suspension imposed (in days)	Not applicable
Numbers pertain to the 12 months ending	Not applicable
<i>State collects data on license revocations imposed on retail establishments specifically for furnishing minors</i>	
Number of license revocations imposed ⁶	Not applicable
Numbers pertain to the 12 months ending	Not applicable

Additional Clarification

Data on compliance checks by local law enforcement agencies based on reporting by seven local agencies. Reporting is not required by local law enforcement.

- ¹ Or having consumed or purchased per state statutes.
- ² Underage compliance checks/decoy operations to determine whether alcohol retailers are complying with laws prohibiting sales to minors.
- ³ Excluding special licenses such as temporary, seasonal, and common carrier licenses.
- ⁴ Does not include fines imposed by local agencies.
- ⁵ Does not include suspensions imposed by local agencies.
- ⁶ Does not include revocations imposed by local agencies.

Underage Drinking Prevention Programs Operated or Funded by the State

Substance Abuse Prevention and Treatment Block Grant – Prevention and Reduction of Under 18 Alcohol, Tobacco and Other Drug Use

Program serves specific or general population	Specific population
Number of youth served	486,845
Number of parents served	No data
Number of caregivers served	No data
Program has been evaluated	Yes
Evaluation report is available	No
URL for evaluation report:	Not applicable
URL for more program information:	Not Available

Program Description: The Colorado Office of Behavioral Health administers a portion of the federal substance Abuse Prevention and Treatment (SAPT) Block Grant provided by SAMHSA. The Reduction of Under 18 Alcohol, Tobacco and Other Drug Use program is designed to reduce the current alcohol, tobacco, and other drug use rate, prevent early initiation of substance use, promote healthy behavior, and support positive choices in school and communities by youth under age 18 at the local level. Fourteen agencies across Colorado are provided funding to implement evidence-based programs to reduce underage drinking.

Persistent Drunk Driver (PDD) Prevention Program

Program serves specific or general population	Specific population
Number of youth served	358,040
Number of parents served	No data
Number of caregivers served	No data
Program has been evaluated	Yes
Evaluation report is available	No
URL for evaluation report:	Not applicable
URL for more program information:	Not available

Program Description: PDD prevention grants focus on supporting education programs for the general public with particular emphasis on education of young drivers regarding the dangers of persistent drunk driving at the county and local level. The PDD cash fund was established in 1998 by HB 98-1334, known as the "Persistent Drunk Driver

Act of 1998." As a part of the legislation, monies gathered from penalties and fees associated with being convicted of DUI are designated to support education programs for the general public, with particular emphasis on education of young drivers regarding the dangers of persistent drunk driving. Currently, nine agencies across Colorado receive PDD funding from the Office of Behavioral Health. All nine agencies with the exception of the evaluation contract focus on providing education to young drivers about drunk driving as well as persistent drunk driving.

Colorado Prevention Partnership for Success (CPPS)

Program serves specific or general population	Specific population
Number of youth served	68,722
Number of parents served	68,722
Number of caregivers served	No data
Program has been evaluated	Yes
Evaluation report is available	No
URL for evaluation report:	Not available
URL for more program information:	Not available

Program Description: This program is designed to help reduce statewide substance abuse rates by addressing gaps in current prevention services and increasing the ability to reach out to specific populations or geographic areas with serious, emerging substance abuse problems. CPPS employs a public health model to demonstrate positive statewide change in underage and binge drinking rates and disparity for high school Latino youth. CPPS will continue to integrate the Strategic Prevention Framework within Colorado's state prevention system to ensure measurable and sustainable substance abuse prevention outcomes.

Law Enforcement Assistance Fund (LEAF)

Program serves specific or general population	Specific population
Number of youth served	1,026
Number of parents served	No data
Number of caregivers served	No data
Program has been evaluated	Yes
Evaluation report is available	No
URL for evaluation report:	Not available
URL for more program information:	Not available

Program Description: LEAF consists of state funds financed from DUI offenses for community substance abuse prevention programs and projects. Monies allocated to the Office of Behavioral Health Prevention are used to establish a statewide program for the prevention of driving after drinking; training of teachers, health professionals, and law enforcement in the dangers of driving after drinking; preparing and disseminating educational materials dealing with the effects of alcohol and other drugs on driving behavior; and preparing and disseminating education curriculum materials for use at all levels of school.

Additional Underage Drinking Prevention Programs Operated or Funded by the State

Program description: No data

Additional Clarification

No data

Additional Information Related to Underage Drinking Prevention Programs

State collaborates with federally recognized tribal governments in the prevention of underage drinking Yes

Description of collaboration: The Southern Ute Community Action Program (SUCAP), located in Ignacio, CO, is part of the Southern Ute Reservation in southwest Colorado. Ignacio is a multi-ethnic community with a strong Native American population. The Boys and Girls Club of the Southern Ute Indian Tribe and the Ignacio school district uses evidence-based practices targeting youth ages 9 to 17. Under the Office of Behavioral Health Block Grant funding, SUCAP operates a teen center that continually offers education and alternative activities aimed at youth underage drinking and other substance use. SUCAP programs are culturally relevant to Southern Ute tribal requirements and combine classroom activities with outdoor excursions developed for Native American communities. Outreach

is based on relationship-building with youth in the schools and teen center to create a continuum of contacts and dosage.

<i>State has programs to measure and/or reduce youth exposure to alcohol advertising and marketing</i>	Yes
Description of program: State funds portioned for community-based underage drinking prevention efforts are intended to prevent and reduce substance use, abuse, and misuse prevalence rates across the state. A combination of all six CSAP primary prevention strategies for programs, approaches, and practices are funded. All funded 54 grantees implement an evidence-based program or practice or approach that can be found on NREPP or other reputable sources.	

<i>State has adopted or developed best practice standards for underage drinking prevention programs</i>	Yes
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Agencies/organizations that established best practices standards:

Federal agency(ies): SAMHSA	Yes
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Agency(ies) within your state:	No
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Nongovernmental agency(ies):	No
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Other:	No
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Best practice standards description: The Colorado Department of Human Services, Office of Behavioral Health has adopted the Strategic Prevention Framework (SPF) as a best practice standard for the prevention of underage drinking. The SPF uses a five-step planning process to guide states, jurisdictions, Tribes, and communities in selection, implementation, and evaluation of effective, culturally appropriate, and sustainable prevention activities. The SPF process:

- Promotes youth development
- Reduces risk-taking behaviors
- Builds assets and resilience
- Prevents problem behaviors across the life span of the programs

The idea behind the SPF is to use findings from public health research, along with evidence-based prevention programs, to build capacity and sustainable prevention. This, in turn, promotes resilience and decreases risk factors in individuals, families, and communities. SPF steps require states, territories, federally recognized tribes, tribal organizations, and communities to systematically:

1. Assess their prevention needs based on epidemiological data
2. Build their prevention capacity
3. Develop a strategic plan
4. Implement effective community prevention programs, policies, and practices
5. Evaluate their efforts for outcomes

The SPF is built on a community-based risk and protective factors approach to prevention. Also, there is a series of guiding principles that can be utilized at the federal, state, tribal, and community levels.

Additional Clarification

No data

State Interagency Collaboration

<i>A state-level interagency governmental body/committee exists to coordinate or address underage drinking prevention activities</i>	No
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Committee contact information: Not applicable

Agencies/organizations represented on the committee: Not applicable

<i>A website or other public source exists to describe committee activities</i>	Not applicable
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URL or other means of access:	Not applicable
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Underage Drinking Reports

<i>State has prepared a plan for preventing underage drinking in the last 3 years</i>	No
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Prepared by:	Not applicable
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Plan can be accessed via:	Not applicable
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<i>State has prepared a report on preventing underage drinking in the last 3 years</i>	No
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Prepared by:	Not applicable
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Plan can be accessed via:	Not applicable
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Additional Clarification

No data

State Expenditures for the Prevention of Underage Drinking

<i>Compliance checks in retail outlets:</i>	
Estimate of state funds expended	Data not available
Estimate based on the 12 months ending	Data not available
<i>Checkpoints and saturation patrols:</i>	
Estimate of state funds expended	Data not available
Estimate based on the 12 months ending	Data not available
<i>Community-based programs to prevent underage drinking:</i>	
Estimate of state funds expended	\$5,858,664.91
Estimate based on the 12 months ending	6/30/2014
<i>K-12 school-based programs to prevent underage drinking:</i>	
Estimate of state funds expended	Data not available
Estimate based on the 12 months ending	Data not available
<i>Programs targeted to institutes of higher learning:</i>	
Estimate of state funds expended	\$97,727.55
Estimate based on the 12 months ending	6/30/2014
<i>Programs that target youth in the juvenile justice system:</i>	
Estimate of state funds expended	Data not available
Estimate based on the 12 months ending	Data not available
<i>Programs that target youth in the child welfare system:</i>	
Estimate of state funds expended	Data not available
Estimate based on the 12 months ending	Data not available
<i>Other programs:</i>	
Programs or strategies included	Data not available
Estimate of state funds expended	Data not available
Estimate based on the 12 months ending	Data not available

Funds Dedicated to Underage Drinking

State derives funds dedicated to underage drinking from the following revenue streams:

Taxes	Yes
Fines	Yes
Fees	Yes
Other	Yes
Federal government grant funds	

Description of funding streams and how they are used:

Block Grant funds: A portion of the state Substance Abuse Prevention and Treatment Block Grant funds, awarded by the Substance Abuse and Mental Health Services Administration (SAMHSA), are allocated for the prevention and reduction of under-18 alcohol, tobacco and other drug use. These particular block grant funds are used to reduce the current alcohol, tobacco, and other drug use rate; prevent early initiation of substance use; promote healthy behavior; and support positive choices in school and communities by youth under age 18 at the local level.

Colorado Partnership for Success (CPPS) funds: Colorado is one of only four states to be awarded the SAMHSA Partnership for Success: State and Community Prevention Performance grant. This program is designed to help reduce statewide substance abuse rates by addressing gaps in current prevention services and increasing the ability to reach out to specific populations or geographic areas with serious, emerging substance abuse problems. The other three states are Connecticut, Illinois, and Tennessee. CPPS funds are used to help reduce statewide substance abuse rates by addressing gaps in current prevention services and increasing the ability to reach out to specific populations or geographic areas with serious, emerging substance abuse problems. CPPS employs a public health model to demonstrate positive statewide change in underage and binge drinking rates and disparity for high school Latino youth. CPPS will continue to integrate the Strategic Prevention Framework within Colorado's State Prevention System to ensure measurable and sustainable substance abuse prevention outcomes.

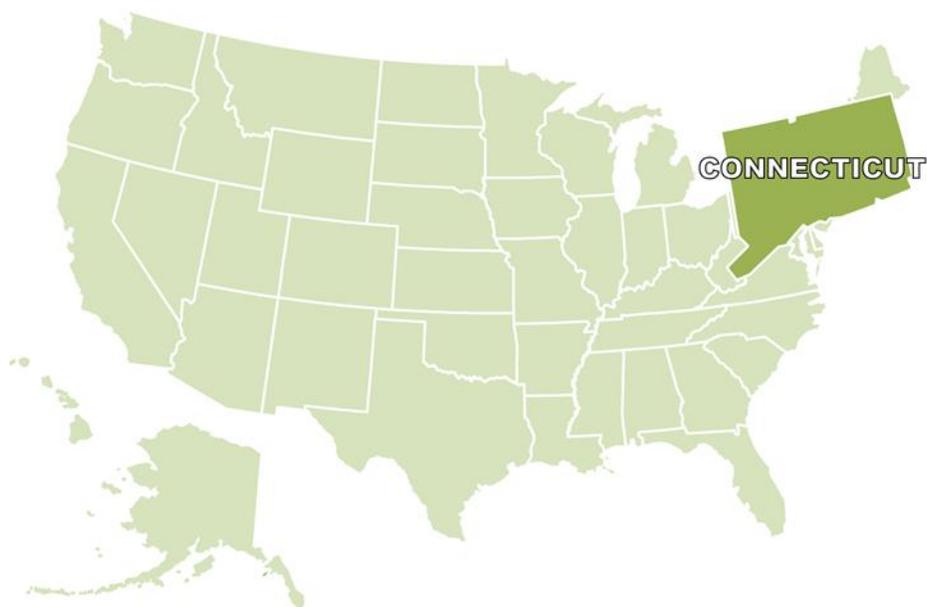
Persistent Drunk Driver (PDD) funds: Pursuant to legislation passed in 1998, penalties were increased for high BAC and repeat DUI offenders. Referred to as the Persistent Drunk Driver Act of 1998, this legislation defined the PDD

and created the PDD Cash Fund, which is funded by a surcharge imposed on convicted DWAI/DUI offenders. Monies in the PDD fund are subject to annual appropriation by the general assembly with the scope of their use stipulated by statute. Overall, the primary purpose of the fund is to support programs that are intended to deter persistent drunk driving or intended to educate the public, with particular emphasis on the education of young drivers regarding the dangers of persistent drunk driving. In recent years, the scope of the fund was expanded to include assisting indigent DUI offenders with the cost for required treatment or intervention services.

Law Enforcement Assistance Fund (LEAF) funds: Colorado Revised Statute (C.R.S.) 43-4-401 et seq. allocates a portion of funds to the Colorado Department of Human Services, Office of Behavioral Health. These dollars are used to fund a statewide program for the prevention of driving after drinking, including educating the public in the problems of driving after drinking, preparing and disseminating educational materials dealing with the effects of alcohol and other drugs on driving behavior, and preparing and disseminating education curriculum materials for use at all levels. The LEAF increases the capacity for comprehensive impaired driving education and underage drinking prevention at the local level.

Additional Clarification

No data



Connecticut

State Population: 3,596,677

Population Ages 12–20: 438,000

	Percentage	Number
Ages 12–20		
Past-Month Alcohol Use	28.6	125,000
Past-Month Binge Alcohol Use	17.8	78,000
Ages 12–14		
Past-Month Alcohol Use	3.7	5,000
Past-Month Binge Alcohol Use	0.6	1,000
Ages 15–17		
Past-Month Alcohol Use	23.9	36,000
Past-Month Binge Alcohol Use	12.8	19,000
Ages 18–20		
Past-Month Alcohol Use	55.9	84,000
Past-Month Binge Alcohol Use	38.5	58,000
Alcohol-Attributable Deaths (under 21)		35
Years of Potential Life Lost (under 21)		2,085
	Percentage of All Traffic Fatalities	Number
Traffic Fatalities, 15- to 20-Year-Old Drivers with BAC > 0.01	38	7

Laws Addressing Minors in Possession of Alcohol

Underage Possession	
Is underage possession of alcoholic beverages prohibited?	Yes
Are there exceptions based on family relationships?	
• Is possession allowed if parent or guardian is present or consents?	Yes
• Is possession allowed if spouse is present or consents?	Yes
Is there an exception based on location?	No

Underage Consumption	
Is underage consumption of alcoholic beverages prohibited?	No law
Are there exceptions based on family relationships?	
• Is consumption allowed if the parent or guardian is present or consents?	N/A
• Is consumption allowed if the spouse is present or consents?	N/A
Is there an exception based on location?	N/A

Underage Internal Possession	
Is underage internal possession of alcoholic beverages prohibited?	No law
Are there exceptions based on family relationships?	
• Is internal possession allowed if the parent or guardian is present or consents?	N/A
• Is internal possession allowed if the spouse is present or consents?	N/A
Is there an exception based on location?	N/A

Underage Purchase and Attempted Purchase	
Is the purchase of alcoholic beverages prohibited?	Yes
May youth purchase for law enforcement purposes?	Yes

False Identification for Obtaining Alcohol	
Provisions Targeting Minors	
Is the use of false identification (ID) prohibited?	Yes
Does the use of a false ID result in minor’s driver’s license suspension?	Yes, through a judicial process
Provisions Targeting Suppliers	
Is the lending or transferring or selling of a false ID prohibited?	No
Is the production of a false ID in the context of underage alcohol sales specifically prohibited?	No
Retailer Support Provisions	
Is there an incentive for the retailer to use electronic scanners for information digitally encoded on valid IDs?	Yes
Are state driver’s licenses for persons under 21 easily distinguishable from licenses for persons 21 and over?	Yes
May retailers seize apparently false IDs without fear of prosecution even if the ID is ultimately deemed valid?	No
Does an affirmative defense exist for the retailer?	Yes
• Is it a specific affirmative defense (retailer reasonably believed ID was valid after examining it)?	Yes

• Is it a general affirmative defense (retailer reasonably believed purchaser was over 21)?	No
Does the retailer have the right to sue the minor for use of a false ID?	No
May a retailer detain a minor who used a false ID?	No

Laws Targeting Underage Drinking and Driving

Youth Blood Alcohol Concentration Limits (Underage Operators of Noncommercial Motor Vehicles)	
What is the maximum blood alcohol concentration (BAC) limit for an underage driver of a motor vehicle?	0.02
Does a BAC level in excess of limit automatically establish a violation (per se violation)?	Yes
What is the minimum age to which the limit applies?	0
What is the maximum age to which the limit applies?	21

Loss of Driving Privileges for Alcohol Violations by Minors (“Use/Lose” Laws)	
Is there a “use/lose” law that suspends or revokes a minor’s driving privileges for alcohol violations?	Yes
What types of violation lead to license suspension or revocation?	
• Purchase of alcohol	No
• Possession of alcohol	Yes
• Consumption of alcohol	No
The law applies to people under what age?	21
Is suspension or revocation mandatory or discretionary?	Mandatory
What is the length of suspension/revocation?	
Minimum number of days	30
Maximum number of days	30
<i>Note:</i> In addition to the 30-day suspension penalty mentioned in the table above, Connecticut imposes a license suspension of 60 days if underage possession occurs on any public street or highway.	

Graduated Driver’s Licenses	
Learner Stage	
What is the minimum age for permit to drive with parents, guardians or other adults (other than instructors)?	16
What is the minimum number of months driver must hold learner permit before advancing to intermediate stage?	4 months with driver education; 6 months without
What is the minimum number of hours of driving with parents, guardians, or adults before advancing to intermediate stage?	40
Intermediate Stage	
What is the minimum age for driving without adult supervision?	16 years, 4 months
For night-driving, when does adult supervision requirement begin?	11 pm
Can law enforcement stop a driver for night-driving violation as a primary offense?	Yes – Officer may stop driver for night-driving violation
Are there restrictions on passengers?	Yes – First 6 months, limited to one parent, instructor, or licensed adult who is at least 20; second 6

	months, expands to include immediate family
Can law enforcement stop driver for violation of passenger restrictions as a primary offense?	Yes – Officer may stop driver for passenger restrictions violation
License Stage	
What is the minimum age for full license privileges and lifting of restrictions?	18 (passenger restrictions expire 12 months after issuance of intermediate license; unsupervised night-driving restrictions remain until age 18)
<i>Note:</i> A parent or guardian of any applicant under 18 to whom a learner's permit is issued shall attend 2 hours of safe driving instruction with the applicant.	

Laws Targeting Alcohol Suppliers

Furnishing Alcohol to Minors	
Is furnishing of alcoholic beverages to minors prohibited?	Yes
Are there exceptions based on family relationships?	
• Is furnishing allowed if the parent or guardian supplies the alcohol?	Yes
• Is furnishing allowed if the spouse supplies the alcohol?	Yes
Is there an exception based on location?	No
Affirmative Defense for Sellers and Licensees	
Does law require seller/licensee to be exonerated of furnishing to a minor if the minor has not been charged?	No

Compliance Check Protocols	
Does the state have a written protocol for when an underage decoy is used in compliance checks?	Yes
What is the minimum age a decoy may be to participate in a compliance check?	Not specified
What is the maximum age a decoy may be to participate in a compliance check?	Not specified
What are the decoy's appearance requirements?	Minors are not to wear sweatshirts or clothing suggesting they are of legal age.
Does decoy carry ID during compliance check?	Discretionary
May decoy verbally exaggerate his or her actual age?	Prohibited
Is decoy training mandated, recommended, prohibited, or not specified?	Not specified

Penalty Guidelines for Sales to Minors	
Are there written guidelines for penalties imposed on retailers for furnishing to a minor?	No
What is the time period for defining second, third, and subsequent offenses?	N/A
What is the penalty for the first offense?	N/A
What is the penalty for the second offense?	N/A
What is the penalty for the third offense?	N/A
What is the penalty for the fourth offense?	N/A

Responsible Beverage Service (RBS)	
Is there a state law pertaining to beverage service training?	No law
If training is mandatory, who must participate?	N/A
If training is voluntary, which of the following incentives are offered?	
• Defense in dram shop liability lawsuits	N/A
• Discounts in dram shop liability insurance, license fees, or other	N/A
• Mitigation of fines or other administrative penalties for sales to minors or intoxicated persons	N/A
• Protection against license revocation for sales to minors or sales to intoxicated persons	N/A
Does the RBS law apply to on-premises establishments (such as bars and restaurants) or off-premises establishments (such as liquor stores)?	N/A
Does the RBS law apply to new or existing licensees?	N/A

Minimum Age for Sellers of Alcohol – Off-Premises (i.e., Liquor Stores)	
What is the minimum age requirement for off-premises retail establishments?	
Beer	15
Wine	18
Spirits	18
Does a manager or supervisor have to be present?	No

Minimum Age for Alcohol Servers and Bartenders – On-Premises (i.e., Restaurants and Bars)	
What is the minimum age requirement for servers in on-premises establishments?	
Beer	18
Wine	18
Spirits	18
What is the minimum age requirement for bartenders in on-premises establishments?	
Beer	18
Wine	18
Spirits	18
Does a manager or supervisor have to be present?	No

Alcohol Outlet Siting Near Schools and Universities	
Colleges and Universities	
Is there a distance requirement for off-premises outlets (i.e., liquor stores)?	No
Is there a distance requirement for on-premises outlets (i.e., restaurants and bars)?	No
To which alcohol products does requirement apply?	N/A
Primary and Secondary Schools	
Is there a distance requirement for off-premises outlets (i.e., liquor stores)?	No
Is there a distance requirement for on-premises outlets (i.e., restaurants and bars)?	No
To which alcohol products does requirement apply?	N/A

Dram Shop Liability	
Does a statute create dram shop liability?	Yes
Does the statute limit damages that may be recovered?	Yes (\$250,000 per person)
Does the statute limit who may be sued?	No

Does the statute limit elements or standards of proof?	Yes (minor must be intoxicated at time of furnishing)
Does common law dram shop liability exist?	Yes
<i>Note:</i> A common law cause of action is not precluded by the dram shop statute. Under common law, the limitations on damages may be avoided.	

Social Host Liability	
Does a statute create social host liability?	No
Does the statute limit damages that may be recovered?	N/A
Does the statute limit who may be sued?	N/A
Does the statute limit elements or standards of proof?	N/A
Does common law social host liability exist?	Yes

Prohibitions Against Hosting Underage Drinking Parties	
Does a statute prohibit hosting underage drinking parties?	Yes
Is the statute specific to underage parties, or a general prohibition against permitting underage drinking on the property?	General
What action by underage guest triggers a violation?	Possession
Property type covered by the law?	Residential/Outdoor/Other
What level of knowledge by the host is required?	Criminal negligence: Host must fail to perceive a substantial risk that the party is unlawful
Does host’s preventive action protect him/her from being held liable?	Yes
Are there any exceptions for underage guests?	Yes – Family members
<i>Note:</i> The “preventive action” provision in Connecticut requires the prosecution to prove that the host failed to take preventive action. Connecticut permits prosecution of a person who “knowingly, recklessly, or with criminal negligence” permits a minor to possess alcoholic liquor.	

Retailer Interstate Shipments of Alcohol	
Are out-of-state retailers prohibited from sending interstate shipments to in-state consumers?	
Beer	Yes
Wine	Yes
Spirits	Yes

Direct Shipments/Sales	
May alcohol producers ship directly to consumers?	Yes
What alcohol types may be shipped?	Wine
Must purchaser make mandatory trip to producer before delivery is authorized?	No
Age verification requirements	
Must the producer/shipper verify purchaser’s age before sale?	No
Must the common carrier (deliverer) verify age of recipients?	Yes (ID check is required at some point prior to delivery)

State approval/permit requirements	
Must the producer/manufacture obtain state license or permit?	Yes
Must the common carrier (deliverer) be approved by a state agency?	Yes
Recording/reporting requirements	
Must the producer/manufacture record/report purchaser's name?	Yes
Must the common carrier (deliverer) record/report recipient's name?	Yes
Shipping label requirements	
Must the label state "Package contains alcohol"?	Yes
Must the label state "Recipient must be 21 years old"?	Yes

Keg Registration	
How is a keg defined (in gallons)?	Equal to or more than 6.00
Prohibitions	
Is it illegal to possess an unregistered or unlabeled keg and if so, what is the penalty?	Yes (maximum fine/jail, \$500/3 months)
Is it illegal to destroy the label on a keg, and if so, what is the penalty?	No
What purchaser information is collected?	
Must the retailer collect the name and address?	Yes
Must the retailer collect the ID number, name and address on license or other government information?	Yes
Must the retailer collect the address at which keg will be consumed?	No
Must warning information be given to purchaser?	Yes – Passive (requires no action by purchaser)
Is a deposit required?	No
Does law cover disposable kegs?	No

Home Delivery	
Is home delivery of alcohol permitted?	
Beer	Yes
Wine	Yes
Spirits	Yes

High-Proof Grain Alcohol Beverages	
Are there restrictions on the sale of high-proof grain alcohol beverages?	No
Are restrictions based on Alcohol by Volume (ABV)?	N/A
Are there exceptions to restrictions?	N/A

Laws Affecting Alcohol Pricing

Alcohol Taxes	
Beer	
Control system for beer?	No
Specific excise tax per gallon for 5% alcohol beer	\$0.24
Ad valorem excise tax (for on-premises sales) on total receipts for 5% alcohol beer	

Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Ad valorem excise tax (for off-premises sales) on total receipts for 5% alcohol beer	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Additional taxes for 3.2–6% alcohol beer (if applicable)	
<i>Note: Connecticut imposes a tax of \$7.20 per barrel, defined as “not less than twenty-eight nor more than thirty-one gallons,” and \$0.24 per wine gallon or fraction thereof on quantities less than a quarter barrel.</i>	
Wine	
Control system for wine?	No
Specific excise tax per gallon for 12% alcohol wine	\$0.72
Ad valorem excise tax (for on-premises sales) on total receipts for 12% alcohol wine	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Ad valorem excise tax (for off-premises sales) on total receipts for 12% alcohol wine	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Additional taxes for 6–14% alcohol wine (if applicable)	
Spirits	
Control system for spirits?	No
Specific excise tax per gallon for 40% alcohol spirits	\$5.40
Ad valorem excise tax (for on-premises sales) on total receipts for 40% alcohol spirits	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Ad valorem excise tax (for off-premises sales) on total receipts for 40% alcohol spirits	

Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Additional taxes for 15–50% alcohol spirits (if applicable)	

Low-Price, High-Volume Drink Specials	
What types of drink specials are prohibited by on-premises retailers?	
Free beverages	No
Multiple servings at one time	Yes
Multiple servings for same price as single serving	No
Reduced price for a specified day or time (i.e., happy hours)	No
Unlimited beverages for fixed price	Yes
Increased volume without increase in price	No

Wholesaler Pricing Restrictions	
Beer	
Are volume discounts to retailers allowed?	Banned
Must wholesalers establish a minimum markup or maximum discount for each product sold to retailers?	Yes
Must wholesalers publicly post and hold (i.e., not reduce) prices for a set period of time?	Post and hold (30 days)
Is wholesaler permitted to extend credit to retailer and if so, what is the maximum time period?	Yes (30 days)
Wine	
Are volume discounts to retailers allowed?	Banned
Must wholesalers establish a minimum markup or maximum discount for each product sold to retailers?	Yes
Must wholesalers publicly post and hold (i.e., not reduce) prices for a set period of time?	Post and hold (30 days)
Is wholesaler permitted to extend credit to retailer and if so, what is the maximum time period?	Yes (30 days)
Spirits	
Are volume discounts to retailers allowed?	Banned
Must wholesalers establish a minimum markup or maximum discount for each product sold to retailers?	Yes
Must wholesalers publicly post and hold (i.e., not reduce) prices for a set period of time?	Post and hold (30 days)
Is wholesaler permitted to extend credit to retailer and if so, what is the maximum time period?	Yes (30 days)
<i>Note: Wholesalers may not sell below cost.</i>	

Connecticut State Survey Responses

State Agency Information

Agency with primary responsibility for enforcing underage drinking laws:

State of Connecticut, Department of Consumer Protection, Liquor Control Division

Enforcement Strategies

State law enforcement agencies use:

Cops in Shops	No
Shoulder Tap Operations	No
Party Patrol Operations or Programs	Yes
Underage Alcohol-Related Fatality Investigations	Yes

Local law enforcement agencies use:

Cops in Shops	No
Shoulder Tap Operations	No
Party Patrol Operations or Programs	Yes
Underage Alcohol-Related Fatality Investigations	Yes

State has a program to investigate and enforce direct sales/shipment laws Yes

Primary state agency responsible for enforcing laws addressing direct sales/shipments of alcohol to minors Dept. of Consumer Protection, Liquor Control Div.

Such laws are also enforced by local law enforcement agencies Don't know

Enforcement Statistics

State collects data on the number of minors found in possession Yes

Number of minors found in possession by state law enforcement agencies 1,120

Number pertains to the 12 months ending 12/31/2014

Data include arrests/citations issued by local law enforcement agencies Yes

State conducts underage compliance checks/decoy operations² to determine if alcohol retailers are complying with laws prohibiting sales to minors Yes

Data are collected on these activities Yes

Number of retail licensees in state³ 6,800

Number of licensees checked for compliance by state agencies (including random checks) 350

Number of licensees that failed state compliance checks 60

Numbers pertain to the 12 months ending 12/31/2014

Compliance checks/decoy operations conducted at on-sale, off-sale, or both retail establishments Both on- and off-sale establishments

State conducts **random** underage compliance checks/decoy operations No

Number of licensees subject to **random** state compliance checks/decoy operations Not applicable

Number of licensees that failed **random** state compliance checks Not applicable

Local agencies conduct underage compliance checks/decoy operations to determine if alcohol retailers are complying with laws prohibiting sales to minors Don't know/No answer

Data are collected on these activities Not applicable

Number of licensees checked for compliance by local agencies Not applicable

Number of licensees that failed local compliance checks Not applicable

Numbers pertain to the 12 months ending Not applicable

Sanctions

State collects data on fines imposed on retail establishments that furnish minors Yes

Number of fines imposed by the state⁴ 150

Total amount in fines across all licensees No data

Smallest fine imposed \$500

Largest fine imposed \$7,500

Numbers pertain to the 12 months ending	12/31/2014
<i>State collects data on license suspensions imposed on retail establishments specifically for furnishing minors</i>	Yes
Number of suspensions imposed by the state ⁵	175
Total days of suspensions across all licensees	No data
Shortest period of suspension imposed (in days)	1
Longest period of suspension imposed (in days)	45
Numbers pertain to the 12 months ending	12/31/2014
<i>State collects data on license revocations imposed on retail establishments specifically for furnishing minors</i>	Yes
Number of license revocations imposed ⁶	0
Numbers pertain to the 12 months ending	12/31/2014

Additional Clarification

FY 2014 Liquor Control personnel—\$1.8 million. The primary mission is to reduce underage persons' access to alcoholic liquor and beverages through investigations, police referrals, evaluation of suitability of license applicants, and location premises investigations. While it is difficult to break down each individual component, most of these efforts are intended and designed to fulfill one of the department's mission statements: reducing access to alcoholic liquor to minors from our licensed liquor retailers. Total fines assessed for calendar year 2014 were \$399,017 for all violations.

¹ Or having consumed or purchased per state statutes.

² Underage compliance checks/decoy operations to determine whether alcohol retailers are complying with laws prohibiting sales to minors.

³ Excluding special licenses such as temporary, seasonal, and common carrier licenses.

⁴ Does not include fines imposed by local agencies.

⁵ Does not include suspensions imposed by local agencies.

⁶ Does not include revocations imposed by local agencies.

Underage Drinking Prevention Programs Operated or Funded by the State

Partnerships for Success (PFS)

Program serves specific or general population	General population
Number of youth served	Not applicable
Number of parents served	Not applicable
Number of caregivers served	Not applicable
Program has been evaluated	Yes
Evaluation report is available	Yes
URL for evaluation report:	http://www.ct.gov/dmhasprevention
URL for more program information:	http://www.ct.gov/dmhasprevention

Program Description: PFS is a 5-year, \$11.5 million grant awarded to the Connecticut Department of Mental Health & Addiction Services through a competitive bid from CSAP. The PFS funding was to commence on September 30, 2014. PFS allows Connecticut to continue successful community-based approaches that prevent underage drinking through the use of the Strategic Prevention Framework. This data-driven public health approach builds on existing successes of over 20 community-based coalitions that specifically address underage drinking, including several other state and federally funded coalitions and community-based programs currently in place covering each region of the state. The PFS uses environmental prevention approaches to produce measurable reductions in alcohol consumption patterns and their negative consequences. The University of Connecticut Health Center conducts evaluations at the state and community levels to track performance targets. Goals include:

- Reducing past-month alcohol use rates for individuals ages 12–20.
- Preventing the onset and reducing the progression of childhood/underage drinking.
- Strengthening capacity and infrastructure at the state and community levels to implement data-driven, evidence-based policies, practices, and programs.
- Taking a collaborative approach to align state and community strategies, redirect existing services, and leverage human and fiscal resources to sustain efforts.

Strategy types: Nineteen funded community coalitions and college campuses utilize the SPF 5-step approach to decrease alcohol consumption in youth ages 12 to 20. Additionally, coalitions build on existing resources to implement environmental strategies known to be effective in reducing youth alcohol use rates, such as curtailing retail and social access, policy change, enforcement, media advocacy, and parental and merchant education, as well as measure changes in underage drinking that use student survey and social indicator data. Connecticut has completed implementation of the SPF initiative, which identified underage drinking as a state priority. The SPF was a 5-year, \$11 million initiative that brought evidence-based programs, policies, and practices to communities through a coalition approach to regions across the state. Coalitions were charged with conducting needs and resource assessments, building community capacity to address underage drinking, developing strategic plans, implementing evidence-based programs, and evaluating and sustaining efforts once the initiative ended. The majority of the PFS coalitions were continued through SAMHSA's Partnership for Success Grant. Highlights included prioritizing and addressing underage drinking at the state and community levels; leveraging, redirecting, and realigning resources in support of the SPF and the reduction of underage drinking; and strengthening state/local capacity and infrastructure in support of prevention. The overall goals of Connecticut's PFS initiative are to:

1. Reduce substance abuse-related problems in the State, particularly those related to underage alcohol use
2. Prevent the onset and reduce the progression of substance abuse, including underage drinking
3. Strengthen state and community-level capacity and infrastructure in support of substance abuse prevention
4. Leverage, redirect, and realign statewide funding streams for prevention

At the end of Year 3 of the PFS, the cumulative evidence indicates that the state has been successful in reducing and preventing underage drinking. The target performance indicator for Connecticut's PFS project was exceeded. Past-month alcohol use among 12- to 17-year-olds dropped from 19.6% in the 2006–2007 baseline year to 17.8% in 2009–2010 as measured by the National Survey of Drug Use and Health (NSDUH), surpassing Connecticut's CSAP-approved performance target of 18.1%. According to the NSDUH, underage drinking among the state's population ages 12 to 17 decreased 9.2% in the 3-year period.

Connecticut Statewide Healthy Campus Initiative (CSHCI)

Program serves specific or general population	Specific population
Number of youth served	No data
Number of parents served	No data
Number of caregivers served	No data
Program has been evaluated	Yes
Evaluation report is available	No
URL for evaluation report:	Not applicable
URL for more program information:	http://www.ct.gov/dmhasprevention

Program Description: The purpose of the CSHCI is to develop a comprehensive prevention system that is responsive to the needs of young adults ages 18 to 25 who are attending public universities throughout Connecticut. The Initiative is based on a 3-in-1 Framework recommended by the National Institute on Alcohol Abuse and Alcoholism (NIAAA). The goal is to change the culture of drinking and other substance use/abuse using broad-based, comprehensive, integrated programs with multiple complementary components that target individuals, including at-risk or alcohol-dependent drinkers; the student population as a whole; and the college and the surrounding community. Objectives of the initiative are to:

- Address gaps in substance abuse prevention and early intervention services.
- Support culturally responsive, age appropriate, and evidence-based approaches for young adults.
- Further develop Connecticut's prevention data infrastructure and capacity to collect and analyze outcome data and report on key performance measures.

The primary target population is college students ages 18 to 25. Programs may also target family members, peers, schools, and communities at large. This initiative requires that programs use multiple strategies within the 3-in-1 Framework (community, campus, and individual-level strategies known to be effective). The following is a summary list of activities:

1. Monthly meetings of the Connecticut Healthy Campus Initiative, open to all Connecticut institutions of higher education. Meetings include training by national experts, technical assistance, networking, and coalition

organizational tasks geared toward sustaining efforts and promoting evidence-based activities on college campuses. Forty colleges have signed on to participate in the Initiative.

2. Grantee funding opportunities: Following a competitive request-for-proposal process, nine Connecticut colleges received awards to implement evidence-based environmental strategies including policy review and creation, enforcement of underage drinking laws and policies, coalition capacity building, and social marketing. Colleges receiving the awards implement the CORE survey before and after implementation to measure the effectiveness of the strategies at reducing past-month alcohol use and binge drinking.
3. Technical assistance (TA) is provided by the Wheeler Clinic, Connecticut Clearinghouse staff to Connecticut institutions of higher education. TA includes face-to-face, telephone, and electronic consultation as requested by college staff. An electronic listserv of Connecticut colleges will be maintained and used to provide updates on national and state alcohol and drug prevention news and information.

Best Practices Program

Program serves specific or general population	General population
Number of youth served	Not applicable
Number of parents served	Not applicable
Number of caregivers served	Not applicable
Program has been evaluated	Yes
Evaluation report is available	Yes
URL for evaluation report:	http://www.ct.gov/dmhasprevention
URL for more program information:	http://www.ct.gov/dmhasprevention

Program Description: The Best Practice Initiative consists of 14 multifocused Substance Abuse Prevention and Treatment (SAPT) Block Grant-funded programs across Connecticut. They were originally created in the mid-1990s to apply science and research-based innovations to populations across the lifecycle. In 2009, following extensive review of state epidemiological data on underage alcohol use and related consequences, the funded agencies were refocused to apply SPF and related strategies to address underage drinking and other substances that were data-identified as problems in chosen communities. All Best Practice agencies are required to use a portion of their block grant funds to reduce underage drinking and related consequences. Additionally, they are required to hire a local evaluator to assist with evaluation of their grants and development of an evaluation report. The population-level approach requires agencies to use evidenced-based environmental strategies endorsed by CSAP, such as law and policy development and enforcement and media and marketing campaigns.

Governors Prevention Partnership (GPP)

Program serves specific or general population	General population
Number of youth served	Not applicable
Number of parents served	Not applicable
Number of caregivers served	Not applicable
Program has been evaluated	Yes
Evaluation report is available	No
URL for evaluation report:	Not applicable
URL for more program information:	http://www.preventionworksct.org

Program Description: GPP, a statewide prevention resource link, serves as a nonprofit entity between state government and businesses with a mission to keep Connecticut’s youth safe, successful, and drug free. GPP provides leadership and services to help schools, communities, colleges, and businesses create and sustain quality programs in the following areas: mentoring, coalition building, underage drinking prevention, school-based substance abuse and violence prevention, campus community partnerships, parent education, and media. GPP works closely with DMHAS, state agencies, and community-based organizations to maximize prevention efforts and services based on state needs and policy plans. GPP and state and local coalitions have mobilized toward a statewide coalition, the Connecticut Coalition to Stop Underage Drinking (CCSUD). GPP has also been the technical assistance provider to the SPF grantees and provides technical assistance on the SPF 5-step process to the Best Practice Programs and the Partnerships for Success (PFS) grantees.

Regional Action Councils (RACs)

Program serves specific or general population	General population
Number of youth served	Not applicable
Number of parents served	Not applicable
Number of caregivers served	Not applicable
Program has been evaluated	No
Evaluation report is available	Not applicable
URL for evaluation report:	Not applicable
URL for more program information:	http://www.ct.gov/dmhasprevention

Program Description: The RACs comprise 13 public/private subregional planning and action councils covering the state that have responsibility for planning, development, and coordination of behavioral health services in their respective regions. RACs are prevention resource links for the Department of Mental Health and Addiction Services (DMHAS) and are legislatively mandated to:

1. Determine the extent of substance abuse problems within their subregions
2. Determine the status of resources to address such problems
3. Identify gaps in the substance abuse service continuum
4. Identify changes to the community environment that will reduce substance abuse

This information is used by DMHAS to inform decisions related to service system plans and enhancements. RAC membership consists of diverse members of the community, including the chief elected official, chief of police, school superintendents of each municipality within the subregion, business and professional leaders, General Assembly members, service providers, representatives of minority populations, religious organizations, representatives of private funding organizations, and the media. Every 2 years, RACs produce Subregional Prevention Priority Reports to describe:

1. The burden of substance abuse, problem gambling, and suicide in the subregions
2. Prioritized prevention needs
3. The capacity of the subregions’ communities to address those needs

These reports are based on data-driven analyses of issues in the subregions with assistance from key community members. The reports and accompanying data are used as building blocks for state- and community-level processes, including capacity and readiness building, strategic planning, implementation of evidence-based programs and strategies, and evaluation of efforts to reduce substance abuse and promote mental health. The subregional priority-setting process conducted by the RACs was instrumental in assisting community coalitions with developing strategic plans to address underage drinking in their respective communities. RACs have also received Drug Free Coalition (DFC) and Sober Truth on Preventing (STOP) Underage Drinking Act grants to address underage drinking in their regions.

Connecticut Clearinghouse – Center for Prevention, Wellness & Recovery

Program serves specific or general population	General population
Number of youth served	Not applicable
Number of parents served	Not applicable
Number of caregivers served	Not applicable
Program has been evaluated	No
Evaluation report is available	Not applicable
URL for evaluation report:	Not applicable
URL for more program information:	http://www.ctclearinghouse.org

Program Description: Connecticut Clearinghouse, a program of Wheeler Clinic’s CCPWR, is a statewide library and resource center for information on substance use and mental health disorders, prevention and health promotion, treatment and recovery, wellness, and other related topics. The CCPWR serves as a primary Prevention resource link for DMHAS. Resources and services are available to anyone who lives or works in the state, including families, teachers, students, professionals, community members, and children. The Clearinghouse has also provided prevention and other training coordination services for several Connecticut state agencies.

Local Prevention Councils (LPCs)

Program serves specific or general population	General population
Number of youth served	Not applicable
Number of parents served	Not applicable
Number of caregivers served	Not applicable
Program has been evaluated	No
Evaluation report is available	Not applicable
URL for evaluation report:	Not applicable
URL for more program information:	http://www.ct.gov/dmhasprevention

Program Description: LPCs support more than 120 local, municipal-based alcohol, tobacco, and drug abuse prevention councils. This grant-funded program facilitates the development of prevention initiatives at the local level with the support of the chief elected officials. The specific goals of LPCs are to increase public awareness of substance use prevention and stimulate the development and implementation of local prevention activities primarily focused on youth.

Multicultural Leadership Institute (MLI)

Program serves specific or general population	General population
Number of youth served	Not applicable
Number of parents served	Not applicable
Number of caregivers served	Not applicable
Program has been evaluated	No
Evaluation report is available	Not applicable
URL for evaluation report:	Not applicable
URL for more program information:	http://www.mli-inc.org

Program Description: MLI is a key prevention resource link in Connecticut. It is a private, nonprofit 501(c)(3) corporation established in 1997 with a mission to provide leadership for positive change through implementing and coordinating multicultural and diversity awareness, education, advocacy, and research programs. The organization is a leader in promoting multicultural transformation, impacting individuals, organizations, and society. MLI works with DMHAS-funded prevention providers to assist in infusing cultural competence into all of their work. Additionally, MLI's current education and training programs and activities address diversity and multiculturalism across a variety of professions and fields. Speaking engagements, training, or consultation services may address general cultural competency or specific topics or populations. Curriculum and other materials are tailored to each group's unique needs.

Additional Underage Drinking Prevention Programs Operated or Funded by the State

Program Description: No data

Additional Clarification

No data

Additional Information Related to Underage Drinking Prevention Programs

State collaborates with federally recognized tribal governments in the prevention of underage drinking Yes

Description of collaboration: Connecticut has two federally recognized tribal nations: the Mashantucket Pequot Nation (population 227) and the Mohegan Tribe (population 1,700). Connecticut also has four state-recognized tribal nations: the Eastern Pequot Nation, the Golden Hill Paugusset Tribe, the Pawcatuck Eastern Pequot Tribe (population: 150), and the Schaghticoke Indian Tribe (population: 300). A seventh tribal nation, Nipmuc Indian Association of Connecticut, is currently seeking federal recognition. The state's two federally recognized Indian Tribes are located in the Norwich/New London area of eastern Connecticut. Both have casinos that contribute slot revenues to the state. The casinos have provided a stable economic foundation for the tribes and have allowed for the preservation of culture and the establishment of tribal departments that provide a broad range of health/social benefits to members on the reservations. Coalitions/Regional Action Councils (RACs) in close proximity to Connecticut's two tribes have formal linkages and include tribal communities within their community interventions. At the state level, the Department of Mental Health and Addiction Services (DMHAS) is currently

working with tribal leadership to educate them on the Partnerships for Success initiative and engage tribal representatives to serve in an advisory role, providing advice on issues facing American Indians who wish to participate in underage drinking and related substance abuse prevention programs.

State has programs to measure and/or reduce youth exposure to alcohol advertising and marketing Yes

Description of program: “SetTheRulesCT” is a statewide media campaign educating parents and adults about Connecticut’s social host law and the impact of alcohol on teenage brain development. The U.S. Department of Justice’s Office of Juvenile Justice and Delinquency Prevention (OJJDP) is addressing the growing problem of underage drinking through numerous initiatives, including public advertising programs. “SetTheRulesCT” was developed by the Office of Policy and Management (OPM) and the JJAC Subcommittee on Combating Underage Drinking, which is composed of representatives from the following state agencies and departments:

- Commission on Children
- Department of Children and Families
- Department of Consumer Protection, Liquor Control
- Department of Education
- Department of Mental Health and Addiction Services
- Department of Motor Vehicles
- Department of Public Safety
- Department of Transportation, Division of Public Defender Services
- Department of Public Health
- Judicial Branch
- Office of Policy and Management
- Juvenile Justice Policy and Planning Division
- Juvenile Justice Advisory Committee
- Office of the Chief State’s Attorney

Additionally, Connecticut DMHAS Partnership for Success and Best Practice grantee agencies will implement social marketing campaigns as a strategy to address priority underage drinking risk factors in local communities throughout the state.

State has adopted or developed best practice standards for underage drinking prevention programs Yes

Agencies/organizations that established best practices standards:

Federal agency(ies): Substance Abuse & Mental Health Services Administration, Center for Substance Abuse Prevention Yes

Agency(ies) within your state: Department of Mental Health & Addiction Services, Prevention & Health Promotion Yes

Nongovernmental agency(ies): No

Other: No

Best practice standards description: The DMHAS-funded Connecticut PFS grantees use evidence-based programs (EBPs). CT’s Resource Links will continue to provide training/technical assistance on selecting and implementing EBP strategies that will most effectively assist Partnerships for Success and Best Practice coalitions with achieving performance target outcomes. DMHAS, in conjunction with Connecticut prevention provider agencies and organizations, developed Cultivating Programs that Work: Operating Standards for Prevention and Health Promotion Programs for prevention programs funded by DMHAS. The standards, guidelines, and supporting documents link state-of-the-art prevention theory to effective, comprehensive, and accountable prevention practice and abide by principles that are divided into eight categories critical for all prevention programs:

1. Human Relationships
2. Program Planning
3. Program Activities
4. Program Settings
5. Health and Safety
6. Program Implementation
7. Program Administration

8. Evaluation

Implementation of the standards should result in positive outcomes for programs, staff, and participants. The purpose of these standards is to provide assurances to the public that alcohol and drug abuse prevention and early intervention programs are regulated under a set of minimum standards established by DMHAS. These standards establish a minimum level of program operation intended to reflect quality substance abuse prevention programs. The operating standards articulate a service philosophy that helps individuals, families, schools, and communities throughout Connecticut prevent the misuse, or abuse of legal or illegal substances. To support prevention staff training and certification, the Prevention Training Collaborative provides a wide range of prevention training across the state.

Additional Clarification

No data

State Interagency Collaboration

A state-level interagency governmental body/committee exists to coordinate or address underage drinking prevention activities Yes

Committee contact information:
 Name: Carol Meredith, MPA, DMHAS Director of Prevention & Health Promotion
 Email: Carol.Meredith@ct.gov
 Address: 410 Capitol Avenue, PO Box 341431, MS-PIT, Hartford, CT 06134
 Phone: 860-418-6826

- Agencies/organizations represented on the committee:*
- Department of Consumer Protection
 - Department of Public Health
 - Department of Emergency Services and Public Protection
 - Department of Social Services
 - Department of Transportation
 - Department of Motor Vehicles
 - Judicial Court Support Services Division
 - Department of Corrections
 - Department of Children & Families
 - State Department of Education
 - Department of Veterans Affairs
 - Board of Pardons & Parole
 - Office of Policy & Management
 - CT Youth Services Bureau Association
 - Mashantucket Pequot Tribal Nation
 - Mohegan Tribe
 - True Colors

A website or other public source exists to describe committee activities Yes
 URL or other means of access: <http://www.ct.gov/dmhasprevention>

Underage Drinking Reports

State has prepared a plan for preventing underage drinking in the last 3 years No
 Prepared by: Not applicable
 Plan can be accessed via: Not applicable

State has prepared a report on preventing underage drinking in the last 3 years Yes
 Prepared by: DMHAS & University of Connecticut Health Center (UCHC) Evaluation Team
 Plan can be accessed via: <http://www.ct.gov/dmhasprevention>

Additional Clarification

No data

State Expenditures for the Prevention of Underage Drinking

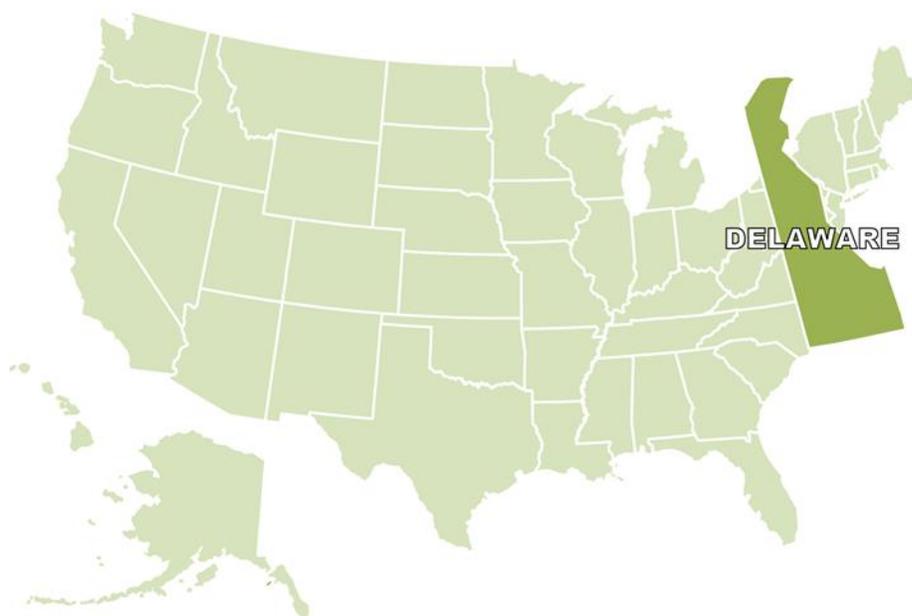
<i>Compliance checks in retail outlets:</i>		
Estimate of state funds expended		Data not available
Estimate based on the 12 months ending		Data not available
<i>Checkpoints and saturation patrols:</i>		
Estimate of state funds expended		Data not available
Estimate based on the 12 months ending		Data not available
<i>Community-based programs to prevent underage drinking:</i>		
Estimate of state funds expended		\$9,620,510
Estimate based on the 12 months ending		6/30/2014
<i>K-12 school-based programs to prevent underage drinking:</i>		
Estimate of state funds expended		\$8,011,623
Estimate based on the 12 months ending		6/30/2014
<i>Programs targeted to institutes of higher learning:</i>		
Estimate of state funds expended		\$303,923
Estimate based on the 12 months ending		6/30/2014
<i>Programs that target youth in the juvenile justice system:</i>		
Estimate of state funds expended		\$5,285,391
Estimate based on the 12 months ending		6/30/2014
<i>Programs that target youth in the child welfare system:</i>		
Estimate of state funds expended		\$1,108,115
Estimate based on the 12 months ending		6/30/2014
<i>Other programs:</i>		
Programs or strategies included		No data
Estimate of state funds expended		No data
Estimate based on the 12 months ending		No data

Funds Dedicated to Underage Drinking

<i>State derives funds dedicated to underage drinking from the following revenue streams:</i>		
Taxes		Yes
Fines		Yes
Fees		Yes
Other General funds and drug forfeiture funds		Yes
<i>Description of funding streams and how they are used:</i>		
Funds are used for state agency collaboration, staff time, direct program support, and implementation.		

Additional Clarification

No data



Delaware

State Population: 935,614
Population Ages 12–20: 105,000

	Percentage	Number
Ages 12–20		
Past-Month Alcohol Use	25.0	26,000
Past-Month Binge Alcohol Use	16.0	17,000
Ages 12–14		
Past-Month Alcohol Use	5.0	2,000
Past-Month Binge Alcohol Use	1.9	1,000
Ages 15–17		
Past-Month Alcohol Use	18.6	6,000
Past-Month Binge Alcohol Use	9.7	3,000
Ages 18–20		
Past-Month Alcohol Use	49.5	18,000
Past-Month Binge Alcohol Use	34.8	13,000
Alcohol-Attributable Deaths (under 21)		14
Years of Potential Life Lost (under 21)		845
	Percentage of All Traffic Fatalities	Number
Traffic Fatalities, 15- to 20-Year-Old Drivers with BAC > 0.01	11	1

Laws Addressing Minors in Possession of Alcohol

Underage Possession	
Is underage possession of alcoholic beverages prohibited?	Yes
Are there exceptions based on family relationships?	
• Is possession allowed if parent or guardian is present or consents?	Yes, in specified locations – See below
• Is possession allowed if spouse is present or consents?	Yes, in specified locations – See below
Is there an exception based on location?	Yes, in private residence if parent/guardian/spouse is present or consents
<p><i>Note:</i> Delaware’s exception includes “members of the same family” and allows possession if in the private home of family members. For purposes of this report, “members of the same family” is interpreted as including a spouse.</p>	

Underage Consumption	
Is underage consumption of alcoholic beverages prohibited?	Yes
Are there exceptions based on family relationships?	
• Is consumption allowed if the parent or guardian is present or consents?	Yes, in specified locations – See below
• Is consumption allowed if the spouse is present or consents?	Yes, in specified locations – See below
Is there an exception based on location?	Yes, in private residence if parent/guardian/spouse is present or consents
<p><i>Note:</i> Delaware’s exception includes “members of the same family” and allows consumption if in the private home of family members. For purposes of this report, “members of the same family” is interpreted as including a spouse.</p>	

Underage Internal Possession	
Is underage internal possession of alcoholic beverages prohibited?	No law
Are there exceptions based on family relationships?	
• Is internal possession allowed if the parent or guardian is present or consents?	N/A
• Is internal possession allowed if the spouse is present or consents?	N/A
Is there an exception based on location?	N/A
<p><i>Note:</i> Although Delaware does not prohibit internal possession as defined in this report, it has a statutory provision that makes it an offense for “[w]hoever, being under the age of 21 years, has alcoholic liquor in his or her possession at any time, or consumes or is found to have consumed alcoholic liquor.” Laws that prohibit minors from having alcohol in their bodies, but do so without reference to a blood, breath, or urine test, are not considered as prohibiting internal possession for purposes of this report.</p>	

Underage Purchase and Attempted Purchase	
Is the purchase of alcoholic beverages prohibited?	No law
May youth purchase for law enforcement purposes?	N/A
<p><i>Note:</i> Delaware does not have a statute that specifically prohibits purchase, but it does prohibit “obtaining” alcohol in connection with making a false statement.</p>	

False Identification for Obtaining Alcohol	
Provisions Targeting Minors	
Is the use of false identification (ID) prohibited?	Yes
Does the use of a false ID result in minor's driver's license suspension?	No
Provisions Targeting Suppliers	
Is the lending or transferring or selling of a false ID prohibited?	No
Is the production of a false ID in the context of underage alcohol sales specifically prohibited?	No
Retailer Support Provisions	
Is there an incentive for the retailer to use electronic scanners for information digitally encoded on valid IDs?	No
Are state driver's licenses for persons under 21 easily distinguishable from licenses for persons 21 and over?	No
May retailers seize apparently false IDs without fear of prosecution even if the ID is ultimately deemed valid?	No
Does an affirmative defense exist for the retailer?	Yes
• Is it a specific affirmative defense (retailer reasonably believed ID was valid after examining it)?	Yes
• Is it a general affirmative defense (retailer reasonably believed purchaser was over 21)?	No
Does the retailer have the right to sue the minor for use of a false ID?	No
May a retailer detain a minor who used a false ID?	No
<i>Note: Although Del. Admin. Code § 2000 2215 states, "persons under 21 years of age have noted on their licenses 'Under 21,'" research revealed no Delaware statute or regulation expressly requiring distinguishing licenses for persons under 21.</i>	

Laws Targeting Underage Drinking and Driving

Youth Blood Alcohol Concentration Limits (Underage Operators of Noncommercial Motor Vehicles)	
What is the maximum blood alcohol concentration (BAC) limit for an underage driver of a motor vehicle?	0.02
Does a BAC level in excess of limit automatically establish a violation (per se violation)?	Yes
What is the minimum age to which the limit applies?	0
What is the maximum age to which the limit applies?	21

Loss of Driving Privileges for Alcohol Violations by Minors ("Use/Lose" Laws)	
Is there a "use/lose" law that suspends or revokes a minor's driving privileges for alcohol violations?	Yes
What types of violation lead to license suspension or revocation?	
• Purchase of alcohol	No
• Possession of alcohol	Yes
• Consumption of alcohol	Yes
The law applies to people under what age?	21
Is suspension or revocation mandatory or discretionary?	Mandatory
What is the length of suspension/revocation?	
Minimum number of days	30
Maximum number of days	30

Graduated Driver's Licenses	
Learner Stage	
What is the minimum age for permit to drive with parents, guardians or other adults (other than instructors)?	16
What is the minimum number of months driver must hold learner permit before advancing to intermediate stage?	6
What is the minimum number of hours of driving with parents, guardians, or adults before advancing to intermediate stage?	50 (10 of which must be at night)
Intermediate Stage	
What is the minimum age for driving without adult supervision?	16 years, 6 months
For night driving, when does adult supervision requirement begin?	10 pm
Can law enforcement stop a driver for night-driving violation as a primary offense?	Yes – Officer may stop driver for night-driving violation.
Are there restrictions on passengers?	Yes – No more than one passenger, except for immediate family members when driver is accompanied by a parent, guardian, or licensed driver age 25 or over
Can law enforcement stop driver for violation of passenger restrictions as a primary offense?	Yes – Officer may stop driver for passenger restrictions violation.
License Stage	
What is the minimum age for full license privileges and lifting of restrictions?	17

Laws Targeting Alcohol Suppliers

Furnishing Alcohol to Minors	
Is furnishing of alcoholic beverages to minors prohibited?	Yes
Are there exceptions based on family relationships?	
• Is furnishing allowed if the parent or guardian supplies the alcohol?	Yes in specified locations
• Is furnishing allowed if the spouse supplies the alcohol?	Yes in specified locations
Is there an exception based on location?	Yes, in any private residence if parent/guardian/spouse supplies alcohol
Affirmative Defense for Sellers and Licensees	
Does law require seller/licensee to be exonerated of furnishing to a minor if the minor has not been charged?	No
<i>Note:</i> Delaware's exception includes "members of the same family" and allows furnishing if in the private home of family members. For purposes of this report, the phrase "members of the same family" is interpreted as including a spouse.	

Compliance Check Protocols	
Does the state have a written protocol for when an underage decoy is used in compliance checks?	Yes
What is the minimum age a decoy may be to participate in a compliance check?	17

What is the maximum age a decoy may be to participate in a compliance check?	20
What are the decoy's appearance requirements?	Yes. Males: No facial hair. Females: No excessive makeup. No clothing with vulgar or suggestive language; shirts displaying college names or college logos are not permitted; no clothing that displays any branding of an alcohol or tobacco product or licensee; clothing may not be low cut, revealing of cleavage, excessively tight, or revealing of undergarments; all male and female shirts must have sleeves, and shorts may not be excessively short or revealing; pants may not sag to the point of revealing undergarments; may not wear sunglasses or hats of any kind, or put up hoods on jackets or shirts; exposed tattoos or body art shall be covered.
Does decoy carry ID during compliance check?	Not specified
May decoy verbally exaggerate his or her actual age?	Prohibited
Is decoy training mandated, recommended, prohibited, or not specified?	Mandated

Penalty Guidelines for Sales to Minors	
Are there written guidelines for penalties imposed on retailers for furnishing to a minor?	No
What is the time period for defining second, third, and subsequent offenses?	N/A
What is the penalty for the first offense?	N/A
What is the penalty for the second offense?	N/A
What is the penalty for the third offense?	N/A
What is the penalty for the fourth offense?	N/A

Responsible Beverage Service (RBS)	
Is there a state law pertaining to beverage service training?	Yes – Mandatory
If training is mandatory, who must participate?	Licensees, managers, servers/sellers
If training is voluntary, which of the following incentives are offered?	
• Defense in dram shop liability lawsuits	N/A
• Discounts in dram shop liability insurance, license fees, or other	N/A
• Mitigation of fines or other administrative penalties for sales to minors or intoxicated persons	N/A
• Protection against license revocation for sales to minors or sales to intoxicated persons	N/A
Does the RBS law apply to on-premises establishments (such as bars and restaurants) or off-premises establishments (such as liquor stores)?	Both
Does the RBS law apply to new or existing licensees?	Both

Minimum Age for Sellers of Alcohol – Off-Premises (i.e., Liquor Stores)	
What is the minimum age requirement for off-premises retail establishments?	
Beer	21
Wine	21
Spirits	21
Does a manager or supervisor have to be present?	No

Minimum Age for Alcohol Servers and Bartenders – On-Premises (i.e., Restaurants and Bars)	
What is the minimum age requirement for servers in on-premises establishments?	
Beer	19
Wine	19
Spirits	19
What is the minimum age requirement for bartenders in on-premises establishments?	
Beer	21
Wine	21
Spirits	21
Does a manager or supervisor have to be present?	No

Alcohol Outlet Siting Near Schools and Universities	
Colleges and Universities	
Is there a distance requirement for off-premises outlets (i.e., liquor stores)?	No
Is there a distance requirement for on-premises outlets (i.e., restaurants and bars)?	No
To which alcohol products does requirement apply?	N/A
Primary and Secondary Schools	
Is there a distance requirement for off-premises outlets (i.e., liquor stores)?	No
Is there a distance requirement for on-premises outlets (i.e., restaurants and bars)?	No
To which alcohol products does requirement apply?	N/A

Dram Shop Liability	
Does a statute create dram shop liability?	No
Does the statute limit damages that may be recovered?	N/A
Does the statute limit who may be sued?	N/A
Does the statute limit elements or standards of proof?	N/A
Does common law dram shop liability exist?	No

Social Host Liability	
Does a statute create social host liability?	No
Does the statute limit damages that may be recovered?	N/A
Does the statute limit who may be sued?	N/A
Does the statute limit elements or standards of proof?	N/A
Does common law social host liability exist?	No

Prohibitions Against Hosting Underage Drinking Parties	
Does a statute prohibit hosting underage drinking parties?	No
Is the statute specific to underage parties, or a general prohibition against permitting underage drinking on the property?	N/A
What action by underage guest triggers a violation?	N/A
Property type covered by the law?	N/A
What level of knowledge by the host is required?	N/A
Does host's preventive action protect him/her from being held liable?	N/A
Are there any exceptions for underage guests?	N/A

Retailer Interstate Shipments of Alcohol	
Are out-of-state retailers prohibited from sending interstate shipments to in-state consumers?	
Beer	Yes
Wine	Yes
Spirits	Yes

Direct Shipments/Sales	
May alcohol producers ship directly to consumers?	No
What alcohol types may be shipped?	N/A
Must purchaser make mandatory trip to producer before delivery is authorized?	N/A
Age verification requirements	
Must the producer/shipper verify purchaser's age before sale?	N/A
Must the common carrier (deliverer) verify age of recipients?	N/A
State approval/permit requirements	
Must the producer/manufacture obtain state license or permit?	N/A
Must the common carrier (deliverer) be approved by a state agency?	N/A
Recording/reporting requirements	
Must the producer/manufacture record/report purchaser's name?	N/A
Must the common carrier (deliverer) record/report recipient's name?	N/A
Shipping label requirements	
Must the label state "Package contains alcohol"?	N/A
Must the label state "Recipient must be 21 years old"?	N/A

Keg Registration	
How is a keg defined (in gallons)?	No law
Prohibitions	
Is it illegal to possess an unregistered or unlabeled keg and if so, what is the penalty?	No law
Is it illegal to destroy the label on a keg, and if so, what is the penalty?	No law
What purchaser information is collected?	
Must the retailer collect the name and address?	No law
Must the retailer collect the ID number, name and address on license or other government information?	No law
Must the retailer collect the address at which keg will be consumed?	No law
Must warning information be given to purchaser?	No law

Is a deposit required?	No law
Does law cover disposable kegs?	No law

Home Delivery	
Is home delivery of alcohol permitted?	
Beer	No
Wine	No
Spirits	No

High-Proof Grain Alcohol Beverages	
Are there restrictions on the sale of high-proof grain alcohol beverages?	No
Are restrictions based on Alcohol by Volume (ABV)?	N/A
Are there exceptions to restrictions?	N/A

Laws Affecting Alcohol Pricing

Alcohol Taxes	
Beer	
Control system for beer?	No
Specific excise tax per gallon for 5% alcohol beer	\$0.16
Ad valorem excise tax (for on-premises sales) on total receipts for 5% alcohol beer	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Ad valorem excise tax (for off-premises sales) on total receipts for 5% alcohol beer	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Additional taxes for 3.2–6% alcohol beer (if applicable)	
Wine	
Control system for wine?	No
Specific excise tax per gallon for 12% alcohol wine	\$0.97
Ad valorem excise tax (for on-premises sales) on total receipts for 12% alcohol wine	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant

Ad valorem excise tax (for off-premises sales) on total receipts for 12% alcohol wine	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Additional taxes for 6–14% alcohol wine (if applicable)	
Spirits	
Control system for spirits?	No
Specific excise tax per gallon for 40% alcohol spirits	\$3.75
Ad valorem excise tax (for on-premises sales) on total receipts for 40% alcohol spirits	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Ad valorem excise tax (for off-premises sales) on total receipts for 40% alcohol spirits	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Additional taxes for 15–50% alcohol spirits (if applicable)	\$2.50 per gallon for alcohol content of 25% or less

Low-Price, High-Volume Drink Specials	
What types of drink specials are prohibited by on-premises retailers?	
Free beverages	Yes
Multiple servings at one time	No
Multiple servings for same price as single serving	Yes
Reduced price for a specified day or time (i.e., happy hours)	No
Unlimited beverages for fixed price	Yes
Increased volume without increase in price	No

Wholesaler Pricing Restrictions	
Beer	
Are volume discounts to retailers allowed?	No law
Must wholesalers establish a minimum markup or maximum discount for each product sold to retailers?	No law
Must wholesalers publicly post and hold (i.e., not reduce) prices for a set period of time?	Post and hold (5 days)
Is wholesaler permitted to extend credit to retailer and if so, what is the maximum time period?	Yes
Wine	
Are volume discounts to retailers allowed?	No law
Must wholesalers establish a minimum markup or maximum discount for each product sold to retailers?	No law
Must wholesalers publicly post and hold (i.e., not reduce) prices for a set period of time?	Post and hold (5 days)
Is wholesaler permitted to extend credit to retailer and if so, what is the maximum time period?	Yes
Spirits	
Are volume discounts to retailers allowed?	No law
Must wholesalers establish a minimum markup or maximum discount for each product sold to retailers?	No law
Must wholesalers publicly post and hold (i.e., not reduce) prices for a set period of time?	Post and hold (5 days)
Is wholesaler permitted to extend credit to retailer and if so, what is the maximum time period?	Yes
<i>Note: Delaware law states that the Commissioner shall not control credit transactions to the extent they are permitted by federal law.</i>	

Delaware State Survey Responses

State Agency Information

Agency with primary responsibility for enforcing underage drinking laws:

Delaware Division of Alcohol and Tobacco Enforcement

Enforcement Strategies

State law enforcement agencies use:

Cops in Shops	Yes
Shoulder Tap Operations	No
Party Patrol Operations or Programs	Yes
Underage Alcohol-Related Fatality Investigations	Yes

Local law enforcement agencies use:

Cops in Shops	No
Shoulder Tap Operations	No
Party Patrol Operations or Programs	Yes
Underage Alcohol-Related Fatality Investigations	No

State has a program to investigate and enforce direct sales/shipment laws Yes

Primary state agency responsible for enforcing laws addressing direct sales/shipments of alcohol to minors	Division of Alcohol and Tobacco Enforcement
Such laws are also enforced by local law enforcement agencies	No

Enforcement Statistics

State collects data on the number of minors found in possession Yes

Number of minors found in possession by state law enforcement agencies	104
Number pertains to the 12 months ending	12/31/2014
Data include arrests/citations issued by local law enforcement agencies	No

State conducts underage compliance checks/decoy operations² to determine if alcohol retailers are complying with laws prohibiting sales to minors Yes

Data are collected on these activities	Yes
Number of retail licensees in state ³	1,200
Number of licensees checked for compliance by state agencies (including random checks)	250
Number of licensees that failed state compliance checks	63
Numbers pertain to the 12 months ending	12/31/2014
Compliance checks/decoy operations conducted at on-sale, off-sale, or both retail establishments	Both on- and off-sale establishments

State conducts **random** underage compliance checks/decoy operations Yes

Number of licensees subject to random state compliance checks/decoy operations	Majority of checks conducted randomly
Number of licensees that failed random state compliance checks	Data not available

Local agencies conduct underage compliance checks/decoy operations to determine if alcohol retailers are complying with laws prohibiting sales to minors No

Data are collected on these activities	No
Number of licensees checked for compliance by local agencies	Not applicable
Number of licensees that failed local compliance checks	Not applicable
Numbers pertain to the 12 months ending	Not applicable

Sanctions

State collects data on fines imposed on retail establishments that furnish minors Yes

Number of fines imposed by the state ⁴	Not available
Total amount in fines across all licensees	Not available
Smallest fine imposed	\$400
Largest fine imposed	\$3,000

Numbers pertain to the 12 months ending	12/31/2014
<i>State collects data on license suspensions imposed on retail establishments specifically for furnishing minors</i>	Yes
Number of suspensions imposed by the state ⁵	1
Total days of suspensions across all licensees	5
Shortest period of suspension imposed (in days)	5
Longest period of suspension imposed (in days)	5
Numbers pertain to the 12 months ending	12/31/2014
<i>State collects data on license revocations imposed on retail establishments specifically for furnishing minors</i>	Yes
Number of license revocations imposed ⁶	0
Numbers pertain to the 12 months ending	12/31/2014

Additional Clarification

No data

¹ Or having consumed or purchased per state statutes.

² Underage compliance checks/decoy operations to determine whether alcohol retailers are complying with laws prohibiting sales to minors.

³ Excluding special licenses such as temporary, seasonal, and common carrier licenses.

⁴ Does not include fines imposed by local agencies.

⁵ Does not include suspensions imposed by local agencies.

⁶ Does not include revocations imposed by local agencies.

Underage Drinking Prevention Programs Operated or Funded by the State

Lunch ‘n’ Learn

Program serves specific or general population	General population
Number of youth served	Not applicable
Number of parents served	Not applicable
Number of caregivers served	Not applicable
Program has been evaluated	No
Evaluation report is available	Not applicable
URL for evaluation report:	Not applicable
URL for more program information:	No data

Program Description: The Delaware Prevention Coalition’s (DPC) Lunch ‘n’ Learn program is held during scheduled lunch periods within the school’s cafeteria. Tables are set up exhibiting and disseminating factual information pertaining to alcohol and other abusive substances. Lunch ‘n’ Learn is a beneficial program for the schools, as it does not take away from the normal classroom time or having to conduct extracurricular activities that can be costly; it is intended to spread positive prevention messages to the students.

The exhibiting tables provide the student with an opportunity to be interactive and to participate in fun games that actually have them learn important facts about the use and misuse of alcohol and drugs. The Lunch ‘n’ Learn program features “Drunken Goggles,” the most influential and mind-changing game played by the students. It simulates the person being intoxicated and shows how the alcohol affects judgment, decisionmaking process and vision. Taking part in this game enables the student to practice coordination and reflex timing; imitating impaired vision while being over the legal intoxication limit. The game provides a real-life perception of what an individual’s vision is like while under the influence. This game also teaches the student what part of the brain is affected by alcohol and how misuse of alcohol and other substances could lead to impairments.

The Lunch ‘n’ Learn program is informative and interactive. The program ensures that information and brochures concerning the effects of alcohol in the body, the mind, and the family are distributed. Discussions pertaining to binge drinking, laws, and risky behaviors are just a few of the topics covered. The Lunch ‘n’ Learn program impacts the students. The purpose of the program is to give students the opportunity to engage in discussions without being embarrassed, time to change their minds, and also convince them that what they have experienced and/or learned from their friends may not be safe or factual. The program facilitators have the privilege of inspiring and witnessing when the students arrive at the conclusion that the behavior they thought was harmless is the

opposite. This program has made a large impact on the Division of Prevention & Behavioral Health Services (DPBHS) goal of delaying the first onset of use and abuse of alcohol for adolescents in the state.

Ur My Reason

Program serves specific or general population	Specific population
Number of youth served	12,000
Number of parents served	12,000
Number of caregivers served	252
Program has been evaluated	No
Evaluation report is available	Not applicable
URL for evaluation report:	Not applicable
URL for more program information:	No data

Program Description: DPBHS created a statewide, universal substance abuse prevention campaign geared to high school juniors and seniors, their friends, and families, during the prom and graduation season. Considering that spring is the time when one third of all alcohol-related traffic fatalities involving teens occur, raising awareness and helping prevent alcohol-related incidents is crucial. The campaign message read, “You are my reason to NEVER drink and drive,” which was printed on posters displayed in over 20 school districts. The students received multi-color wristbands with the message “Ur my Reason to NEVER drink & drive,” which they received during prom to be worn. Extra bands were given to the students to give as gifts to their partners, families, and friends symbolizing that they were the reason that they did not “drink & drive.”

The students were encouraged to spread this message on social media with the hashtag, #UrMyReason, with great success. It was a tangible reminder to make informed decisions during this time and a reminder of the loved ones in their life who are impacted in their decisions. The campaign was powerful in its message and complimented many schools’ existing programs, like Prom Promise and various assemblies. Schools were also given pamphlets on underage drinking as well as drinking and driving to disseminate to the student body and their families.

Many schools provided feedback that there were no incidents the weekend of prom and graduation. Several school officials remarked that this approach was creative, innovative, and relevant, as the message really spoke to this generation. Since there was not a parental tone in this message, the youth were more likely to listen to it and respond appropriately. The youth enjoyed sharing pictures of themselves wearing the bands. They were pictured hand in hand displaying “their reason” as they sat with their partners, best friends platforming their message on social media sites such as Twitter, Facebook, and Instagram. It is clearly an effective prevention program, helping to prevent adolescents from drinking underage as well as the deadly combination of drinking and driving.

Safe Haven/Extended Hours

Program serves specific or general population	Specific population
Number of youth served	10,654
Number of parents served	10,654
Number of caregivers served	No data
Program has been evaluated	No
Evaluation report is available	Not applicable
URL for evaluation report:	Not applicable
URL for more program information:	No data

Program Description: DPBHS funded extended community center hours and a curfew center that offers prosocial activities and dinner on an evening during the weekend. The program provides extended hours to hold educational and prevention activities. The Wilmington Police were also involved to offer education and resources to youth who were brought to the center for violation of curfew, preventing them from being on the streets and at risk for engaging in substance use and delinquent behaviors. These alternative activities and programs had a significant impact on the number of arrests and incidences of violence—and likely substance use. These were possible through unplanned budget windfall monies. As a continuation of this commitment, DPBHS will continue with planned outcome measures regarding substance abuse and violence.

Botvin Life Skills

Program serves specific or general population	Specific population
Number of youth served	481

Number of parents served	No data
Number of caregivers served	No data
Program has been evaluated	No
Evaluation report is available	Not applicable
URL for evaluation report:	Not applicable
URL for more program information:	No data

Program Description: Botvin Life Skills is a research-validated substance abuse prevention program proven to reduce the risks of alcohol, tobacco, and drug abuse, as well as violence, by targeting the major social and psychological factors that promote the initiation of substance use and other risky behaviors. This comprehensive and exciting program provides adolescents and young teens with the confidence and skills necessary to successfully handle challenging situations.

State Prevention Framework/State Incentive Grant (SPF SIG) Funded Prevention Activities and Initiatives (Federally Funded)

Program serves specific or general population	General population
Number of youth served	Not applicable
Number of parents served	Not applicable
Number of caregivers served	Not applicable
Program has been evaluated	Yes
Evaluation report is available	No
URL for evaluation report:	Not applicable
URL for more program information:	http://dhss.delaware.gov/dhss/dsamh/spfsig.html

Program Description: SPF SIG prevention activities and initiatives take place throughout Delaware and aim to reduce underage drinking in the state. The estimated number of impacts made through the SPF SIG–funded activities is 378,168 (duplicated numbers). This represents the reporting period of April 2014 through March 2015 and it should also be noted that these are duplicated numbers. The SPF SIG–funded activities and initiatives are often chosen based on understanding the specific community characteristics and what will most likely impact the community and the youth to reduce underage and binge drinking. The SPF model is data driven, which allows for different communities to implement a variety of activities that fall under the six CSAP prevention strategies (i.e., prevention education, alternative activities, problem identification and referral, community-based process activities, environmental strategies, and information dissemination activities) that are appropriate for their target population.

One program under the SPF SIG project is Storytelling for Empowerment, a school-based, bilingual (English and Spanish) prevention education program for teenagers at risk for substance abuse and other risky behaviors. This program is implemented at Hispanic-focused community centers that serve youth. Many different programs are implemented through SPF SIG initiatives, some of which include Brain Power, Say it Straight, Stewards of Children, IM40, My Playbook for college athletes, and Smart Moves.

Alternative activities also take place throughout the state, providing youth and young adults with alternatives to engaging in underage drinking and associated risky behaviors. Some of the alternative activities include sports activities available at community center drop-ins, basketball programs, acting, and dancing. Offsite activities, like college tours, post prom parties, movie nights, and bowling tournaments are also conducted.

Community-based process activities often involve building and sustaining community-based coalitions, building interagency collaboration, and providing training and technical support to community groups. Information Dissemination activities often involve providing individuals with knowledge and awareness around the issues of underage drinking and binge drinking prevention as well as resources in the community. This is often done through brochures, pamphlets, and radio announcements.

Problem Identification and Referral activities work to identify individuals who are starting to engage in risky behaviors and referring them to the services needed.

Finally, environmental strategies seek to change or establish written and unwritten standards, codes, and attitudes in the hope of reducing underage and binge drinking. SPF SIG funds have been used to implement environmental strategies that aim to increase compliance and enforcement around proper alcohol sales in collaboration with

Delaware Alcohol and Tobacco Enforcement (DATE) and other law enforcement agencies. Additionally, Delaware continues to implement a statewide social marketing campaign, initiated by SPF SIG Management and in collaboration with community contractors, which has expanded! In addition to the youth-created PSA videos showing before every movie at a popular movie theater, there are also billboards with a coordinated prevention message throughout the state.

For the reporting period of April 2014 through March 2015, the numbers below represent the number of participants involved or the number of impacts, as is especially the case for information dissemination and environmental strategies. It should be noted that these numbers do not represent unduplicated numbers as this is not tracked across SPF SIG activities and some data were not available at the time of this report.

- Education: 22,879
- Alternative Activities: 20,629
- Community Based Process: 7,971
- Information Dissemination: 73,322
- Problem ID and Referral: 38
- Environmental: 253,329

The program is evaluated quarterly but an overall evaluation will be completed at the end of the grant funding year. Evaluation reports are available by contacting: Dr. Cecilia Douthy Willis at Cecilia.Willis@state.de.us.

The following programs are aimed at both general and specific populations:

1. Brandywine Counseling Community Services (BCCS): (1) Fetal Alcohol Spectrum Disorder (FASD) Program at BCCS targets men and women of childbearing age, ages 18 and up exclusively. FASD priorities are to provide educational presentations that cover the effects that occur in an individual whose mother consumed alcohol during pregnancy. Using a modified version of the FASD Prevention Program titled "Project Choices," the goal of the program is to provide knowledge and increased awareness of how alcohol and other drug use, abuse, and addiction affect not only their bodies but those of their offspring. BCCS/FASD is funded by Block Grant Funds. (2) Alcohol, Tobacco and Other Drugs (ATOD) Program at BCCS targets teens and young adults, 12–25 years old. BCCS' priorities are: underage drinking, binge drinking, and underage DUI and related accidents. BCCS implements prevention services throughout all four sub-state planning regions: the City of Wilmington, New Castle County, Kent County, and Sussex County. BCCS hosts the statewide Coalition of Coalitions, which meets quarterly. The program's address is: 2713 Lancaster, Wilmington, DE 19805; phone: 302-504-5995.
2. Kent & Sussex Counseling Services (KSCS): KSCS targets individuals ages 12–25 throughout Kent and Sussex Counties. Their emphasis is to reduce last month's alcohol misuse and abuse in an effort to decrease underage drinking. Their focus is also on binge drinking (consumption), consequences of alcohol-related traffic crashes, death, and/or injuries, and alcohol-related family criminal violence. KSCS also collaborates with coalition membership to implement environmental strategies and utilize capacity-building activities. The Community Wide Coalition's address is: 1241 College Park Drive, Dover, DE 19904; phone: 302-735-7790.
3. University of Delaware (UDel): Alcohol: UDel's priority is to target college students at the University ages 18–25. The project focuses on high-risk behavior/abuse binge drinking of its student population. Great emphasis is given to freshmen, sorority and fraternity members, and student athletes. UDel serves the University's main campus and the adjacent Newark community. UDel utilizes an environmental strategy by creating a university coalition that includes Newark community residents. The coalition ensures there is a wide range of community representation of the surrounding Newark community. The Coalition's address is: 231 S. College Avenue, Newark, DE 19716; phone: 302-831-3457.
4. Greater Dover Boys & Girls Clubs of Delaware's (BGC) main priority is to reduce past-month alcohol misuse and abuse by Delawareans ages 13–18. BGC focuses on their surrounding community, which includes the State Capital, Dover, which is located in Kent County. BGC utilizes an environmental strategy by implementing a "SMART" curriculum, which includes holding rallies throughout the community with participating stakeholders, other organizations, and community residents. BGC also implements several evidence-based programs such as "SMART Moves" and "Stay SMART Drug FREE Zone." These programs enhance youth leadership and teach them how to make smart and healthy choices. BGC has a community coalition representing community residents and stakeholders that meets regularly and conducts semiannual events. The program's address is: 9 Lockerman Street, Suite 3B, Dover, DE 19901; phone: 302-678-5833.

5. La Esperanza (La Pasa Program): La Esperanza’s priorities are to reduce underage drinking and DUI arrests and consequences, and increase awareness and perception of risk among Latino youth ages 18–25 in Sussex County. This program provides services within the community in Georgetown, DE. La Esperanza utilizes a community-based process by engaging local business owners through the business initiative and active participation in a community coalition. The program’s address is: 216 N. Race Street, Georgetown, DE 19947; phone: 302-854-9262.
6. Wesley College (Safe Wesley): Wesley’s priority is to focus on students ages 18–25. Great emphasis is put on freshmen and student athletes, who are inclined to exhibit high-risk behaviors and binge drinking. The program serves the college’s main campus and adjacent Dover community. It utilizes an environmental strategy focusing on capacity-building activities by implementing a communitywide coalition. The coalition’s address is: 120 N. State Street, Dover, DE 19901; phone: 302-736-2300.
7. Each One Teach One (E1T1) “Neighborhoods United Against Alcohol and Substance Abuse” (NUAASA): E1T1 priorities are to reduce past-month alcohol misuse and abuse of youth ages 12–18. E1T1 partners with community organizations in its surrounding 12 neighborhoods. It utilizes community-based strategies by maintaining a neighborhood coalition (NCNP) in an effort to coordinate, collaborate, and network with surrounding community agencies. Community trials are implemented to educate liquor outlet managers/owners about underage drinking laws and provide education to adults/parents who may purchase alcohol for minors. Its focus is to educate individuals on the dangers of underage drinking and the “shoulder tapping” law. The program’s address is: 19 Lambson Lane, Suite B02, New Castle, DE 19720; phone: 302-482-8381.
8. Latin American Community Center (LACC): (1) Prevention Promoters Program at the LACC focuses on serving Latino and other youth ages 12–17 in the City of Wilmington. The program serves their high vulnerable and disadvantaged population, which is at a greater risk for substance abuse. (2) Storytelling for Empowerment is an evidence-based program. It is a comprehensive set of activities to prevent substance abuse and reduce self-destructive behaviors. Through these activities, young people have the opportunity to gain knowledge and learn the powerful lessons in stories, creating symbols of strength for themselves, choose healthy character traits, and set goals for the future. These activities also help youth build protective factors within their own environments. The program’s address is: 403 N. Van Buren Street, Wilmington, DE 19805; phone: 302-655-7338.
9. YMCA: The YMCA prioritizes to reduce past-month alcohol (underage drinking) misuse and abuse. The program serves Wilmington residents ages 12–20. The YMCA includes five neighborhoods within the City of Wilmington (eastside, northeast, riverside, south bridge, and west side). The YMCA uses environmental strategies by utilizing capacity-building activities, such as the implementation of a communitywide coalition to address underage drinking, alcohol, and the use of marijuana. The Wilmington Prevention Coalition disseminates information and provides training for residents pertaining to a “substance free lifestyle.” The YMCA also provides a Lead Prevention Program, and the IM 40 training, which targets youth ages 12–15 who reside in a high-risk community. The program’s priority is to educate adolescent youth to live healthier lives through a proactive focus on their strengths and assets. The program engages parents, teachers, coaches, and mentors, mobilizing them toward the shared goal of increasing the assets of youth in their communities. The third YMCA program is the “Darkness to Light Stewards of Children,” which is a prevention training program that teaches adults how to prevent, recognize, and react responsibly to sexual abuse of children. The program is designed for organizations serving youth and for individuals concerned about the safety of children. The training increases the awareness of the prevalence, consequences, and circumstances of child sexual abuse. It provides positive change to organizational policies and procedures. The program’s address is: 1000 N. Walnut Street, Wilmington, DE 19801; phone: 302-254-9622.
10. Open Door, Inc.: The Open Door “Safe Zone Program” prioritizes to reduce past-month alcohol misuse and abuse by youth ages 12–25. Open Door serves the Appoquinimink School District in New Castle County. Open Door uses environmental strategies such as capacity-building activities, such as the implementation of the SC4C Coalition to develop a consensus on appropriate environmental strategies. Open Door’s most successful initiative is their “Stall Stories” project. Stall Stories are laminated posters featuring inspirational quotes and, most prominently, Delaware School Survey data to bring awareness to the community about youth drug and alcohol trends. The program’s address is: 254 E. Main Street, Newark, DE 19711; phone: 302-731-1504.

11. School Based Health Centers in Kent and Sussex Counties: Eight School Based Health Centers (SBHC) in Delaware public schools in Kent and Sussex counties are involved with the SPF SIG project. The activities consist of alternative activities, information dissemination, and prevention education activities.
12. Drug and Alcohol Tobacco Enforcement: Delaware Alcohol and Tobacco Enforcement conducts compliance checks throughout the state to ensure that businesses are not selling alcohol to youth under 21. DATE also provide information to the merchants regarding laws and penalties for selling alcohol to underage youth. DATE has conducted 129 compliance checks in 39 different zip codes through the state.

Additional Underage Drinking Prevention Programs Operated or Funded by the State

Program description: No data

Additional Clarification

2A.1) Name of Underage Drinking Prevention Program:

SPF SIG funding is provided by SAMHSA/CSAP. The Delaware SPF SIG is a cooperative agreement between the Office of the Governor of the State of Delaware and SAMHSA/CSAP. Delaware's Department of Health and Social Services, Division of Substance Abuse and Mental Health (DHSS/DSAMH), received approval to administer the funds in July 2009 on behalf of the Governor. The purpose of the SPF SIG program is to provide funding to states in order to prevent the onset and reduce the progression of substance abuse, including childhood and underage drinking; reduce substance abuse-related problems; and build prevention capacity and infrastructure at the state and community levels. SPF SIG-funded prevention education and alternative activity initiatives aim to reduce underage drinking in Delaware. The SPF model is data driven, using evidence-based practices that impact the needs of the target area, which allows for different communities to implement different prevention education and alternative activities that are appropriate for their target population. For example, Storytelling for Empowerment is a school-based bilingual (English and Spanish) intervention for teenagers at risk for substance abuse and other risky behaviors. This program is implemented at Hispanic-focused community centers that serve youth. Additional underage drinking prevention education programs include Brain Power, Say it Straight, and Smart Moves. Alternative activities also take place throughout the state that provide youth with an alternative to engaging in underage drinking and associated risky behaviors; offsite activities like college tours, post prom parties, and bowling tournaments are also conducted.

Note: Interim evaluation reports on SPF SIG initiatives are complete, but an overall evaluation report will not be available upon the grant completion.

Additional Information Related to Underage Drinking Prevention Programs

<i>State collaborates with federally recognized tribal governments in the prevention of underage drinking</i>	No recognized tribal governments
Description of collaboration:	Not applicable
<i>State has programs to measure and/or reduce youth exposure to alcohol advertising and marketing</i>	No
Description of program:	Not applicable
<i>State has adopted or developed best practice standards for underage drinking prevention programs</i>	Yes
Agencies/organizations that established best practices standards:	
Federal agency(ies): SAMSHA	Yes
Agency(ies) within your state: Division of Substance Abuse and Mental Health (DSAMH)	Yes
Nongovernmental agency(ies):	No
Other:	No
Best practice standards description: The SPF SIG implemented evidence-based programs, practices, and policies. Additionally, the data-driven SPF model is implemented.	

Additional Clarification

No data

State Interagency Collaboration

A state-level interagency governmental body/committee exists to coordinate or address underage drinking prevention activities Yes

Committee contact information:

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Agencies/organizations represented on the committee:

Division of Substance Abuse and Mental Health
 Division of Alcohol Tobacco Enforcement (DATE)
 Department of Education (DOE)
 Division of Prevention & Behavioral Health Services (DPBHS)
 Office of Highway Safety (OHS)
 Center for Drug and Health Studies (CDHS)

A website or other public source exists to describe committee activities No
 URL or other means of access: Not applicable

Underage Drinking Reports

State has prepared a plan for preventing underage drinking in the last 3 years No
 Prepared by: Not applicable
 Plan can be accessed via: Not applicable

State has prepared a report on preventing underage drinking in the last 3 years Yes
 Prepared by: State Epidemiological Outcomes Workgroup (SEOW)
 Plan can be accessed via: No data

Additional Clarification

No data

State Expenditures for the Prevention of Underage Drinking

Compliance checks in retail outlets:
 Estimate of state funds expended Data not available
 Estimate based on the 12 months ending 12/31/2014

Checkpoints and saturation patrols:
 Estimate of state funds expended Data not available
 Estimate based on the 12 months ending Data not available

Community-based programs to prevent underage drinking:
 Estimate of state funds expended Data not available
 Estimate based on the 12 months ending Data not available

K-12 school-based programs to prevent underage drinking:
 Estimate of state funds expended Data not available
 Estimate based on the 12 months ending Data not available

Programs targeted to institutes of higher learning:
 Estimate of state funds expended Data not available
 Estimate based on the 12 months ending Data not available

Programs that target youth in the juvenile justice system:
 Estimate of state funds expended Data not available
 Estimate based on the 12 months ending Data not available

Programs that target youth in the child welfare system:
 Estimate of state funds expended Data not available
 Estimate based on the 12 months ending Data not available

Other programs:

Programs or strategies included	Data not available
Estimate of state funds expended	Data not available
Estimate based on the 12 months ending	Data not available

Funds Dedicated to Underage Drinking

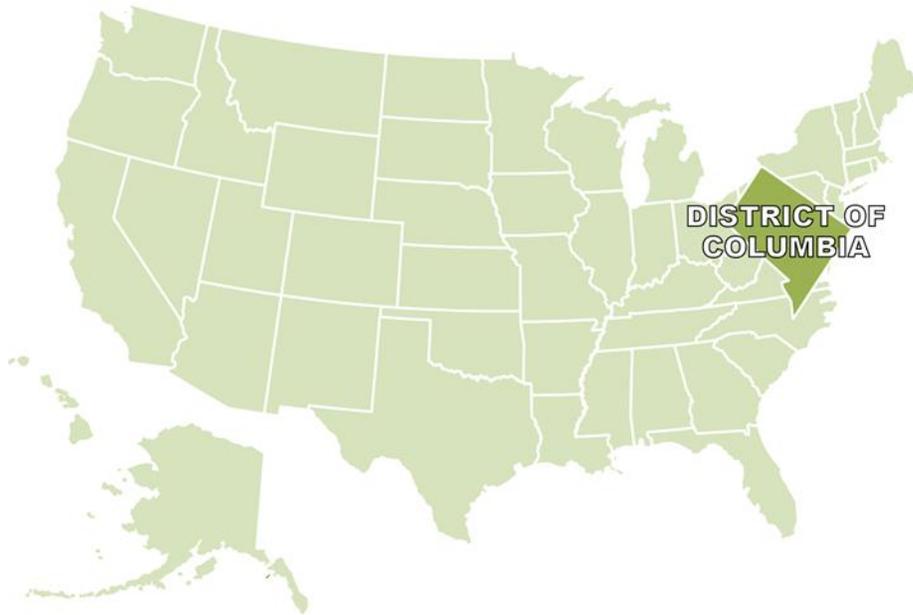
State derives funds dedicated to underage drinking from the following revenue streams:

Taxes	No
Fines	No
Fees	No
Other	Not applicable

Description of funding streams and how they are used: Not applicable

Additional Clarification

Unfortunately, the State of Delaware does not have any information to add to this section as this section asks for estimates for "state" funds expended for the prevention of underage drinking programs and specifically indicates "not" to include federal or private funding sources in these estimates. What the State of Delaware can report is that the Division of Substance Abuse & Mental Health supports are funded through SPF SIG funds and those programs were mentioned under this survey's section titled "Underage Drinking Prevention Programs."



District of Columbia

State Population: 658,893
Population Ages 12–20: 59,000

	Percentage	Number
Ages 12–20		
Past-Month Alcohol Use	34.0	20,000
Past-Month Binge Alcohol Use	19.0	11,000
Ages 12–14		
Past-Month Alcohol Use	5.9	1,000
Past-Month Binge Alcohol Use	3.2	0
Ages 15–17		
Past-Month Alcohol Use	20.4	3,000
Past-Month Binge Alcohol Use	9.8	2,000
Ages 18–20		
Past-Month Alcohol Use	56.8	16,000
Past-Month Binge Alcohol Use	32.8	9,000
Alcohol-Attributable Deaths (under 21)		17
Years of Potential Life Lost (under 21)		999
	Percentage of All Traffic Fatalities	Number
Traffic Fatalities, 15- to 20-Year-Old Drivers with BAC > 0.01	33	1

Laws Addressing Minors in Possession of Alcohol

Underage Possession	
Is underage possession of alcoholic beverages prohibited?	Yes
Are there exceptions based on family relationships?	
• Is possession allowed if parent or guardian is present or consents?	No
• Is possession allowed if spouse is present or consents?	No
Is there an exception based on location?	No

Underage Consumption	
Is underage consumption of alcoholic beverages prohibited?	Yes
Are there exceptions based on family relationships?	
• Is consumption allowed if the parent or guardian is present or consents?	No
• Is consumption allowed if the spouse is present or consents?	No
Is there an exception based on location?	No

Underage Internal Possession	
Is underage internal possession of alcoholic beverages prohibited?	No law
Are there exceptions based on family relationships?	
• Is internal possession allowed if the parent or guardian is present or consents?	N/A
• Is internal possession allowed if the spouse is present or consents?	N/A
Is there an exception based on location?	N/A

Underage Purchase and Attempted Purchase	
Is the purchase of alcoholic beverages prohibited?	Yes
May youth purchase for law enforcement purposes?	No

False Identification for Obtaining Alcohol	
Provisions Targeting Minors	
Is the use of false identification (ID) prohibited?	Yes
Does the use of a false ID result in minor's driver's license suspension?	Yes, through a judicial process
Provisions Targeting Suppliers	
Is the lending or transferring or selling of a false ID prohibited?	No
Is the production of a false ID in the context of underage alcohol sales specifically prohibited?	No
Retailer Support Provisions	
Is there an incentive for the retailer to use electronic scanners for information digitally encoded on valid IDs?	No
Are state driver's licenses for persons under 21 easily distinguishable from licenses for persons 21 and over?	No
May retailers seize apparently false IDs without fear of prosecution even if the ID is ultimately deemed valid?	No
Does an affirmative defense exist for the retailer?	Yes
• Is it a specific affirmative defense (retailer reasonably believed ID was valid after examining it)?	Yes

• Is it a general affirmative defense (retailer reasonably believed purchaser was over 21)?	No
Does the retailer have the right to sue the minor for use of a false ID?	No
May a retailer detain a minor who used a false ID?	No

Laws Targeting Underage Drinking and Driving

Youth Blood Alcohol Concentration Limits (Underage Operators of Noncommercial Motor Vehicles)	
What is the maximum blood alcohol concentration (BAC) limit for an underage driver of a motor vehicle?	0
Does a BAC level in excess of limit automatically establish a violation (per se violation)?	Yes
What is the minimum age to which the limit applies?	0
What is the maximum age to which the limit applies?	21

Loss of Driving Privileges for Alcohol Violations by Minors (“Use/Lose” Laws)	
Is there a “use/lose” law that suspends or revokes a minor’s driving privileges for alcohol violations?	Yes
What types of violation lead to license suspension or revocation?	
• Purchase of alcohol	Yes
• Possession of alcohol	Yes
• Consumption of alcohol	Yes
The law applies to people under what age?	21
Is suspension or revocation mandatory or discretionary?	Mandatory
What is the length of suspension/revocation?	
Minimum number of days	90
Maximum number of days	90

Graduated Driver’s Licenses	
Learner Stage	
What is the minimum age for permit to drive with parents, guardians or other adults (other than instructors)?	16
What is the minimum number of months driver must hold learner permit before advancing to intermediate stage?	6
What is the minimum number of hours of driving with parents, guardians,, or adults before advancing to intermediate stage?	40 (must log additional 10 hours of nighttime driving at intermediate stage with driver over 21)
Intermediate Stage	
What is the minimum age for driving without adult supervision?	16 years, 6 months
For night driving, when does adult supervision requirement begin?	11 pm (Sep–June: 11 pm Sun–Thur, 12:01 am Sat–Sun; July–Aug: 12:01 am)
Can law enforcement stop a driver for night-driving violation as a primary offense?	Yes – Officer may stop driver for night-driving violation
Are there restrictions on passengers?	Yes – First 6 months, one licensed driver at least 21, and any parent or sibling. After 6

	months, no more than two passengers under 21 (except parents or siblings)
Can law enforcement stop driver for violation of passenger restrictions as a primary offense?	Yes – Officer may stop driver for passenger restrictions violation
License Stage	
What is the minimum age for full license privileges and lifting of restrictions?	18

Laws Targeting Alcohol Suppliers

Furnishing Alcohol to Minors	
Is furnishing of alcoholic beverages to minors prohibited?	Yes
Are there exceptions based on family relationships?	
• Is furnishing allowed if the parent or guardian supplies the alcohol?	No
• Is furnishing allowed if the spouse supplies the alcohol?	No
Is there an exception based on location?	No
Affirmative Defense for Sellers and Licensees	
Does law require seller/licensee to be exonerated of furnishing to a minor if the minor has not been charged?	No

Compliance Check Protocols	
Does the state have a written protocol for when an underage decoy is used in compliance checks?	Yes
What is the minimum age a decoy may be to participate in a compliance check?	Not specified
What is the maximum age a decoy may be to participate in a compliance check?	Under 21
What are the decoy's appearance requirements?	No
Does decoy carry ID during compliance check?	Not specified
May decoy verbally exaggerate his or her actual age?	Not specified
Is decoy training mandated, recommended, prohibited, or not specified?	Mandated

Penalty Guidelines for Sales to Minors	
Are there written guidelines for penalties imposed on retailers for furnishing to a minor?	Yes
What is the time period for defining second, third, and subsequent offenses?	4 years
What is the penalty for the first offense?	Fine of no less than \$2,000 and no more than \$3,000, and suspend the licensee for 5 consecutive days. The 5-day suspension may be stayed by the Board for 1 year if all employees complete an alcohol training program within 3 months.
What is the penalty for the second offense?	Fine of no less than \$3,000 and no more than \$5,000, and suspend the licensee for 10 consecutive days. The Board may stay up to 6 days of the 10-day suspension for 1 year if all employees complete an alcohol training program within 3 months.

What is the penalty for the third offense?	Fine of no less than \$5,000 and no more than \$10,000, and suspend the licensee for 15 consecutive days, or revoke the license. The Board may stay up to 5 days of the 15-day suspension for 1 year if all employees complete an alcohol training program within 3 months.
What is the penalty for the fourth offense?	Revocation
<i>Note:</i> The Board may give warnings for first-time sale-to-minor offenses, excluding "egregious" violations. Egregious is defined as a sale-to-minor violation where the licensee: (1) Sold or served an alcoholic beverage to a minor who was unable to produce a valid ID after a request from the licensee to do so; (2) intentionally sold an alcoholic beverage to a minor; or (3) can be established to have had a pattern of prior alcoholic beverage sales or service to minors.	

Responsible Beverage Service (RBS)	
Is there a state law pertaining to beverage service training?	Yes – Mandatory
If training is mandatory, who must participate?	Managers
If training is voluntary, which of the following incentives are offered?	
• Defense in dram shop liability lawsuits	N/A
• Discounts in dram shop liability insurance, license fees, or other	N/A
• Mitigation of fines or other administrative penalties for sales to minors or intoxicated persons	N/A
• Protection against license revocation for sales to minors or sales to intoxicated persons	N/A
Does the RBS law apply to on-premises establishments (such as bars and restaurants) or off-premises establishments (such as liquor stores)?	Both
Does the RBS law apply to new or existing licensees?	Both

Minimum Age for Sellers of Alcohol – Off-Premises (i.e., Liquor Stores)	
What is the minimum age requirement for off-premises retail establishments?	
Beer	18
Wine	18
Spirits	18
Does a manager or supervisor have to be present?	No

Minimum Age for Alcohol Servers and Bartenders – On-Premises (i.e., Restaurants and Bars)	
What is the minimum age requirement for servers in on-premises establishments?	
Beer	18
Wine	18
Spirits	18
What is the minimum age requirement for bartenders in on-premises establishments?	
Beer	21
Wine	21
Spirits	21
Does a manager or supervisor have to be present?	No

Alcohol Outlet Siting Near Schools and Universities	
Colleges and Universities	
Is there a distance requirement for off-premises outlets (i.e., liquor stores)?	Yes, within 400 feet but the college or university has authority to override state restrictions
Is there a distance requirement for on-premises outlets (i.e., restaurants and bars)?	Yes, within 400 feet but the college or university has authority to override state restrictions
To which alcohol products does requirement apply?	Beer, wine, spirits
<i>Note:</i> Exceptions are (1) restaurant, hotel, club, caterer's, and temporary licenses; (2) grocery stores with only incidental sale of alcoholic beverages; and (3) when the sale of alcoholic beverages constitutes no more than 15% of the total volume of gross receipts on an annual basis.	
Primary and Secondary Schools	
Is there a distance requirement for off-premises outlets (i.e., liquor stores)?	Yes, within 400 feet
Is there a distance requirement for on-premises outlets (i.e., restaurants and bars)?	Yes, within 400 feet
To which alcohol products does requirement apply?	Beer, wine, spirits
<i>Note:</i> Exceptions are (1) restaurant, hotel, club, caterer's, and temporary licenses; (2) grocery stores with only incidental sale of alcoholic beverages; (3) when the sale of alcoholic beverages constitutes no more than 15% of the total volume of gross receipts on an annual basis; and (4) for restaurants located inside hotels, apartment houses, clubs, or office buildings provided there are no signs or displays, and unless specifically approved and Board of Education has no objection.	

Dram Shop Liability	
Does a statute create dram shop liability?	No
Does the statute limit damages that may be recovered?	N/A
Does the statute limit who may be sued?	N/A
Does the statute limit elements or standards of proof?	N/A
Does common law dram shop liability exist?	Yes

Social Host Liability	
Does a statute create social host liability?	No
Does the statute limit damages that may be recovered?	N/A
Does the statute limit who may be sued?	N/A
Does the statute limit elements or standards of proof?	N/A
Does common law social host liability exist?	No

Prohibitions Against Hosting Underage Drinking Parties	
Does a statute prohibit hosting underage drinking parties?	No
Is the statute specific to underage parties, or a general prohibition against permitting underage drinking on the property?	N/A
What action by underage guest triggers a violation?	N/A
Property type covered by the law?	N/A
What level of knowledge by the host is required?	N/A

Does host’s preventive action protect him/her from being held liable?	N/A
Are there any exceptions for underage guests?	N/A

Retailer Interstate Shipments of Alcohol	
Are out-of-state retailers prohibited from sending interstate shipments to in-state consumers?	
Beer	Permitted
Wine	Permitted
Spirits	Permitted

Direct Shipments/Sales	
May alcohol producers ship directly to consumers?	Yes
What alcohol types may be shipped?	Beer, wine, distilled spirits
Must purchaser make mandatory trip to producer before delivery is authorized?	No
Age verification requirements	
Must the producer/shipper verify purchaser’s age before sale?	No
Must the common carrier (deliverer) verify age of recipients?	No
State approval/permit requirements	
Must the producer/manufacture obtain state license or permit?	No
Must the common carrier (deliverer) be approved by a state agency?	No
Recording/reporting requirements	
Must the producer/manufacture record/report purchaser’s name?	No
Must the common carrier (deliverer) record/report recipient’s name?	No
Shipping label requirements	
Must the label state “Package contains alcohol”?	No
Must the label state “Recipient must be 21 years old”?	No

Keg Registration	
How is a keg defined (in gallons)?	Equal to or more than 4.00
Prohibitions	
Is it illegal to possess an unregistered or unlabeled keg and if so, what is the penalty?	No
Is it illegal to destroy the label on a keg, and if so, what is the penalty?	No
What purchaser information is collected?	
Must the retailer collect the name and address?	Yes
Must the retailer collect the ID number, name and address on license or other government information?	Yes
Must the retailer collect the address at which keg will be consumed?	Yes
Must warning information be given to purchaser?	Yes – Active (requires an action by purchaser)
Is a deposit required?	No
Does law cover disposable kegs?	Yes

Home Delivery	
Is home delivery of alcohol permitted?	
Beer	Yes
Wine	Yes
Spirits	Yes

High-Proof Grain Alcohol Beverages	
Are there restrictions on the sale of high-proof grain alcohol beverages?	No
Are restrictions based on Alcohol by Volume (ABV)?	N/A
Are there exceptions to restrictions?	N/A

Laws Affecting Alcohol Pricing

Alcohol Taxes	
Beer	
Control system for beer?	No
Specific excise tax per gallon for 5% alcohol beer	\$0.09
Ad valorem excise tax (for on-premises sales) on total receipts for 5% alcohol beer	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	10%
If retail tax rate applies, is there an exemption from general sales tax?	Yes
• General sales tax rate	5.75%
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	4.25%
Ad valorem excise tax (for off-premises sales) on total receipts for 5% alcohol beer	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	10%
If retail tax rate applies, is there an exemption from general sales tax?	Yes
• General sales tax rate	5.75%
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	4.25%
Additional taxes for 3.2–6% alcohol beer (if applicable)	
Wine	
Control system for wine?	No
Specific excise tax per gallon for 12% alcohol wine	\$0.30
Ad valorem excise tax (for on-premises sales) on total receipts for 12% alcohol wine	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	10%
If retail tax rate applies, is there an exemption from general sales tax?	Yes
• General sales tax rate	5.75%
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	4.25%
Ad valorem excise tax (for off-premises sales) on total receipts for 12% alcohol wine	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	10%
If retail tax rate applies, is there an exemption from general sales tax?	Yes

• General sales tax rate	5.75%
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	4.25%
Additional taxes for 6–14% alcohol wine (if applicable)	
Spirits	
Control system for spirits?	No
Specific excise tax per gallon for 40% alcohol spirits	\$1.50
Ad valorem excise tax (for on-premises sales) on total receipts for 40% alcohol spirits	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	10%
If retail tax rate applies, is there an exemption from general sales tax?	Yes
• General sales tax rate	5.75%
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	4.25%
Ad valorem excise tax (for off-premises sales) on total receipts for 40% alcohol spirits	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	10%
If retail tax rate applies, is there an exemption from general sales tax?	Yes
• General sales tax rate	5.75%
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	4.25%
Additional taxes for 15–50% alcohol spirits (if applicable)	

Low-Price, High-Volume Drink Specials	
What types of drink specials are prohibited by on-premises retailers?	
Free beverages	No
Multiple servings at one time	Yes
Multiple servings for same price as single serving	No
Reduced price for a specified day or time (i.e., happy hours)	No
Unlimited beverages for fixed price	No
Increased volume without increase in price	No

Wholesaler Pricing Restrictions	
Beer	
Are volume discounts to retailers allowed?	No law
Must wholesalers establish a minimum markup or maximum discount for each product sold to retailers?	No law
Must wholesalers publicly post and hold (i.e., not reduce) prices for a set period of time?	No law
Is wholesaler permitted to extend credit to retailer and if so, what is the maximum time period?	Yes (45 days)
Wine	
Are volume discounts to retailers allowed?	No law
Must wholesalers establish a minimum markup or maximum discount for each product sold to retailers?	No law

Must wholesalers publicly post and hold (i.e., not reduce) prices for a set period of time?	No law
Is wholesaler permitted to extend credit to retailer and if so, what is the maximum time period?	Yes (45 days)
Spirits	
Are volume discounts to retailers allowed?	No law
Must wholesalers establish a minimum markup or maximum discount for each product sold to retailers?	No law
Must wholesalers publicly post and hold (i.e., not reduce) prices for a set period of time?	No law
Is wholesaler permitted to extend credit to retailer and if so, what is the maximum time period?	Yes (45 days)

District of Columbia State Survey Responses

State Agency Information	
<i>Agency with primary responsibility for enforcing underage drinking laws:</i>	
Metropolitan Police Department and the Alcoholic Beverage Regulation Administration	
Enforcement Strategies	
<i>State law enforcement agencies use:</i>	
Cops in Shops	No
Shoulder Tap Operations	No
Party Patrol Operations or Programs	No
Underage Alcohol-Related Fatality Investigations	No
<i>Local law enforcement agencies use:</i>	
Cops in Shops	Yes
Shoulder Tap Operations	No
Party Patrol Operations or Programs	No
Underage Alcohol-Related Fatality Investigations	Yes
<i>State has a program to investigate and enforce direct sales/shipment laws</i>	Yes
Primary state agency responsible for enforcing laws addressing direct sales/shipments of alcohol to minors	Alcoholic Beverage Regulation Administration
Such laws are also enforced by local law enforcement agencies	Don't know
Enforcement Statistics	
<i>State collects data on the number of minors found in possession</i>	Yes
Number of minors found in possession by state law enforcement agencies	1,000
Number pertains to the 12 months ending	9/30/2014
Data include arrests/citations issued by local law enforcement agencies	Don't know
<i>State conducts underage compliance checks/decoy operations² to determine if alcohol retailers are complying with laws prohibiting sales to minors</i>	No
Data are collected on these activities	Not applicable
Number of retail licensees in state ³	1,800
Number of licensees checked for compliance by state agencies (including random checks)	Not applicable
Number of licensees that failed state compliance checks	Not applicable
Numbers pertain to the 12 months ending	9/30/2014
Compliance checks/decoy operations conducted at on-sale, off-sale, or both retail establishments	On-sale establishments only
<i>State conducts random underage compliance checks/decoy operations</i>	No
Number of licensees subject to random state compliance checks/decoy operations	Not applicable
Number of licensees that failed random state compliance checks	Not applicable
<i>Local agencies conduct underage compliance checks/decoy operations to determine if alcohol retailers are complying with laws prohibiting sales to minors</i>	Yes
Data are collected on these activities	Yes
Number of licensees checked for compliance by local agencies	959
Number of licensees that failed local compliance checks	188
Numbers pertain to the 12 months ending	9/30/2014
Sanctions	
<i>State collects data on fines imposed on retail establishments that furnish minors</i>	Yes
Number of fines imposed by the state ⁴	No data
Total amount in fines across all licensees	No data

Smallest fine imposed	\$2,000
Largest fine imposed	\$10,000
Numbers pertain to the 12 months ending	9/30/2014
<i>State collects data on license suspensions imposed on retail establishments specifically for furnishing minors</i>	
Don't know	
Number of suspensions imposed by the state ⁵	Not applicable
Total days of suspensions across all licensees	Not applicable
Shortest period of suspension imposed (in days)	Not Applicable
Longest period of suspension imposed (in days)	No Maximum
Numbers pertain to the 12 months ending	9/30/2014
<i>State collects data on license revocations imposed on retail establishments specifically for furnishing minors</i>	
Yes	
Number of license revocations imposed ⁶	2
Numbers pertain to the 12 months ending	9/30/2014

Additional Clarification

Underage Alcohol Enforcement/Cops in Shops:

- Compliance checks enforcement (also known as sale to minor enforcement) is a joint operation with The Metropolitan Police Department (MPD), The Alcohol Beverage Regulation Administration (ABRA), and minors (persons under 21 years old) from the National Capital Coalition to Prevent Underage Drinking (NCCPUD). Listed MPD and ABRA members use NCCPUD minors to enter ABC establishments (liquors stores, convenience stores, restaurants, bars, and night clubs) and attempt to purchase alcohol. Minors do not use false identification of any kind and do not misrepresent their true age. If a sale is made, the employee who makes the sale is charged with sale of alcohol to minor and an ABC violation report is also completed and sent to the ABC board for further action against the establishment.
- Cops in shops enforcement is a joint operation of the Metropolitan Police Department (MPD), the Alcohol Beverage Regulation Administration (ABRA), and various ABC establishments to combat (1) use of fraudulent identification by underage minors to enter ABC establishments (bars, night clubs, and restaurants) and (2) use of fraudulent identification by underage minors to purchase alcoholic beverages from liquor stores or convenience stores. Once these minors are identified as using fraudulent identification that misrepresents their age, the minor is charged with misrepresentation of age to enter an ABC establishment or misrepresentation of age to purchase alcohol. However, there is no violation for the establishment because the establishment is working with local law enforcement to identify minors attempting to use false identification and preventing these minors from consuming the alcohol. A report is completed to document an ABC incident and a PD 163 is also completed if an arrest is made.
- Conduct spot checks on establishments that sell alcohol and check persons inside establishments who have purchased alcohol to verify that establishments are complying with the law. This is also a joint operation between the Metropolitan Police Department (MPD) and the Alcohol Beverage Regulation Administration (ABRA), and locations are selected when complaints have been received for various violations, including underage drinking. Any violations observed by MPD and ABRA are documented on a PD 251 as an ABC violation or incident.

¹ Or having consumed or purchased per state statutes.

² Underage compliance checks/decoy operations to determine whether alcohol retailers are complying with laws prohibiting sales to minors.

³ Excluding special licenses such as temporary, seasonal, and common carrier licenses.

⁴ Does not include fines imposed by local agencies.

⁵ Does not include suspensions imposed by local agencies.

⁶ Does not include revocations imposed by local agencies.

Underage Drinking Prevention Programs Operated or Funded by the State

DC: Double Check 101

Program serves specific or general population	General population
Number of youth served	Not applicable

Number of parents served	Not applicable
Number of caregivers served	Not applicable
Program has been evaluated	Yes
Evaluation report is available	No
URL for evaluation report:	Not applicable
URL for more program information:	No data

Program Description: The DC: Double Check 101 program has the support and partnership of all eight major universities in the District of Columbia, the Metropolitan Police Department, and several other District agencies. DC: Double Check 101 employs a two-prong approach, education and enforcement, to attempt to lower the prevalence of underage drinking among the District youth.

National Capital Coalition to Prevent Underage Drinking (NCCPUD)

Program serves specific or general population	Specific population
Number of youth served	28
Number of parents served	No data
Number of caregivers served	No data
Program has been evaluated	Yes
Evaluation report is available	No
URL for evaluation report:	Not applicable
URL for more program information:	No data

Program Description: NCCPUD, organized in 1997, is a nonprofit 501c(3) organization dedicated to preventing and reducing underage drinking and its related harms in the District of Columbia. NCCPUD is a coalition of community-based organizations, government, and youth, and has been in the vanguard of developing and implementing prevention programs aimed at reducing underage drinking and other ATOD use by youth. NCCPUD’s mission is to organize, educate, and build the capacity of local, public and private organizations, youth, and the community to reduce underage drinking and its related harms. The Coalition aims to do this with the help of teens from various high schools in the District of Columbia. NCCPUD seeks to (1) reduce both the availability and accessibility of alcohol to area youth; (2) reduce alcohol marketing and promotional strategies that target youth; (3) reduce alcohol-impaired driving and support the enforcement of underage drinking laws in the metropolitan area; and (4) develop and implement other promising interventions and policies that reduce drinking and the accessibility of alcohol to youth.

Over the past 10 years, NCCPUD has partnered with the District of Columbia Alcoholic Beverage Regulatory Administration (ABRA) in conducting areawide alcohol compliance operations, educating and training youth on various environmental issues, laws, and regulations that affect alcohol issues in the District. NCCPUD also serves as a community lab agency for youth in the District of Columbia, training youth as peer leaders in the prevention of underage drinking and its related harms.

Additional Underage Drinking Prevention Programs Operated or Funded by the State

Program description: No data

Additional Clarification

No data

Additional Information Related to Underage Drinking Prevention Programs

<i>State collaborates with federally recognized tribal governments in the prevention of underage drinking</i>	No recognized tribal governments
<i>State has programs to measure and/or reduce youth exposure to alcohol advertising and marketing</i>	No
Description of program:	Not applicable
<i>State has adopted or developed best practice standards for underage drinking prevention programs</i>	Yes

Agencies/organizations that established best practices standards:

Federal agency(ies): SAMHSA/National Institute on Alcohol Abuse and Alcoholism (NIAAA) Yes

Agency(ies) within your state: Department of Behavioral Health Yes

Nongovernmental agency(ies): No

Other: No data No

Best practice standards description: In August 2012, more than 14 DC agencies developed a Five Year Substance Use Prevention Plan that included practices to reduce underage drinking. One approach supported by all participants was the concept of a Prevention Leadership Center (PLC). A concept paper was created in 2014 in collaboration with DC agency collaborators and community prevention leaders. DBH is addressing many of the strategies in the concept paper, including the development of prevention program standards and prevention certification.

Additional Clarification

No data

State Interagency Collaboration

A state-level interagency governmental body/committee exists to coordinate or address underage drinking prevention activities Yes

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Phone: 202-727-8858

Agencies/organizations represented on the committee:

Note: Prevention Partnership Council purpose and representatives are being revised under the new Strategic Prevention Framework Partnership for Success (PFS) Grant. The DCEOW with 12 agency partners and the Evidence-Based Workgroup will continue to be connected to the Council.

A website or other public source exists to describe committee activities No
 URL or other means of access: Not applicable

Underage Drinking Reports

State has prepared a plan for preventing underage drinking in the last 3 years Yes

Prepared by: Department of Behavioral Health Addiction Prevention and Recovery Administration had the lead for a Prevention Policy Council, composed of 14 DC agency partners, that developed a Five Year Substance Abuse Prevention Strategic Plan. Underage drinking was a priority area in the plan. Plan can be accessed via: Judith.Donovan@DC.Gov

State has prepared a report on preventing underage drinking in the last 3 years Yes

Prepared by: Department of Behavioral Health

Plan can be accessed via: STOP Act Survey Report was shared with other DC and ward representatives

Additional Clarification

Description of collaboration: The District of Columbia (DC) Department of Behavioral Health (DBH) is a new agency that merged the former Addiction Prevention and Recovery Administration/ Department of Health (DOH) with the Department of Mental Health. DBH has invested in a sustainable infrastructure and prevention system that supports collaborations and best practices to reduce underage drinking. This includes four DC Prevention Centers (DCPC) that provide access to universal, selective, and indicated best practices across all eight wards. Each Center serves two wards each to strengthen community capacity, address needed community and system changes, reduce risk factors, increase protective factors, and achieve outcomes for youth, families, and the community at large. Center functions are community education, community leadership development, and community changes. In 2015, the Centers will continue to expand their reach through more than 53 Community Prevention Networks that develop data-driven action plans for prevention. More than 35 DC youth were trained in a national Strategic Prevention Framework best practice model and will implement community level action plans to prevent underage drinking in their wards.

DBH funds the DC Epidemiological Outcomes Workgroup (DCEOW) that involves 12 District agency partners and produces district and ward data reports on underage drinking including alcohol consumption, consequences, risk

and protective factors and demographics. The DCEOW has enhanced "Community Conversation" protocols and a guidance document for collecting information through town hall meetings, focus groups, and group discussions. In addition, DBH supports DC's 2015 Youth Risk Behavior Survey that expands the size of the random sample and produces data for prevention planning and evaluation.

Strategic Prevention Framework State Incentive Grant (SPF SIG) funds are supporting an adaptation of the federal campaign "Talk. They Hear You" to urban areas with culturally diverse populations. The June 2015 launch included educational resources such as brochures, posters, palm cards; underage drinking campaign/website/social media/digital engagement; print media; radio ads; earned media; bus cards; Metro ads; and targeted print ads. The DCPC will collaborate with identified community leaders in their wards, disseminate campaign materials and serve as the catalyst for community action.

DBH has been awarded a new, 5-year, \$10 million SAMHSA Strategic Prevention Framework Partnership for Success (PFS) grant targeting prevention of underage drinking and marijuana use among youth. DBH will support a Prevention Partnership Council, continuation of the DC EOW, and an evidence-based workgroup. In 2015, the grant supports a PFS Coordinator in each of the DC Prevention Centers and eight high-need community centers. Requests for Applications require a robust network of community partners and collaborations, data-driven planning, and the use of evidence-based preventive interventions. All eight wards have been deemed high need. New ward Prevention Partnership Councils are being developed to support policy planning through the DBH Prevention Partnership Council composed of state agency partners.

DBH is continuing the use of technology to increase collaborations and best practices to reduce underage drinking. This includes a new online DC Information Resource System (DIRS) with modules that track emerging trends around underage drinking and other drug use through local social media activity. DBH will also continue enhancement of a new prevention website, DRUGFREEYOUTHDC.COM, and social media capacity (e.g., Facebook Instagram, Twitter).

State Expenditures for the Prevention of Underage Drinking

Compliance checks in retail outlets:

Estimate of state funds expended	\$115,000
Estimate based on the 12 months ending	9/30/2014

Checkpoints and saturation patrols:

Estimate of state funds expended	\$700,000
Estimate based on the 12 months ending	9/30/2014

Community-based programs to prevent underage drinking:

Estimate of state funds expended	\$18,000
Estimate based on the 12 months ending	9/30/2014

K-12 school-based programs to prevent underage drinking:

Estimate of state funds expended	Data not available
Estimate based on the 12 months ending	Data not available

Programs targeted to institutes of higher learning:

Estimate of state funds expended	\$0
Estimate based on the 12 months ending	9/30/2014

Programs that target youth in the juvenile justice system:

Estimate of state funds expended	Data not available
Estimate based on the 12 months ending	Data not available

Programs that target youth in the child welfare system:

Estimate of state funds expended	Data not available
Estimate based on the 12 months ending	Data not available

Other programs:

Programs or strategies included	Data not available
Estimate of state funds expended	Data not available
Estimate based on the 12 months ending	Data not available

Funds Dedicated to Underage Drinking

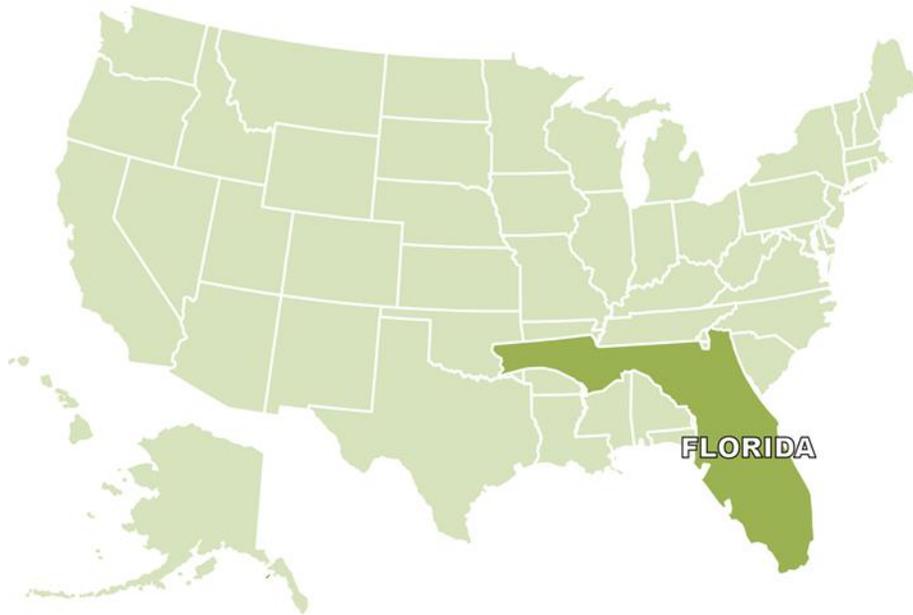
State derives funds dedicated to underage drinking from the following revenue streams:

Taxes	No
Fines	No
Fees	No
Other	Not applicable

Description of funding streams and how they are used: Not applicable

Additional Clarification

No data



Florida

State Population: 19,893,297
Population Ages 12–20: 2,123,000

	Percentage	Number
Ages 12–20		
Past-Month Alcohol Use	23.3	494,000
Past-Month Binge Alcohol Use	13.3	281,000
Ages 12–14		
Past-Month Alcohol Use	4.6	31,000
Past-Month Binge Alcohol Use	2	14,000
Ages 15–17		
Past-Month Alcohol Use	19.5	140,000
Past-Month Binge Alcohol Use	10	72,000
Ages 18–20		
Past-Month Alcohol Use	43.8	323,000
Past-Month Binge Alcohol Use	26.6	196,000
Alcohol-Attributable Deaths (under 21)		282
Years of Potential Life Lost (under 21)		16,951
	Percentage of All Traffic Fatalities	Number
Traffic Fatalities, 15- to 20-Year-Old Drivers with BAC > 0.01	16	44

Laws Addressing Minors in Possession of Alcohol

Underage Possession	
Is underage possession of alcoholic beverages prohibited?	Yes
Are there exceptions based on family relationships?	
• Is possession allowed if parent or guardian is present or consents?	No
• Is possession allowed if spouse is present or consents?	No
Is there an exception based on location?	No

Underage Consumption	
Is underage consumption of alcoholic beverages prohibited?	No law
Are there exceptions based on family relationships?	
• Is consumption allowed if the parent or guardian is present or consents?	N/A
• Is consumption allowed if the spouse is present or consents?	N/A
Is there an exception based on location?	N/A

Underage Internal Possession	
Is underage internal possession of alcoholic beverages prohibited?	No law
Are there exceptions based on family relationships?	
• Is internal possession allowed if the parent or guardian is present or consents?	N/A
• Is internal possession allowed if the spouse is present or consents?	N/A
Is there an exception based on location?	N/A

Underage Purchase and Attempted Purchase	
Is the purchase of alcoholic beverages prohibited?	Yes
May youth purchase for law enforcement purposes?	No

False Identification for Obtaining Alcohol	
Provisions Targeting Minors	
Is the use of false identification (ID) prohibited?	Yes
Does the use of a false ID result in minor's driver's license suspension?	Yes, through a judicial process
Provisions Targeting Suppliers	
Is the lending or transferring or selling of a false ID prohibited?	No
Is the production of a false ID in the context of underage alcohol sales specifically prohibited?	No
Retailer Support Provisions	
Is there an incentive for the retailer to use electronic scanners for information digitally encoded on valid IDs?	No
Are state driver's licenses for persons under 21 easily distinguishable from licenses for persons 21 and over?	Yes
May retailers seize apparently false IDs without fear of prosecution even if the ID is ultimately deemed valid?	No
Does an affirmative defense exist for the retailer?	Yes
• Is it a specific affirmative defense (retailer reasonably believed ID was valid after examining it)?	Yes

• Is it a general affirmative defense (retailer reasonably believed purchaser was over 21)?	No
Does the retailer have the right to sue the minor for use of a false ID?	No
May a retailer detain a minor who used a false ID?	No

Laws Targeting Underage Drinking and Driving

Youth Blood Alcohol Concentration Limits (Underage Operators of Noncommercial Motor Vehicles)	
What is the maximum blood alcohol concentration (BAC) limit for an underage driver of a motor vehicle?	0.02
Does a BAC level in excess of limit automatically establish a violation (per se violation)?	Yes
What is the minimum age to which the limit applies?	0
What is the maximum age to which the limit applies?	21

Loss of Driving Privileges for Alcohol Violations by Minors (“Use/Lose” Laws)	
Is there a “use/lose” law that suspends or revokes a minor’s driving privileges for alcohol violations?	Yes
What types of violation lead to license suspension or revocation?	
• Purchase of alcohol	Yes
• Possession of alcohol	Yes
• Consumption of alcohol	No
The law applies to people under what age?	18
Is suspension or revocation mandatory or discretionary?	Mandatory
What is the length of suspension/revocation?	
Minimum number of days	180
Maximum number of days	365

Graduated Driver’s Licenses	
Learner Stage	
What is the minimum age for permit to drive with parents, guardians or other adults (other than instructors)?	15
What is the minimum number of months driver must hold learner permit before advancing to intermediate stage?	12
What is the minimum number of hours of driving with parents, guardians, or adults before advancing to intermediate stage?	50 (10 of which must be at night)
Intermediate Stage	
What is the minimum age for driving without adult supervision?	16
For night driving, when does adult supervision requirement begin?	11 pm (age 16: 11 pm; age 17: 1 am)
Can law enforcement stop a driver for night-driving violation as a primary offense?	Yes – Officer may stop driver for night-driving violation
Are there restrictions on passengers?	No
Can law enforcement stop driver for violation of passenger restrictions as a primary offense?	No

License Stage	
What is the minimum age for full license privileges and lifting of restrictions?	18

Laws Targeting Alcohol Suppliers

Furnishing Alcohol to Minors	
Is furnishing of alcoholic beverages to minors prohibited?	Yes
Are there exceptions based on family relationships?	
• Is furnishing allowed if the parent or guardian supplies the alcohol?	No
• Is furnishing allowed if the spouse supplies the alcohol?	No
Is there an exception based on location?	No
Affirmative Defense for Sellers and Licensees	
Does law require seller/licensee to be exonerated of furnishing to a minor if the minor has not been charged?	No

Compliance Check Protocols	
Does the state have a written protocol for when an underage decoy is used in compliance checks?	Yes
What is the minimum age a decoy may be to participate in a compliance check?	16
What is the maximum age a decoy may be to participate in a compliance check?	19
What are the decoy's appearance requirements?	Must be obviously underage in appearance. Must dress per community standards in the area where they are conducting compliance checks. Males: no facial hair. Females: may not "dress up" to appear older or wear revealing attire.
Does decoy carry ID during compliance check?	Required
May decoy verbally exaggerate his or her actual age?	Prohibited
Is decoy training mandated, recommended, prohibited, or not specified?	Mandated

Penalty Guidelines for Sales to Minors	
Are there written guidelines for penalties imposed on retailers for furnishing to a minor?	Yes
What is the time period for defining second, third, and subsequent offenses?	3 years
What is the penalty for the first offense?	\$1,000 and 7-day suspension
What is the penalty for the second offense?	\$3,000 and 30-day suspension
What is the penalty for the third offense?	Revocation
What is the penalty for the fourth offense?	Not specified

Responsible Beverage Service (RBS)	
Is there a state law pertaining to beverage service training?	Yes – Voluntary
If training is mandatory, who must participate?	N/A

If training is voluntary, which of the following incentives are offered?	
• Defense in dram shop liability lawsuits	No
• Discounts in dram shop liability insurance, license fees, or other	No
• Mitigation of fines or other administrative penalties for sales to minors or intoxicated persons	Yes
• Protection against license revocation for sales to minors or sales to intoxicated persons	Yes
Does the RBS law apply to on-premises establishments (such as bars and restaurants) or off-premises establishments (such as liquor stores)?	Both
Does the RBS law apply to new or existing licensees?	Both

Minimum Age for Sellers of Alcohol – Off-Premises (i.e., Liquor Stores)	
What is the minimum age requirement for off-premises retail establishments?	
Beer	None
Wine	None
Spirits	18
Does a manager or supervisor have to be present?	No

Minimum Age for Alcohol Servers and Bartenders – On-Premises (i.e., Restaurants and Bars)	
What is the minimum age requirement for servers in on-premises establishments?	
Beer	18
Wine	18
Spirits	18
What is the minimum age requirement for bartenders in on-premises establishments?	
Beer	18
Wine	18
Spirits	18
Does a manager or supervisor have to be present?	No

Alcohol Outlet Siting Near Schools and Universities	
Colleges and Universities	
Is there a distance requirement for off-premises outlets (i.e., liquor stores)?	No
Is there a distance requirement for on-premises outlets (i.e., restaurants and bars)?	No
To which alcohol products does requirement apply?	N/A
Primary and Secondary Schools	
Is there a distance requirement for off-premises outlets (i.e., liquor stores)?	No
Is there a distance requirement for on-premises outlets (i.e., restaurants and bars)?	Yes, within 500 feet. Local government has authority to override state restrictions.
To which alcohol products does requirement apply?	Beer, wine, spirits
<i>Note:</i> Exception for restaurants	

Dram Shop Liability	
Does a statute create dram shop liability?	Yes
Does the statute limit damages that may be recovered?	No
Does the statute limit who may be sued?	No
Does the statute limit elements or standards of proof?	Yes (willful and unlawful furnishing to minor)
Does common law dram shop liability exist?	No

Social Host Liability	
Does a statute create social host liability?	No
Does the statute limit damages that may be recovered?	N/A
Does the statute limit who may be sued?	N/A
Does the statute limit elements or standards of proof?	N/A
Does common law social host liability exist?	Yes
<p><i>Note:</i> Common law liability rests on a violation of the criminal social host statute. The criminal social host statute prohibits an adult from allowing an open house party to take place at a residence he/she controls and knowingly allowing a minor to possess or consume alcohol at the residence and failing to take reasonable steps to prevent the possession or consumption of the alcoholic beverage.</p>	

Prohibitions Against Hosting Underage Drinking Parties	
Does a statute prohibit hosting underage drinking parties?	Yes
Is the statute specific to underage parties, or a general prohibition against permitting underage drinking on the property?	Specific
What action by underage guest triggers a violation?	Possession/Consumption
Property type covered by the law?	Residential
What level of knowledge by the host is required?	Knowledge: Host must have actual knowledge of party
Does host's preventive action protect him/her from being held liable?	Yes
Are there any exceptions for underage guests?	No
<p><i>Note:</i> The "preventive action" provision in Florida requires the prosecution to prove that the host failed to take preventive action.</p>	

Retailer Interstate Shipments of Alcohol	
Are out-of-state retailers prohibited from sending interstate shipments to in-state consumers?	
Beer	Yes
Wine	Yes
Spirits	Yes

Direct Shipments/Sales	
May alcohol producers ship directly to consumers?	No
What alcohol types may be shipped?	N/A
Must purchaser make mandatory trip to producer before delivery is authorized?	N/A
Age verification requirements	
Must the producer/shipper verify purchaser's age before sale?	N/A
Must the common carrier (deliverer) verify age of recipients?	N/A

State approval/permit requirements	
Must the producer/manufacture obtain state license or permit?	N/A
Must the common carrier (deliverer) be approved by a state agency?	N/A
Recording/reporting requirements	
Must the producer/manufacture record/report purchaser's name?	N/A
Must the common carrier (deliverer) record/report recipient's name?	N/A
Shipping label requirements	
Must the label state "Package contains alcohol"?	N/A
Must the label state "Recipient must be 21 years old"?	N/A
<i>Note: Although current law suggests that direct shipments of alcoholic beverages are prohibited, the Florida Department of Business and Professional Regulation's informal policy allows out-of-state wineries to make direct shipments of wine to Florida consumers. Florida statutes that purport to ban direct shipments are not being enforced pursuant to a stipulation entered into by the state in a lawsuit challenging the constitutionality of the law. Fla. Stat. Ann. §§ 561.54, 561.545.</i>	

Keg Registration	
How is a keg defined (in gallons)?	No law
Prohibitions	
Is it illegal to possess an unregistered or unlabeled keg and if so, what is the penalty?	No law
Is it illegal to destroy the label on a keg, and if so, what is the penalty?	No law
What purchaser information is collected?	
Must the retailer collect the name and address?	No law
Must the retailer collect the ID number, name and address on license or other government information?	No law
Must the retailer collect the address at which keg will be consumed?	No law
Must warning information be given to purchaser?	No law
Is a deposit required?	No law
Does law cover disposable kegs?	No law

Home Delivery	
Is home delivery of alcohol permitted?	
Beer	Yes
Wine	Yes
Spirits	Yes

High-Proof Grain Alcohol Beverages	
Are there restrictions on the sale of high-proof grain alcohol beverages?	Yes
Are restrictions based on Alcohol by Volume (ABV)?	Yes, more than 76.5%
Are there exceptions to restrictions?	No
<i>Note: Statute states "153 proof," which is equivalent to 76.5% ABV.</i>	

Laws Affecting Alcohol Pricing

Alcohol Taxes	
Beer	
Control system for beer?	No

Specific excise tax per gallon for 5% alcohol beer	\$0.48
Ad valorem excise tax (for on-premises sales) on total receipts for 5% alcohol beer	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Ad valorem excise tax (for off-premises sales) on total receipts for 5% alcohol beer	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Additional taxes for 3.2–6% alcohol beer (if applicable)	
Wine	
Control system for wine?	No
Specific excise tax per gallon for 12% alcohol wine	\$2.25
Ad valorem excise tax (for on-premises sales) on total receipts for 12% alcohol wine	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Ad valorem excise tax (for off-premises sales) on total receipts for 12% alcohol wine	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Additional taxes for 6–14% alcohol wine (if applicable)	
Spirits	
Control system for spirits?	No
Specific excise tax per gallon for 40% alcohol spirits	\$6.50
Ad valorem excise tax (for on-premises sales) on total receipts for 40% alcohol spirits	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Ad valorem excise tax (for off-premises sales) on total receipts for 40% alcohol spirits	
Wholesale tax rate (if applicable)	

Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Additional taxes for 15–50% alcohol spirits (if applicable)	\$2.25/gallon for alcohol content of less than 17.259%

Low-Price, High-Volume Drink Specials	
What types of drink specials are prohibited by on-premises retailers?	
Free beverages	No
Multiple servings at one time	No
Multiple servings for same price as single serving	No
Reduced price for a specified day or time (i.e., happy hours)	No
Unlimited beverages for fixed price	No
Increased volume without increase in price	No

Wholesaler Pricing Restrictions	
Beer	
Are volume discounts to retailers allowed?	No law
Must wholesalers establish a minimum markup or maximum discount for each product sold to retailers?	No law
Must wholesalers publicly post and hold (i.e., not reduce) prices for a set period of time?	Post
Is wholesaler permitted to extend credit to retailer and if so, what is the maximum time period?	Yes (15 days)
Wine	
Are volume discounts to retailers allowed?	No law
Must wholesalers establish a minimum markup or maximum discount for each product sold to retailers?	No law
Must wholesalers publicly post and hold (i.e., not reduce) prices for a set period of time?	No law
Is wholesaler permitted to extend credit to retailer and if so, what is the maximum time period?	Yes (15 days)
Spirits	
Are volume discounts to retailers allowed?	No law
Must wholesalers establish a minimum markup or maximum discount for each product sold to retailers?	No law
Must wholesalers publicly post and hold (i.e., not reduce) prices for a set period of time?	No law
Is wholesaler permitted to extend credit to retailer and if so, what is the maximum time period?	Yes (15 days)

Florida State Survey Responses

State Agency Information

Agency with primary responsibility for enforcing underage drinking laws:

Florida Department of Business and Professional Regulation, Division of Alcoholic Beverages and Tobacco,
Bureau of Law Enforcement

Enforcement Strategies

State law enforcement agencies use:

Cops in Shops	Yes
Shoulder Tap Operations	Yes
Party Patrol Operations or Programs	Yes
Underage Alcohol-Related Fatality Investigations	No

Local law enforcement agencies use:

Cops in Shops	No
Shoulder Tap Operations	No
Party Patrol Operations or Programs	No
Underage Alcohol-Related Fatality Investigations	No

State has a program to investigate and enforce direct sales/shipment laws

Primary state agency responsible for enforcing laws addressing direct sales/shipments of alcohol to minors

Such laws are also enforced by local law enforcement agencies

Enforcement Statistics

State collects data on the number of minors found in possession

Number of minors found in possession by state law enforcement agencies

Number pertains to the 12 months ending

Data include arrests/citations issued by local law enforcement agencies

State conducts underage compliance checks/decoy operations² to determine if alcohol retailers are complying with laws prohibiting sales to minors

Data are collected on these activities

Number of retail licensees in state³

Number of licensees checked for compliance by state agencies

(including random checks)

Number of licensees that failed state compliance checks

Numbers pertain to the 12 months ending

Compliance checks/decoy operations conducted at on-sale, off-sale, or both retail establishments

State conducts **random** underage compliance checks/decoy operations

Number of licensees subject to **random** state compliance checks/decoy operations

Number of licensees that failed **random** state compliance checks

Local agencies conduct underage compliance checks/decoy operations to determine if alcohol retailers are complying with laws prohibiting sales to minors

Data are collected on these activities

Number of licensees checked for compliance by local agencies

Number of licensees that failed local compliance checks

Numbers pertain to the 12 months ending

Sanctions

State collects data on fines imposed on retail establishments that furnish minors

Number of fines imposed by the state⁴

Total amount in fines across all licensees

Smallest fine imposed

Largest fine imposed

Numbers pertain to the 12 months ending	12/31/2014
<i>State collects data on license suspensions imposed on retail establishments specifically for furnishing minors</i>	Yes
Number of suspensions imposed by the state ⁵	30
Total days of suspensions across all licensees	158
Shortest period of suspension imposed (in days)	2
Longest period of suspension imposed (in days)	29
Numbers pertain to the 12 months ending	12/31/2014
<i>State collects data on license revocations imposed on retail establishments specifically for furnishing minors</i>	Yes
Number of license revocations imposed ⁶	3
Numbers pertain to the 12 months ending	12/31/2014

Additional Clarification

No data

¹ Or having consumed or purchased per state statutes.

² Underage compliance checks/decoy operations to determine whether alcohol retailers are complying with laws prohibiting sales to minors.

³ Excluding special licenses such as temporary, seasonal, and common carrier licenses.

⁴ Does not include fines imposed by local agencies.

⁵ Does not include suspensions imposed by local agencies.

⁶ Does not include revocations imposed by local agencies.

Underage Drinking Prevention Programs Operated or Funded by the State

Too Good For Drugs (TGF D)

Program serves specific or general population	Specific population
Number of youth served	28,236
Number of parents served	0
Number of caregivers served	No data
Program has been evaluated	Yes
Evaluation report is available	Yes
URL for evaluation report:	http://www.nrepp.samhsa.gov/ViewIntervention.aspx?id=75
URL for more program information:	http://www.nrepp.samhsa.gov/ViewIntervention.aspx?id=75

Program Description: TGF D is a school-based prevention program that builds on students' resiliency by teaching them how to be socially competent and autonomous problem solvers. The program is designed to benefit everyone in the school by providing needed education in social and emotional competencies and by reducing risk factors and building protective factors that affect students in these age groups. TGF D focuses on developing personal and interpersonal skills to resist peer pressures, goal setting, decisionmaking, bonding with others, having respect for self and others, managing emotions, effective communication, and social interactions. The program also provides information about the negative consequences of drug use and the benefits of a nonviolent, drug-free lifestyle. The Early Intervention & Prevention Coordinator will teach 6th-grade classes once a week for 30–45 minutes for 10 weeks.

Strengthening Families Program	
Program serves specific or general population	General population
Number of youth served	4,369
Number of parents served	7,524
Number of caregivers served	No data
Program has been evaluated	Yes
Evaluation report is available	Yes
URL for evaluation report:	http://www.nrepp.samhsa.gov/viewintervention.aspx?id=63

URL for more program information:

<http://www.strengtheningfamiliesprogram.org>

Program Description: SFP is a family skills training program designed to increase resilience and reduce risk factors for behavioral, emotional, academic, and social problems in children. SFP comprises three life-skills courses delivered in 14 weekly, 2-hour sessions. The Parenting Skills sessions are designed to help parents learn to increase desired behaviors in children by using attention and rewards, clear communication, effective discipline, substance use education, problem solving, and limit setting. The Children's Life Skills sessions are designed to help children learn effective communication, understand their feelings, improve social and problem-solving skills, resist peer pressure, understand the consequences of substance use, and comply with parental rules. In the Family Life Skills sessions, families engage in structured family activities, practice therapeutic child play, conduct family meetings, learn communication skills, practice effective discipline, reinforce positive behaviors in each other, and plan family activities together.

Guiding Good Choices (GGC)

Program serves specific or general population

Specific population

Number of youth served

No data

Number of parents served

No data

Number of caregivers served

7

Program has been evaluated

Yes

Evaluation report is available

Yes

URL for evaluation report:

<http://www.nrepp.samhsa.gov/ViewIntervention.aspx?id=302>

URL for more program information:

<http://www.nrepp.samhsa.gov/ViewIntervention.aspx?id=302>

Program Description: GGC is a drug use prevention program that provides parents of children in grades 4–8 (9–14 years old) with the knowledge and skills needed to guide their children through early adolescence. It seeks to strengthen and clarify family expectations for behavior, enhance the conditions that promote bonding within the family, and teach skills that allow children to resist drug use successfully. GGC is based on research that shows that consistent, positive parental involvement is important to helping children resist substance use and other antisocial behaviors. Formerly known as Preparing for the Drug Free Years, this program was revised in 2003 with more family activities and exercises. The current intervention is a five-session curriculum that addresses preventing substance abuse in the family, setting clear family expectations regarding drugs and alcohol, avoiding trouble, managing family conflict, and strengthening family bonds. Sessions are interactive and skill based, with opportunities for parents to practice new skills and receive feedback, and use video-based vignettes to demonstrate parenting skills. Families also receive a family guide containing family activities, discussion topics, skill-building exercises, and information on positive parenting.

Sweet and Delicious to be Drug Free

Program serves specific or general population

Specific population

Number of youth served

611

Number of parents served

464

Number of caregivers served

No data

Program has been evaluated

No

Evaluation report is available

Not applicable

URL for evaluation report:

Not applicable

URL for more program information:

No data

Program Description: Sweet and Delicious to be Drug Free addresses risk factors related to underage drinking by exposing children to healthy habits. It is a Social Norms campaign facilitated in numerous Broward County public schools, grades 6–12. The campaign empowers youth to prevent or reduce alcohol consumption. Through the use of the research based Social Norms approach, a change in perception toward alcohol is created resulting in a change in behavior.

Project IMPACT

Program serves specific or general population	Specific population
Number of youth served	4,875
Number of parents served	No data
Number of caregivers served	No data
Program has been evaluated	No data
Evaluation report is available	No data
URL for evaluation report:	No data
URL for more program information:	No data

Program Description: Project IMPACT is a school-based prevention program focused on ATOD and underage drinking prevention.

Parents Who Host Lose the Most

Program serves specific or general population	General population
Number of youth served	73,000
Number of parents served	240,700
Number of caregivers served	No data
Program has been evaluated	Yes
Evaluation report is available	Yes
URL for evaluation report:	https://www.drugfreeactionalliance.org/parents-who-host/evaluation
URL for more program information:	https://www.drugfreeactionalliance.org/parents-who-host

Program Description: This public awareness program educates communities and parents about the health and safety risks of serving alcohol at teen parties. The program takes place at state and local levels, concentrating on celebratory times for youth, such as homecoming, holidays, prom, graduation and other times when underage drinking parties are prevalent. This program encourages parents and the ENTIRE community to send a unified message that teen alcohol consumption is unhealthy, unsafe, and unacceptable.

Safe Homes/Smart Parties

Program serves specific or general population	General population
Number of youth served	100,000
Number of parents served	15,000
Number of caregivers served	No data
Program has been evaluated	No data
Evaluation report is available	No data
URL for evaluation report:	No data
URL for more program information:	http://www.itsworthitguilford.org/program-overview.html

Program Description: Safe Homes/Smart Parties programs have been utilized successfully across the country since 1983. These programs give parents an opportunity to join together in providing safe, drug and alcohol-free environments for their teenagers to socialize while presenting a clear message to the town's youth. By participating in Guilford's Safe Homes/Smart Parties Program, you will be joining other parents in taking a strong stand on the issue of underage drinking and other drug use. More importantly, you will be showing your concern for the health and safety of the children in our community. When adults stick together, it goes a long way toward protecting our kids. A list of participating parents will be developed and shared on a password-protected page here on our website. Only participants will have access to this information. This will afford you the chance to identify and email a parent to ensure they are aware of the gathering planned in their home, that it will be supervised, and that it will be drug and alcohol free.

Alcohol Literacy Challenge (ALC)

Program serves specific or general population	Specific population
Number of youth served	1,375
Number of parents served	14

Number of caregivers served	No data
Program has been evaluated	Yes
Evaluation report is available	Yes
URL for evaluation report:	http://www.nrepp.samhsa.gov/ViewIntervention.aspx?id=320
URL for more program information:	http://www.nrepp.samhsa.gov/ViewIntervention.aspx?id=320

Program Description: ALC is a brief classroom-based program designed to alter alcohol expectancies and reduce the quantity and frequency of alcohol use among high school and college students. Alcohol expectancies are an individual's beliefs about the anticipated effects of alcohol use, including those that are positive (e.g., increased sociability, reduced tension) and negative (e.g., impairments to mental and behavioral functioning, increased aggressiveness or risk taking). Some of the most desired effects—the arousing, positive, and prosocial effects—are placebo effects rather than pharmacological ones. ALC aims to correct erroneous beliefs about the effects of alcohol, decreasing positive and increasing negative expectancies. These shifts in expectancies have been shown to predict lower levels of alcohol use.

New Horizon

Program serves specific or general population	Specific population
Number of youth served	2,927
Number of parents served	53
Number of caregivers served	No data
Program has been evaluated	No data
Evaluation report is available	No data
URL for evaluation report:	No data
URL for more program information:	No data

Program Description: New Horizon is a 16-session life-skills training program that focuses on topics such as communication skills, decisionmaking, ATOD education, and anger management.

Prevention Education and Information Dissemination

Program serves specific or general population	General population
Number of youth served	34,682
Number of parents served	18,471
Number of caregivers served	No data
Program has been evaluated	Yes
Evaluation report is available	No
URL for evaluation report:	Not applicable
URL for more program information:	No data

Program Description: Prevention Education and Information Dissemination is a form of prevention that allows for providers and coalitions to share knowledge and resources with the general population regarding prevention activities. Forms of prevention under this topic include community resource fairs, community engagement, health fairs, resource tables, information booths, assemblies, back-to-school fairs, and other opportunities to educate large numbers of participants in ATOD prevention materials.

Coalition Activities

Program serves specific or general population	General population
Number of youth served	15,809
Number of parents served	500
Number of caregivers served	No data
Program has been evaluated	No
Evaluation report is available	Not applicable
URL for evaluation report:	Not applicable
URL for more program information:	No data

Program Description: Anti-drug coalitions across the state are active within their communities to promote ATOD education and prevention. The activities in which coalitions participate include things such as community events and presentations, compliance check reminders, and participation in town hall meetings

Life Skills Training (LST)

Program serves specific or general population	Specific population
Number of youth served	10,509
Number of parents served	270
Number of caregivers served	No data
Program has been evaluated	Yes
Evaluation report is available	No
URL for evaluation report:	http://www.nrepp.samhsa.gov/Viewintervention.aspx?id=109
URL for more program information:	http://www.nrepp.samhsa.gov/Viewintervention.aspx?id=109

Program Description: LST is a classroom-based substance abuse prevention program for grade- and middle-school children. It is an evidence-based substance and violence prevention program. The program is intended to be taught sequentially to build on skills learned in previous lessons. Studies show that this program significantly reduces alcohol, tobacco, and marijuana use.

Educational and Counseling for High School Students (ECHO)

Program serves specific or general population	Specific population
Number of youth served	1,541
Number of parents served	474
Number of caregivers served	No data
Program has been evaluated	No data
Evaluation report is available	No data
URL for evaluation report:	No data
URL for more program information:	No data

Program Description: ECHO is an ATOD prevention program offering social support, problem identification and referral, information dissemination, educational presentations, and life skills training.

Project SUCCESS

Program serves specific or general population	Specific population
Number of youth served	2,043
Number of parents served	730
Number of caregivers served	No data
Program has been evaluated	Yes
Evaluation report is available	Yes
URL for evaluation report:	http://www.nrepp.samhsa.gov/ViewIntervention.aspx?id=71
URL for more program information:	http://www.nrepp.samhsa.gov/ViewIntervention.aspx?id=71

Program Description: Project SUCCESS (Schools Using Coordinated Community Efforts to Strengthen Students) is a selective and indicated program designed to prevent and reduce underage drinking and substance abuse.

Additional Underage Drinking Prevention Programs Operated or Funded by the State

Program description: Active Parenting Now—An evidence-based practice addressing youth underage drinking
 Project Northland—The Project Northland prevention education programs are outcome-based, SAMHSA- and NREPP-certified curriculums proven to be effective in the delay of first use of tobacco, alcohol, and other drugs.
 Teen Intervene Group Process—Designed specifically for youth who are experiencing mild to moderate problems associated with alcohol or other drug use. The program provides education, support, and guidance for teens and their parents.

Additional Clarification

No data

Additional Information Related to Underage Drinking Prevention Programs

State collaborates with federally recognized tribal governments in the prevention of underage drinking No

Description of collaboration: Not applicable

State has programs to measure and/or reduce youth exposure to alcohol advertising and marketing Yes

Description of program: Environmental scans are done throughout the state to ensure that vendors who sell alcohol do not target youth or sell alcohol to youth. Additionally, environmental strategies such as media campaigns are held to make parents, educators, and community members aware of the dangers of exposing youth to alcohol.

State has adopted or developed best practice standards for underage drinking prevention programs No

Agencies/organizations that established best practices standards:

Federal agency(ies): Not applicable

Agency(ies) within your state: Not applicable

Nongovernmental agency(ies): Not applicable

Other: Not applicable

Best practice standards description: Not applicable

Additional Clarification

No data

State Interagency Collaboration

A state-level interagency governmental body/committee exists to coordinate or address underage drinking prevention activities Yes

Committee contact information:

Name: Kathleen Roberts

Email: kathleen.roberts@myflfamilies.com

Address: Department of Children and Families, Office of Substance Abuse and Mental Health, 1317 Winewood Blvd., Building 6, Tallahassee, FL 32399

Phone: 850-597-1471

Agencies/organizations represented on the committee:

Department of Children and Families

Florida Alcohol and Drug Abuse Association

Florida Coalition Alliance

Big Bend Community Based Care

Central Florida Behavioral Health Network

Southeast Florida Behavioral Health Network

Broward Behavioral Health Coalition

Central Florida Cares Health System

Lutheran Services Florida-Jacksonville

South Florida Behavioral Health Network

A website or other public source exists to describe committee activities No

URL or other means of access: Not applicable

Underage Drinking Reports

State has prepared a plan for preventing underage drinking in the last 3 years Not sure

Prepared by: Not applicable

Plan can be accessed via: Not applicable

State has prepared a report on preventing underage drinking in the last 3 years Not sure

Prepared by: Not applicable

Plan can be accessed via: Not applicable

Additional Clarification

No data

State Expenditures for the Prevention of Underage Drinking

Compliance checks in retail outlets:

Estimate of state funds expended	Data not available
Estimate based on the 12 months ending	Data not available

Checkpoints and saturation patrols:

Estimate of state funds expended	Data not available
Estimate based on the 12 months ending	Data not available

Community-based programs to prevent underage drinking:

Estimate of state funds expended	\$ 1,030,086.91
Estimate based on the 12 months ending	12/31/2014

K-12 school-based programs to prevent underage drinking:

Estimate of state funds expended	\$ 6,833,217.40
Estimate based on the 12 months ending	12/31/2014

Programs targeted to institutes of higher learning:

Estimate of state funds expended	Data not available
Estimate based on the 12 months ending	Data not available

Programs that target youth in the juvenile justice system:

Estimate of state funds expended	Data not available
Estimate based on the 12 months ending	Data not available

Programs that target youth in the child welfare system:

Estimate of state funds expended	Data not available
Estimate based on the 12 months ending	Data not available

Other programs:

Programs or strategies included	Data not available
Estimate of state funds expended	Data not available
Estimate based on the 12 months ending	Data not available

Funds Dedicated to Underage Drinking

State derives funds dedicated to underage drinking from the following revenue streams:

Taxes	No
Fines	No
Fees	No
Other	Not applicable

Description of funding streams and how they are used:

Not applicable

Additional Clarification

No data



Georgia

State Population: 10,097,343

Population Ages 12–20: 1,254,000

	Percentage	Number
Ages 12–20		
Past-Month Alcohol Use	19.7	247,000
Past-Month Binge Alcohol Use	12.0	150,000
Ages 12–14		
Past-Month Alcohol Use	3.2	13,000
Past-Month Binge Alcohol Use	1.3	5,000
Ages 15–17		
Past-Month Alcohol Use	18.3	75,000
Past-Month Binge Alcohol Use	10.8	44,000
Ages 18–20		
Past-Month Alcohol Use	37.6	159,000
Past-Month Binge Alcohol Use	23.8	100,000
Alcohol-Attributable Deaths (under 21)		149
Years of Potential Life Lost (under 21)		9,030
	Percentage of All Traffic Fatalities	Number
Traffic Fatalities, 15- to 20-Year-Old Drivers with BAC > 0.01	12	19

Laws Addressing Minors in Possession of Alcohol

Underage Possession	
Is underage possession of alcoholic beverages prohibited?	Yes
Are there exceptions based on family relationships?	
• Is possession allowed if parent or guardian is present or consents?	Yes, in specified locations – See below
• Is possession allowed if spouse is present or consents?	No
Is there an exception based on location?	Yes, in parent/guardian's home only if parent/guardian is present or consents

Underage Consumption	
Is underage consumption of alcoholic beverages prohibited?	No law
Are there exceptions based on family relationships?	
• Is consumption allowed if the parent or guardian is present or consents?	N/A
• Is consumption allowed if the spouse is present or consents?	N/A
Is there an exception based on location?	N/A

Underage Internal Possession	
Is underage internal possession of alcoholic beverages prohibited?	No law
Are there exceptions based on family relationships?	
• Is internal possession allowed if the parent or guardian is present or consents?	N/A
• Is internal possession allowed if the spouse is present or consents?	N/A
Is there an exception based on location?	N/A

Underage Purchase and Attempted Purchase	
Is the purchase of alcoholic beverages prohibited?	Yes
May youth purchase for law enforcement purposes?	No

False Identification for Obtaining Alcohol	
Provisions Targeting Minors	
Is the use of false identification (ID) prohibited?	Yes
Does the use of a false ID result in minor's driver's license suspension?	Yes, through a judicial process
Provisions Targeting Suppliers	
Is the lending or transferring or selling of a false ID prohibited?	No
Is the production of a false ID in the context of underage alcohol sales specifically prohibited?	No
Retailer Support Provisions	
Is there an incentive for the retailer to use electronic scanners for information digitally encoded on valid IDs?	No
Are state driver's licenses for persons under 21 easily distinguishable from licenses for persons 21 and over?	Yes
May retailers seize apparently false IDs without fear of prosecution even if the ID is ultimately deemed valid?	Yes
Does an affirmative defense exist for the retailer?	Yes

• Is it a specific affirmative defense (retailer reasonably believed ID was valid after examining it)?	Yes
• Is it a general affirmative defense (retailer reasonably believed purchaser was over 21)?	No
Does the retailer have the right to sue the minor for use of a false ID?	No
May a retailer detain a minor who used a false ID?	No

Laws Targeting Underage Drinking and Driving

Youth Blood Alcohol Concentration Limits (Underage Operators of Noncommercial Motor Vehicles)	
What is the maximum blood alcohol concentration (BAC) limit for an underage driver of a motor vehicle?	0.02
Does a BAC level in excess of limit automatically establish a violation (per se violation)?	Yes
What is the minimum age to which the limit applies?	0
What is the maximum age to which the limit applies?	21

Loss of Driving Privileges for Alcohol Violations by Minors (“Use/Lose” Laws)	
Is there a “use/lose” law that suspends or revokes a minor’s driving privileges for alcohol violations?	Yes
What types of violation lead to license suspension or revocation?	
• Purchase of alcohol	Yes
• Possession of alcohol	No
• Consumption of alcohol	No
The law applies to people under what age?	21
Is suspension or revocation mandatory or discretionary?	Mandatory
What is the length of suspension/revocation?	
Minimum number of days	180
Maximum number of days	180

Graduated Driver’s Licenses	
Learner Stage	
What is the minimum age for permit to drive with parents, guardians or other adults (other than instructors)?	15
What is the minimum number of months driver must hold learner permit before advancing to intermediate stage?	12
What is the minimum number of hours of driving with parents, guardians, or adults before advancing to intermediate stage?	40 (6 of which must be at night)
Intermediate Stage	
What is the minimum age for driving without adult supervision?	16
For night driving, when does adult supervision requirement begin?	12 am
Can law enforcement stop a driver for night-driving violation as a primary offense?	No – Officer must stop driver for another offense to cite for night-driving violation
Are there restrictions on passengers?	Yes – First 6 months, immediate family only. Second 6 months, no more than one passenger under 21 who is not immediate

	family. After 1 year, no more than three passengers under 21 who are not immediate family.
Can law enforcement stop driver for violation of passenger restrictions as a primary offense?	No – Officer must stop driver for another offense to cite for passenger restriction violation
License Stage	
What is the minimum age for full license privileges and lifting of restrictions?	18

Laws Targeting Alcohol Suppliers

Furnishing Alcohol to Minors	
Is furnishing of alcoholic beverages to minors prohibited?	Yes
Are there exceptions based on family relationships?	
• Is furnishing allowed if the parent or guardian supplies the alcohol?	Yes in specified locations
• Is furnishing allowed if the spouse supplies the alcohol?	No
Is there an exception based on location?	Yes, in parent/guardian's home only if parent/guardian supplies alcohol
Affirmative Defense for Sellers and Licensees	
Does law require seller/licensee to be exonerated of furnishing to a minor if the minor has not been charged?	No

Compliance Check Protocols	
Does the state have a written protocol for when an underage decoy is used in compliance checks?	Yes
What is the minimum age a decoy may be to participate in a compliance check?	17
What is the maximum age a decoy may be to participate in a compliance check?	20
What are the decoy's appearance requirements?	Not specified
Does decoy carry ID during compliance check?	Prohibited (except to obtain admission to facility)
May decoy verbally exaggerate his or her actual age?	Prohibited
Is decoy training mandated, recommended, prohibited, or not specified?	Not specified

Penalty Guidelines for Sales to Minors	
Are there written guidelines for penalties imposed on retailers for furnishing to a minor?	No
What is the time period for defining second, third, and subsequent offenses?	N/A
What is the penalty for the first offense?	N/A
What is the penalty for the second offense?	N/A
What is the penalty for the third offense?	N/A
What is the penalty for the fourth offense?	N/A

Responsible Beverage Service (RBS)	
Is there a state law pertaining to beverage service training?	No law
If training is mandatory, who must participate?	N/A
If training is voluntary, which of the following incentives are offered?	
• Defense in dram shop liability lawsuits	N/A
• Discounts in dram shop liability insurance, license fees, or other	N/A
• Mitigation of fines or other administrative penalties for sales to minors or intoxicated persons	N/A
• Protection against license revocation for sales to minors or sales to intoxicated persons	N/A
Does the RBS law apply to on-premises establishments (such as bars and restaurants) or off-premises establishments (such as liquor stores)?	N/A
Does the RBS law apply to new or existing licensees?	N/A

Minimum Age for Sellers of Alcohol – Off-Premises (i.e., Liquor Stores)	
What is the minimum age requirement for off-premises retail establishments?	
Beer	None
Wine	None
Spirits	None
Does a manager or supervisor have to be present?	No

Minimum Age for Alcohol Servers and Bartenders – On-Premises (i.e., Restaurants and Bars)	
What is the minimum age requirement for servers in on-premises establishments?	
Beer	18
Wine	18
Spirits	18
What is the minimum age requirement for bartenders in on-premises establishments?	
Beer	18
Wine	18
Spirits	18
Does a manager or supervisor have to be present?	No

Alcohol Outlet Siting Near Schools and Universities	
Colleges and Universities	
Is there a distance requirement for off-premises outlets (i.e., liquor stores)?	Yes, within 100 yards for wine and beer; within 200 yards for spirits. Local government has the authority to override state restrictions for wine and beer for grocery stores.
Is there a distance requirement for on-premises outlets (i.e., restaurants and bars)?	Yes, within 100 yards for wine and beer; within 200 yards for spirits. Local government has authority to override state restrictions.
To which alcohol products does requirement apply?	Beer, wine, spirits
<i>Note:</i> Exceptions are hotels of more than 50 rooms and bona fide private clubs.	
Primary and Secondary Schools	
Is there a distance requirement for off-premises outlets (i.e., liquor stores)?	Yes, within 100 yards for wine and beer; within 200 yards for spirits.

Is there a distance requirement for on-premises outlets (i.e., restaurants and bars)	Yes, within 100 yards for wine and beer; within 200 yards for spirits. Local government has authority to override state restrictions.
To which alcohol products does requirement apply?	Beer, wine, spirits
<i>Note:</i> Exceptions are hotels of more than 50 rooms and bona fide private clubs.	

Dram Shop Liability	
Does a statute create dram shop liability?	Yes
Does the statute limit damages that may be recovered?	No
Does the statute limit who may be sued?	No
Does the statute limit elements or standards of proof?	Yes (furnishing with knowledge that customer was a minor and would soon be operating a motor vehicle)
Does common law dram shop liability exist?	No

Social Host Liability	
Does a statute create social host liability?	Yes
Does the statute limit damages that may be recovered?	No
Does the statute limit who may be sued?	No
Does the statute limit elements or standards of proof?	Yes (furnishing with knowledge that customer was a minor and would soon be operating a motor vehicle)
Does common law social host liability exist?	No

Prohibitions Against Hosting Underage Drinking Parties	
Does a statute prohibit hosting underage drinking parties?	No
Is the statute specific to underage parties, or a general prohibition against permitting underage drinking on the property?	N/A
What action by underage guest triggers a violation?	N/A
Property type covered by the law?	N/A
What level of knowledge by the host is required?	N/A
Does host's preventive action protect him/her from being held liable?	N/A
Are there any exceptions for underage guests?	N/A

Retailer Interstate Shipments of Alcohol	
Are out-of-state retailers prohibited from sending interstate shipments to in-state consumers?	
Beer	Yes
Wine	Yes
Spirits	Yes

Direct Shipments/Sales	
May alcohol producers ship directly to consumers?	Yes
What alcohol types may be shipped?	Wine
Must purchaser make mandatory trip to producer before delivery is authorized?	No
Age verification requirements	
Must the producer/shipper verify purchaser's age before sale?	Yes

Must the common carrier (deliverer) verify age of recipients?	No
State approval/permit requirements	
Must the producer/manufacturer obtain state license or permit?	Yes
Must the common carrier (deliverer) be approved by a state agency?	No
Recording/reporting requirements	
Must the producer/manufacturer record/report purchaser's name?	Yes
Must the common carrier (deliverer) record/report recipient's name?	No
Shipping label requirements	
Must the label state "Package contains alcohol"?	Yes
Must the label state "Recipient must be 21 years old"?	Yes
<p><i>Note:</i> Wineries that hold a federal basic wine manufacturing permit, regardless of whether they are licensed by the state of Georgia, may also ship wines directly to consumers. The consumer must purchase the wine while physically present on the premises of the winery, and the winery must verify that the consumer is of the age to do so.</p>	

Keg Registration	
How is a keg defined (in gallons)?	More than 2.00
Prohibitions	
Is it illegal to possess an unregistered or unlabeled keg and if so, what is the penalty?	Yes (maximum fine/jail, \$1,000/12 months)
Is it illegal to destroy the label on a keg, and if so, what is the penalty?	Yes (maximum fine/jail, \$1,000/12 months)
What purchaser information is collected?	
Must the retailer collect the name and address?	Yes
Must the retailer collect the ID number, name and address on license or other government information?	Yes
Must the retailer collect the address at which keg will be consumed?	Yes
Must warning information be given to purchaser?	Yes, active (requires an action by purchaser)
Is a deposit required?	No
Does law cover disposable kegs?	No
<p><i>Note:</i> Although Georgia does not require a retailer to record the number of a keg purchaser's ID, it does require the retailer to record the form of ID presented by the purchaser, as well as the purchaser's name, address, and date of birth.</p>	

Home Delivery	
Is home delivery of alcohol permitted?	
Beer	No
Wine	No
Spirits	No

High-Proof Grain Alcohol Beverages	
Are there restrictions on the sale of high-proof grain alcohol beverages?	No
Are restrictions based on Alcohol by Volume (ABV)?	N/A
Are there exceptions to restrictions?	N/A

Laws Affecting Alcohol Pricing

Alcohol Taxes	
Beer	
Control system for beer?	No
Specific excise tax per gallon for 5% alcohol beer	\$1.01
Ad valorem excise tax (for on-premises sales) on total receipts for 5% alcohol beer	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Ad valorem excise tax (for off-premises sales) on total receipts for 5% alcohol beer	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Additional taxes for 3.2–6% alcohol beer (if applicable)	
<i>Note: \$0.32 per gallon for malt beverages sold in barrels or bulk containers containing not more than 31 gallons, and \$0.39 per gallon on barrels or bulk containers of 15.5 gallons or less.</i>	
Wine	
Control system for wine?	No
Specific excise tax per gallon for 12% alcohol wine	\$0.42
Ad valorem excise tax (for on-premises sales) on total receipts for 12% alcohol wine	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Ad valorem excise tax (for off-premises sales) on total receipts for 12% alcohol wine	
Wholesale tax rate (if applicable)	

Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Additional taxes for 6–14% alcohol wine (if applicable)	Georgia imposes an additional tax of \$1.10 per gallon on "importation for use, consumption, or final delivery" into the state of all wines with an alcohol content of 14% or less.
Spirits	
Control system for spirits?	No
Specific excise tax per gallon for 40% alcohol spirits	\$1.89
Ad valorem excise tax (for on-premises sales) on total receipts for 40% alcohol spirits	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Ad valorem excise tax (for off-premises sales) on total receipts for 40% alcohol spirits	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Additional taxes for 15–50% alcohol spirits (if applicable)	
<i>Note: Georgia imposes an additional tax of \$1.89 per gallon on the "importation for use, consumption, or final delivery" into the state of all distilled spirits.</i>	

Low-Price, High-Volume Drink Specials	
What types of drink specials are prohibited by on-premises retailers?	
Free beverages	No
Multiple servings at one time	No
Multiple servings for same price as single serving	No
Reduced price for a specified day or time (i.e., happy hours)	No
Unlimited beverages for fixed price	No
Increased volume without increase in price	No

Wholesaler Pricing Restrictions	
Beer	
Are volume discounts to retailers allowed?	No law
Must wholesalers establish a minimum markup or maximum discount for each product sold to retailers?	No law
Must wholesalers publicly post and hold (i.e., not reduce) prices for a set period of time?	Post and hold (180 days)
Is wholesaler permitted to extend credit to retailer and if so, what is the maximum time period?	No
Wine	
Are volume discounts to retailers allowed?	No law
Must wholesalers establish a minimum markup or maximum discount for each product sold to retailers?	No law
Must wholesalers publicly post and hold (i.e., not reduce) prices for a set period of time?	No law
Is wholesaler permitted to extend credit to retailer and if so, what is the maximum time period?	No
Spirits	
Are volume discounts to retailers allowed?	No law
Must wholesalers establish a minimum markup or maximum discount for each product sold to retailers?	No law
Must wholesalers publicly post and hold (i.e., not reduce) prices for a set period of time?	Post and hold (14 days)
Is wholesaler permitted to extend credit to retailer and if so, what is the maximum time period?	No
<i>Note: With respect to purchases of beer, if retailer owns more than one business and payment is made from a central office, credit may be extended for a period not to exceed 5 days after delivery and invoice.</i>	

Georgia State Survey Responses

State Agency Information

Agency with primary responsibility for enforcing underage drinking laws:

Georgia Department of Revenue, Alcohol and Tobacco Division

Enforcement Strategies

State law enforcement agencies use:

Cops in Shops	No
Shoulder Tap Operations	No
Party Patrol Operations or Programs	No
Underage Alcohol-Related Fatality Investigations	No

Local law enforcement agencies use:

Cops in Shops	No
Shoulder Tap Operations	Yes
Party Patrol Operations or Programs	Yes
Underage Alcohol-Related Fatality Investigations	No

State has a program to investigate and enforce direct sales/shipment laws

Yes

Primary state agency responsible for enforcing laws addressing direct sales/shipments of alcohol to minors

Georgia Department of Revenue, Alcohol and Tobacco Division

Such laws are also enforced by local law enforcement agencies

No

Enforcement Statistics

State collects data on the number of minors found in possession

No

Number of minors found in possession by state law enforcement agencies

Not applicable

Number pertains to the 12 months ending

Not applicable

Data include arrests/citations issued by local law enforcement agencies

Not applicable

State conducts underage compliance checks/decoy operations² to determine if alcohol retailers are complying with laws prohibiting sales to minors

Yes

Data are collected on these activities

Yes

Number of retail licensees in state³

19,787

Number of licensees checked for compliance by state agencies

3,655

(including random checks)

Number of licensees that failed state compliance checks

235

Numbers pertain to the 12 months ending

6/30/2015

Compliance checks/decoy operations conducted at on-sale, off-sale, or both retail establishments

Both on- and off-sale establishments

State conducts **random** underage compliance checks/decoy operations

Yes

Number of licensees subject to **random** state compliance checks/decoy operations

3,655

Number of licensees that failed **random** state compliance checks

235

Local agencies conduct underage compliance checks/decoy operations to determine if alcohol retailers are complying with laws prohibiting sales to minors

Yes

Data are collected on these activities

No

Number of licensees checked for compliance by local agencies

Not applicable

Number of licensees that failed local compliance checks

Not applicable

Numbers pertain to the 12 months ending

Not applicable

Sanctions

State collects data on fines imposed on retail establishments that furnish minors

Yes

Number of fines imposed by the state⁴

235

Total amount in fines across all licensees

\$69,200

Smallest fine imposed

\$0

Largest fine imposed	\$2,400
Numbers pertain to the 12 months ending	6/30/2015
<i>State collects data on license suspensions imposed on retail establishments specifically for furnishing minors</i>	
	Yes
Number of suspensions imposed by the state ⁵	4
Total days of suspensions across all licensees	8
Shortest period of suspension imposed (in days)	2
Longest period of suspension imposed (in days)	2
Numbers pertain to the 12 months ending	6/30/2015
<i>State collects data on license revocations imposed on retail establishments specifically for furnishing minors</i>	
	Yes
Number of license revocations imposed ⁶	0
Numbers pertain to the 12 months ending	6/30/2015

Additional Clarification

The Georgia Department of Revenue, Alcohol and Tobacco Division, does not collect date or track fines on local enforcement actions. This agency tracks regulatory fines issued to businesses based on enforcement actions initiated by the agency.

¹ Or having consumed or purchased per state statutes.

² Underage compliance checks/decoy operations to determine whether alcohol retailers are complying with laws prohibiting sales to minors.

³ Excluding special licenses such as temporary, seasonal, and common carrier licenses.

⁴ Does not include fines imposed by local agencies.

⁵ Does not include suspensions imposed by local agencies.

⁶ Does not include revocations imposed by local agencies.

Underage Drinking Prevention Programs Operated or Funded by the State

Alcohol Prevention Project (APP)

Program serves specific or general population	General population
Number of youth served	Not applicable
Number of parents served	Not applicable
Number of caregivers served	Not applicable
Program has been evaluated	Yes
Evaluation report is available	No
URL for evaluation report:	Not applicable
URL for more program information:	http://www.ga-sps.org

Program Description: To address the negative impact of alcohol use in Georgia, the state Office of Behavioral Health Prevention has developed APP. This project aims to effect population-level change of behaviors and trends of alcohol use and abuse among youth and young adults ages 9–25. APP will use the SAMHSA/CSAP Strategic Prevention Framework model to develop and implement strategies aimed at population-level change using the public health model approach. The objective of this initiative is to implement statewide primary prevention strategies (programs/practices/policies) consistent with needs as identified by epidemiological data, with the following goals:

1. Reduce the early onset of alcohol use among 9- to 20-year-olds
2. Reduce access to alcohol and binge drinking among 9- to 20-year-olds
3. Reduce binge drinking and heavy drinking among 18- to 25-year-olds

There are currently 37 providers with 50 contracts across the state completing this initiative.

Additional Underage Drinking Prevention Programs Operated or Funded by the State

Program description: No data

Additional Clarification

No data

Additional Information Related to Underage Drinking Prevention Programs	
<i>State collaborates with federally recognized tribal governments in the prevention of underage drinking</i>	No recognized tribal governments
Description of collaboration: Not applicable	
<i>State has programs to measure and/or reduce youth exposure to alcohol advertising and marketing</i>	No
Description of program: Not applicable	
<i>State has adopted or developed best practice standards for underage drinking prevention programs</i>	Yes
Agencies/organizations that established best practices standards:	
Federal agency(ies): U.S. Department of Health and Human Services	Yes
Agency(ies) within your state: Department of Behavioral Health and Developmental Disabilities, Georgia State University	Yes
Nongovernmental agency(ies):	No
Other:	No
Best practice standards description: By incorporating the Strategic Prevention Framework (SPF) into alcohol initiative, the Office of Behavioral Health Prevention (OBHP) became strategic about prevention services and programs being provided in Georgia and increased utilization of evidence-based programs, practices, and policies. This allows OBHP to target our services, show outcomes in our communities, and ensure long-term sustainability of evidence-based substance abuse/use prevention efforts. This model requires target communities to develop and implement strategies aimed at population-level change using the public health model approach. By adopting the SPF process and the public health model, target communities use a comprehensive approach to develop and implement sustainable outcome-based prevention strategies. OBHP also utilizes the <i>Surgeon General's Call To Action</i> to assist in continuing to develop best practice standards.	
Additional Clarification	
No data	
State Interagency Collaboration	
<i>A state-level interagency governmental body/committee exists to coordinate or address underage drinking prevention activities</i>	Yes
<i>Committee contact information:</i>	
Name: Donna Dent	
Email: donna.dent@dbhdd.ga.gov	
Address: 2 Peachtree St., Atlanta, GA 30303	
Phone: 404-463-9780	
<i>Agencies/organizations represented on the committee:</i>	
Department of Behavioral Health and Developmental Disabilities	
The Council on Alcohol and Drugs	
Maternal Substance Abuse and Child Development Project, Emory University	
Georgia State University	
Clinic for Education, Treatment, and Prevention of Addiction, Inc. (CETPA)	
Georgia Department of Revenue, Alcohol and Tobacco Division	
Carl Vinson Institute of Government, University of Georgia	
<i>A website or other public source exists to describe committee activities</i>	No
URL or other means of access:	Not applicable
Underage Drinking Reports	
<i>State has prepared a plan for preventing underage drinking in the last 3 years</i>	Yes
Prepared by: Department of Behavioral Health and Developmental Disabilities/Office of Behavioral Health Prevention	
Plan can be accessed via: http://www.ga-sps.org	
<i>State has prepared a report on preventing underage drinking in the last 3 years</i>	No
Prepared by: Not applicable	
Plan can be accessed via: Not applicable	

Additional Clarification

No data

State Expenditures for the Prevention of Underage Drinking

Compliance checks in retail outlets:

Estimate of state funds expended	\$146,200
Estimate based on the 12 months ending	6/30/2015

Checkpoints and saturation patrols:

Estimate of state funds expended	Data not available
Estimate based on the 12 months ending	Data not available

Community-based programs to prevent underage drinking:

Estimate of state funds expended	\$0
Estimate based on the 12 months ending	9/30/2015

K–12 school-based programs to prevent underage drinking:

Estimate of state funds expended	\$0
Estimate based on the 12 months ending	9/30/2015

Programs targeted to institutes of higher learning:

Estimate of state funds expended	\$0
Estimate based on the 12 months ending	9/30/2015

Programs that target youth in the juvenile justice system:

Estimate of state funds expended	\$0
Estimate based on the 12 months ending	9/30/2015

Programs that target youth in the child welfare system:

Estimate of state funds expended	\$0
Estimate based on the 12 months ending	9/30/2015

Other programs:

Programs or strategies included	No data
Estimate of state funds expended	\$0
Estimate based on the 12 months ending	09/30/2015

Funds Dedicated to Underage Drinking

State derives funds dedicated to underage drinking from the following revenue streams:

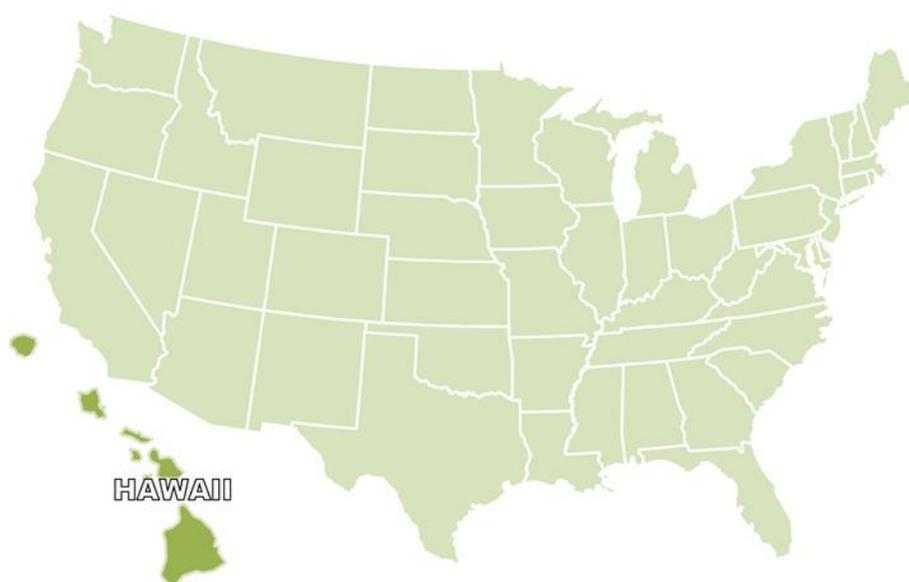
Taxes	No
Fines	No
Fees	No
Other	No data

Description of funding streams and how they are used: Not applicable

Additional Clarification

To address the negative impact of alcohol use in Georgia, the State Office of Behavioral Health Prevention (OBHP) has developed the Alcohol Prevention Project (APP) initiative utilizing SAMHSA Substance Abuse Prevention and Treatment (SAPT) Block Grant funding. This initiative aims to impact population-level change of behaviors and trends of alcohol use and abuse among youth and young adults ages 9–25. APP will use the SPF model to develop and implement strategies aimed at population-level change using the public health model approach. The objective of this initiative is to implement statewide primary prevention strategies (programs/practices/policies) that are consistent with needs as identified by epidemiological data, with the following goals:

1. Reduce the early onset of alcohol use among 9- to 20-year-olds
2. Reduce access to alcohol and binge drinking among 9- to 20-year-olds
3. Reduce binge drinking and heavy drinking among 18- to 25-year-olds



Hawaii

State Population: 1,419,561
Population Ages 12–20: 147,000

	Percentage	Number
Ages 12–20		
Past-Month Alcohol Use	21.6	32,000
Past-Month Binge Alcohol Use	13.9	20,000
Ages 12–14		
Past-Month Alcohol Use	4.4	2,000
Past-Month Binge Alcohol Use	2.4	1,000
Ages 15–17		
Past-Month Alcohol Use	20.7	10,000
Past-Month Binge Alcohol Use	12.5	6,000
Ages 18–20		
Past-Month Alcohol Use	39.6	20,000
Past-Month Binge Alcohol Use	26.7	13,000
Alcohol-Attributable Deaths (under 21)		11
Years of Potential Life Lost (under 21)		680
	Percentage of All Traffic Fatalities	Number
Traffic Fatalities, 15- to 20-Year-Old Drivers with BAC > 0.01	41	3

Laws Addressing Minors in Possession of Alcohol

Underage Possession	
Is underage possession of alcoholic beverages prohibited?	Yes
Are there exceptions based on family relationships?	
• Is possession allowed if parent or guardian is present or consents?	No
• Is possession allowed if spouse is present or consents?	No
Is there an exception based on location?	Yes, in any private location

Underage Consumption	
Is underage consumption of alcoholic beverages prohibited?	Yes
Are there exceptions based on family relationships?	
• Is consumption allowed if the parent or guardian is present or consents?	No
• Is consumption allowed if the spouse is present or consents?	No
Is there an exception based on location?	Yes, in any private location

Underage Internal Possession	
Is underage internal possession of alcoholic beverages prohibited?	No law
Are there exceptions based on family relationships?	
• Is internal possession allowed if the parent or guardian is present or consents?	N/A
• Is internal possession allowed if the spouse is present or consents?	N/A
Is there an exception based on location?	N/A
<p><i>Note:</i> Although Hawaii does not prohibit internal possession as defined in this report, it has a statutory provision that states that “[n]o minor shall consume or purchase liquor and no minor shall consume or have liquor in the minor’s possession or custody in any public place, public gathering, or public amusement, at any public beach or public park, or in any motor vehicle on a public highway” and that “‘consume’ or ‘consumption’ includes the ingestion of liquor.” Laws that prohibit minors from having alcohol in their bodies, but do so without reference to a blood, breath, or urine test, are not considered as prohibiting internal possession for purposes of this report.</p>	

Underage Purchase and Attempted Purchase	
Is the purchase of alcoholic beverages prohibited?	Yes
May youth purchase for law enforcement purposes?	Yes

False Identification for Obtaining Alcohol	
Provisions Targeting Minors	
Is the use of false identification (ID) prohibited?	Yes
Does the use of a false ID result in minor’s driver’s license suspension?	Yes, through a judicial process
Provisions Targeting Suppliers	
Is the lending or transferring or selling of a false ID prohibited?	No
Is the production of a false ID in the context of underage alcohol sales specifically prohibited?	No
Retailer Support Provisions	
Is there an incentive for the retailer to use electronic scanners for information digitally encoded on valid IDs?	No

Are state driver's licenses for persons under 21 easily distinguishable from licenses for persons 21 and over?	Yes
May retailers seize apparently false IDs without fear of prosecution even if the ID is ultimately deemed valid?	No
Does an affirmative defense exist for the retailer?	Yes
<ul style="list-style-type: none"> Is it a specific affirmative defense (retailer reasonably believed ID was valid after examining it)? 	No
<ul style="list-style-type: none"> Is it a general affirmative defense (retailer reasonably believed purchaser was over 21)? 	Yes
Does the retailer have the right to sue the minor for use of a false ID?	No
May a retailer detain a minor who used a false ID?	No
<p><i>Note:</i> In Hawaii, the retailer has a defense to a charge of furnishing to a minor if, in making the sale or allowing the consumption of liquor by a minor, the retailer was misled by the appearance of the minor and the attending circumstances into honestly believing that the minor was of legal age, and if the retailer can prove that he or she acted in good faith.</p>	

Laws Targeting Underage Drinking and Driving

Youth Blood Alcohol Concentration Limits (Underage Operators of Noncommercial Motor Vehicles)	
What is the maximum blood alcohol concentration (BAC) limit for an underage driver of a motor vehicle?	0.02
Does a BAC level in excess of limit automatically establish a violation (per se violation)?	Yes
What is the minimum age to which the limit applies?	0
What is the maximum age to which the limit applies?	21

Loss of Driving Privileges for Alcohol Violations by Minors ("Use/Lose" Laws) – For Ages 18–21	
Is there a "use/lose" law that suspends or revokes a minor's driving privileges for alcohol violations?	Yes
What types of violation lead to license suspension or revocation?	
<ul style="list-style-type: none"> Purchase of alcohol 	Yes
<ul style="list-style-type: none"> Possession of alcohol 	Yes
<ul style="list-style-type: none"> Consumption of alcohol 	Yes
The law applies to people under what age?	21
Is suspension or revocation mandatory or discretionary?	Mandatory
What is the length of suspension/revocation?	
Minimum number of days	180
Maximum number of days	Not specified

Loss of Driving Privileges for Alcohol Violations by Minors ("Use/Lose" Laws) – For Ages Under 18	
Is there a "use/lose" law that suspends or revokes a minor's driving privileges for alcohol violations?	Yes
What types of violation lead to license suspension or revocation?	
<ul style="list-style-type: none"> Purchase of alcohol 	Yes
<ul style="list-style-type: none"> Possession of alcohol 	Yes
<ul style="list-style-type: none"> Consumption of alcohol 	Yes
The law applies to people under what age?	18
Is suspension or revocation mandatory or discretionary?	Discretionary

What is the length of suspension/revocation?	
Minimum number of days	180
Maximum number of days	Not specified

Graduated Driver's Licenses	
Learner Stage	
What is the minimum age for permit to drive with parents, guardians or other adults (other than instructors)?	15 years, 6 months
What is the minimum number of months driver must hold learner permit before advancing to intermediate stage?	6
What is the minimum number of hours of driving with parents, guardians, or adults before advancing to intermediate stage?	50 (10 of which must be at night)
Intermediate Stage	
What is the minimum age for driving without adult supervision?	16
For night driving, when does adult supervision requirement begin?	11 pm
Can law enforcement stop a driver for night-driving violation as a primary offense?	Yes – Officer may stop driver for night-driving violation
Are there restrictions on passengers?	Yes – No more than one passenger under 18, except household members, unless accompanied by parent or guardian
Can law enforcement stop driver for violation of passenger restrictions as a primary offense?	Yes – Officer may stop driver for passenger restrictions violation
License Stage	
What is the minimum age for full license privileges and lifting of restrictions?	17

Laws Targeting Alcohol Suppliers

Furnishing Alcohol to Minors	
Is furnishing of alcoholic beverages to minors prohibited?	Yes
Are there exceptions based on family relationships?	
• Is furnishing allowed if the parent or guardian supplies the alcohol?	Yes
• Is furnishing allowed if the spouse supplies the alcohol?	No
Is there an exception based on location?	No
Affirmative Defense for Sellers and Licensees	
Does law require seller/licensee to be exonerated of furnishing to a minor if the minor has not been charged?	No

Compliance Check Protocols	
Does the state have a written protocol for when an underage decoy is used in compliance checks?	No data
What is the minimum age a decoy may be to participate in a compliance check?	N/A
What is the maximum age a decoy may be to participate in a compliance check?	N/A
What are the decoy's appearance requirements?	N/A
Does decoy carry ID during compliance check?	N/A

May decoy verbally exaggerate his or her actual age?	N/A
Is decoy training mandated, recommended, prohibited, or not specified?	N/A

Penalty Guidelines for Sales to Minors	
Are there written guidelines for penalties imposed on retailers for furnishing to a minor?	No data
What is the time period for defining second, third, and subsequent offenses?	N/A
What is the penalty for the first offense?	N/A
What is the penalty for the second offense?	N/A
What is the penalty for the third offense?	N/A
What is the penalty for the fourth offense?	N/A

Responsible Beverage Service (RBS)	
Is there a state law pertaining to beverage service training?	No law
If training is mandatory, who must participate?	N/A
If training is voluntary, which of the following incentives are offered?	
• Defense in dram shop liability lawsuits	N/A
• Discounts in dram shop liability insurance, license fees, or other	N/A
• Mitigation of fines or other administrative penalties for sales to minors or intoxicated persons	N/A
• Protection against license revocation for sales to minors or sales to intoxicated persons	N/A
Does the RBS law apply to on-premises establishments (such as bars and restaurants) or off-premises establishments (such as liquor stores)?	N/A
Does the RBS law apply to new or existing licensees?	N/A

Minimum Age for Sellers of Alcohol – Off-Premises (i.e., Liquor Stores)	
What is the minimum age requirement for off-premises retail establishments?	
Beer	18
Wine	18
Spirits	18
Does a manager or supervisor have to be present?	Yes
<i>Note:</i> Liquor can be sold by persons 18 to 20 years old only in licensed establishments where selling or serving the intoxicating liquor is part of the minor's employment, and where there is proper supervision of these minor employees to ensure the minors shall not consume the intoxicating liquor.	

Minimum Age for Alcohol Servers and Bartenders – On-Premises (i.e., Restaurants and Bars)	
What is the minimum age requirement for servers in on-premises establishments?	
Beer	18
Wine	18
Spirits	18
What is the minimum age requirement for bartenders in on-premises establishments?	
Beer	18
Wine	18
Spirits	18
Does a manager or supervisor have to be present?	Yes
<i>Note:</i> Liquor can be sold or served by persons 18 to 20 years old only in licensed establishments where selling or serving the intoxicating liquor is part of the minor's employment, and where there is	

proper supervision of these minor employees to ensure that the minors shall not consume the intoxicating liquor. Persons below age 18 may sell or serve liquor in individually specified licensed establishments found to be otherwise suitable by the liquor commission in which an approved program of job training and employment for dining room waiters and waitresses is being conducted in cooperation with the University of Hawaii, the state community college system, or a federally sponsored personnel development and training program, under arrangements that ensure proper control and supervision of employees.

Alcohol Outlet Siting Near Schools and Universities	
Colleges and Universities	
Is there a distance requirement for off-premises outlets (i.e., liquor stores)?	No
Is there a distance requirement for on-premises outlets (i.e., restaurants and bars)?	No
To which alcohol products does requirement apply?	N/A
Primary and Secondary Schools	
Is there a distance requirement for off-premises outlets (i.e., liquor stores)?	No
Is there a distance requirement for on-premises outlets (i.e., restaurants and bars)?	Yes, within 500 feet, if 40% of registered voters or property owners within area protest
To which alcohol products does requirement apply?	Beer, wine, spirits
<i>Note: Exceptions are designated resort areas and hotel or condominium hotel liquor licenses.</i>	

Dram Shop Liability	
Does a statute create dram shop liability?	No
Does the statute limit damages that may be recovered?	N/A
Does the statute limit who may be sued?	N/A
Does the statute limit elements or standards of proof?	N/A
Does common law dram shop liability exist?	Yes

Social Host Liability	
Does a statute create social host liability?	Yes
Does the statute limit damages that may be recovered?	No
Does the statute limit who may be sued?	Yes social host must be age 21 or older
Does the statute limit elements or standards of proof?	No
Does common law social host liability exist?	No

Prohibitions Against Hosting Underage Drinking Parties	
Does a statute prohibit hosting underage drinking parties?	Yes
Is the statute specific to underage parties, or a general prohibition against permitting underage drinking on the property?	General
What action by underage guest triggers a violation?	Possession
Property type covered by the law?	Residential/Outdoor/Other
What level of knowledge by the host is required?	Recklessness: Host must act with intentional disregard for

	probable consequence of actions.
Does host's preventive action protect him/her from being held liable?	No
Are there any exceptions for underage guests?	Yes – Family members

Retailer Interstate Shipments of Alcohol	
Are out-of-state retailers prohibited from sending interstate shipments to in-state consumers?	
Beer	Uncertain
Wine	Uncertain
Spirits	Uncertain
<i>Note:</i> Any adult may obtain a state permit to receive one shipment of beer, wine, or distilled spirits per year for personal use from outside the state, not to exceed 5 gallons. Only one permit is allowed per household. It is uncertain whether an out-of-state retailer may ship the alcohol directly to the permittee for his or her personal use.	

Direct Shipments/Sales	
May alcohol producers ship directly to consumers?	Yes
What alcohol types may be shipped?	Wine
Must purchaser make mandatory trip to producer before delivery is authorized?	No
Age verification requirements	
Must the producer/shipper verify purchaser's age before sale?	No
Must the common carrier (deliverer) verify age of recipients?	No
State approval/permit requirements	
Must the producer/manufacture obtain state license or permit?	Yes
Must the common carrier (deliverer) be approved by a state agency?	No
Recording/reporting requirements	
Must the producer/manufacture record/report purchaser's name?	No
Must the common carrier (deliverer) record/report recipient's name?	No
Shipping label requirements	
Must the label state "Package contains alcohol"?	Yes
Must the label state "Recipient must be 21 years old"?	Yes
<i>Note:</i> Any adult may obtain a state permit to receive one shipment of beer, wine, or distilled spirits per year for personal use from outside the state, not to exceed 5 gallons. Only one permit is allowed per household.	

Keg Registration	
How is a keg defined (in gallons)?	No law
Prohibitions	
Is it illegal to possess an unregistered or unlabeled keg and if so, what is the penalty?	No law
Is it illegal to destroy the label on a keg, and if so, what is the penalty?	No law
What purchaser information is collected?	
Must the retailer collect the name and address?	No law
Must the retailer collect the ID number, name and address on license or other government information?	No law
Must the retailer collect the address at which keg will be consumed?	No law

Must warning information be given to purchaser?	No law
Is a deposit required?	No law
Does law cover disposable kegs?	No law

Home Delivery	
Is home delivery of alcohol permitted?	
Beer	No law
Wine	No law
Spirits	No law

High-Proof Grain Alcohol Beverages	
Are there restrictions on the sale of high-proof grain alcohol beverages?	No
Are restrictions based on Alcohol by Volume (ABV)?	N/A
Are there exceptions to restrictions?	N/A

Laws Affecting Alcohol Pricing

Alcohol Taxes	
Beer	
Control system for beer?	No
Specific excise tax per gallon for 5% alcohol beer	\$0.93
Ad valorem excise tax (for on-premises sales) on total receipts for 5% alcohol beer	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Ad valorem excise tax (for off-premises sales) on total receipts for 5% alcohol beer	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Additional taxes for 3.2–6% alcohol beer (if applicable)	
<i>Note: \$0.54 per gallon for containers of 7 gallons or more</i>	
Wine	
Control system for wine?	No
Specific excise tax per gallon for 12% alcohol wine	\$1.38
Ad valorem excise tax (for on-premises sales) on total receipts for 12% alcohol wine	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant

• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Ad valorem excise tax (for off-premises sales) on total receipts for 12% alcohol wine	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Additional taxes for 6–14% alcohol wine (if applicable)	
Spirits	
Control system for spirits?	No
Specific excise tax per gallon for 40% alcohol spirits	\$5.98
Ad valorem excise tax (for on-premises sales) on total receipts for 40% alcohol spirits	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Ad valorem excise tax (for off-premises sales) on total receipts for 40% alcohol spirits	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Additional taxes for 15–50% alcohol spirits (if applicable)	

Low-Price, High-Volume Drink Specials	
What types of drink specials are prohibited by on-premises retailers?	
Free beverages	No
Multiple servings at one time	No
Multiple servings for same price as single serving	No
Reduced price for a specified day or time (i.e., happy hours)	No
Unlimited beverages for fixed price	No
Increased volume without increase in price	No

Wholesaler Pricing Restrictions	
Beer	
Are volume discounts to retailers allowed?	No law
Must wholesalers establish a minimum markup or maximum discount for each product sold to retailers?	No law

Must wholesalers publicly post and hold (i.e., not reduce) prices for a set period of time?	No law
Is wholesaler permitted to extend credit to retailer and if so, what is the maximum time period?	Yes (30 days)
Wine	
Are volume discounts to retailers allowed?	No law
Must wholesalers establish a minimum markup or maximum discount for each product sold to retailers?	No law
Must wholesalers publicly post and hold (i.e., not reduce) prices for a set period of time?	No law
Is wholesaler permitted to extend credit to retailer and if so, what is the maximum time period?	Yes (30 days)
Spirits	
Are volume discounts to retailers allowed?	No law
Must wholesalers establish a minimum markup or maximum discount for each product sold to retailers?	No law
Must wholesalers publicly post and hold (i.e., not reduce) prices for a set period of time?	No law
Is wholesaler permitted to extend credit to retailer and if so, what is the maximum time period?	Yes (30 days)

Hawaii State Survey Responses

State Agency Information

Agency with primary responsibility for enforcing underage drinking laws:

The Department of Liquor Control on each island and county police departments

Enforcement Strategies

State law enforcement agencies use:

Cops in Shops	No
Shoulder Tap Operations	No
Party Patrol Operations or Programs	No
Underage Alcohol-Related Fatality Investigations	No

Local law enforcement agencies use:

Cops in Shops	No
Shoulder Tap Operations	Yes
Party Patrol Operations or Programs	Yes
Underage Alcohol-Related Fatality Investigations	Yes

State has a program to investigate and enforce direct sales/shipment laws Yes

Primary state agency responsible for enforcing laws addressing direct sales/shipments of alcohol to minors

County of Hawaii requires approved application for direct shipment of wine by wineries and the Kauai Dept. of Liquor Control

Such laws are also enforced by local law enforcement agencies Yes

Enforcement Statistics

State collects data on the number of minors found in possession Yes

Number of minors found in possession by state law enforcement agencies 19

Number pertains to the 12 months ending 5/31/2015

Data include arrests/citations issued by local law enforcement agencies Yes

State conducts underage compliance checks/decoy operations² to determine if alcohol retailers are complying with laws prohibiting sales to minors Yes

Data are collected on these activities Yes

Number of retail licensees in state³ 870

Number of licensees checked for compliance by state agencies (including random checks) 699

Number of licensees that failed state compliance checks 71

Numbers pertain to the 12 months ending 6/20/2015

Compliance checks/decoy operations conducted at on-sale, off-sale, or both retail establishments Both on- and off-sale establishments

State conducts **random** underage compliance checks/decoy operations Yes

Number of licensees subject to **random** state compliance checks/decoy operations 665

Number of licensees that failed **random** state compliance checks 71

Local agencies conduct underage compliance checks/decoy operations to determine if alcohol retailers are complying with laws prohibiting sales to minors Yes

Data are collected on these activities Yes

Number of licensees checked for compliance by local agencies 686

Number of licensees that failed local compliance checks 86

Numbers pertain to the 12 months ending 6/15/2015

Sanctions

State collects data on fines imposed on retail establishments that furnish minors Yes

Number of fines imposed by the state⁴ 45

Total amount in fines across all licensees	\$50,500
Smallest fine imposed	\$1,000
Largest fine imposed	\$2,000
Numbers pertain to the 12 months ending	6/20/2015
<i>State collects data on license suspensions imposed on retail establishments specifically for furnishing minors</i>	Yes
Number of suspensions imposed by the state ⁵	1
Total days of suspensions across all licensees	5
Shortest period of suspension imposed (in days)	0
Longest period of suspension imposed (in days)	5
Numbers pertain to the 12 months ending	5/31/2015
<i>State collects data on license revocations imposed on retail establishments specifically for furnishing minors</i>	No data
Number of license revocations imposed ⁶	0
Numbers pertain to the 12 months ending	No data

Additional Clarification

Information provided in the enforcement section was from the County of Kauai Department of Liquor Control Board, The County of Hawaii Liquor Control Board, and the Honolulu Police Department. Liquor Control Boards of Maui and Oahu did not participate and the police departments of Kauai, Maui, and Hawaii Island did not participate. The Alcohol Compliance check reported in this survey began in May 2013 and ended on May 31, 2014. Approximately \$39,000 of the funding was provided by the State of Hawaii, Department of Health, Alcohol and Drug Abuse Division (ADAD), under the Enforcing Underage Drinking Laws (EUDL) funds. In addition, this survey includes partial stats from the State of Hawaii, Department of Transportation (DOT), Highway Safety Grant. Approximately \$17,000 has been utilized to date for Alcohol Compliance checks in the DOT grant, effective from October 31, 2014, to September 31, 2015.

- ¹ Or having consumed or purchased per state statutes.
- ² Underage compliance checks/decoy operations to determine whether alcohol retailers are complying with laws prohibiting sales to minors.
- ³ Excluding special licenses such as temporary, seasonal, and common carrier licenses.
- ⁴ Does not include fines imposed by local agencies.
- ⁵ Does not include suspensions imposed by local agencies.
- ⁶ Does not include revocations imposed by local agencies.

Underage Drinking Prevention Programs Operated or Funded by the State

Communities Mobilizing for Change on Alcohol

Program serves specific or general population	General population
Number of youth served	Not applicable
Number of parents served	Not applicable
Number of caregivers served	Not applicable
Program has been evaluated	No
Evaluation report is available	Not applicable
URL for evaluation report:	Not applicable
URL for more program information:	No data

Program Description: No data

Additional Underage Drinking Prevention Programs Operated or Funded by the State

Program description: No data

Additional Clarification

No data

Additional Information Related to Underage Drinking Prevention Programs	
<i>State collaborates with federally recognized tribal governments in the prevention of underage drinking</i>	No
Description of collaboration:	Not applicable
<i>State has programs to measure and/or reduce youth exposure to alcohol advertising and marketing</i>	No
Description of program:	Not applicable
<i>State has adopted or developed best practice standards for underage drinking prevention programs</i>	No
Agencies/organizations that established best practices standards:	
Federal agency(ies):	Not applicable
Agency(ies) within your state:	Not applicable
Nongovernmental agency(ies):	Not applicable
Other:	Not applicable
Best practice standards description:	Not applicable
Additional Clarification	
No data	
State Interagency Collaboration	
<i>A state-level interagency governmental body/committee exists to coordinate or address underage drinking prevention activities</i>	Yes
<i>Committee contact information:</i>	
Name: Cynthia Okazaki	
Email: kcfccokazaki@pacthawaii.org	
Address: King Intermediate School, 46-155 Kamehameha Hwy., Kaneohe, HI 96744	
Phone: 808-235-7747	
<i>Agencies/organizations represented on the committee:</i>	
Parents and Children Together	
Department of the Attorney General	
County Liquor Control Board	
University of Hawaii at Manoa	
Maui Economic Opportunity	
Coalition for Drug Free Hawaii	
Department of Health	
Alu Like, Inc.	
Hina Mauka	
Child and Family Service	
County Police Departments	
City and County of Honolulu	
<i>A website or other public source exists to describe committee activities</i>	No
URL or other means of access:	Not applicable
Underage Drinking Reports	
<i>State has prepared a plan for preventing underage drinking in the last 3 years</i>	No
Prepared by:	Not applicable
Plan can be accessed via:	Not applicable
<i>State has prepared a report on preventing underage drinking in the last 3 years</i>	No
Prepared by:	Not applicable
Plan can be accessed via:	Not applicable
Additional Clarification	
No data	
State Expenditures for the Prevention of Underage Drinking	
<i>Compliance checks in retail outlets:</i>	
Estimate of state funds expended	\$56,000

Estimate based on the 12 months ending	6/15/2015
<i>Checkpoints and saturation patrols:</i>	
Estimate of state funds expended	Data not available
Estimate based on the 12 months ending	Data not available
<i>Community-based programs to prevent underage drinking:</i>	
Estimate of state funds expended	Data not available
Estimate based on the 12 months ending	Data not available
<i>K-12 school-based programs to prevent underage drinking:</i>	
Estimate of state funds expended	Data not available
Estimate based on the 12 months ending	Data not available
<i>Programs targeted to institutes of higher learning:</i>	
Estimate of state funds expended	Data not available
Estimate based on the 12 months ending	Data not available
<i>Programs that target youth in the juvenile justice system:</i>	
Estimate of state funds expended	Data not available
Estimate based on the 12 months ending	Data not available
<i>Programs that target youth in the child welfare system:</i>	
Estimate of state funds expended	Data not available
Estimate based on the 12 months ending	Data not available
<i>Other programs:</i>	
Programs or strategies included	Data not available
Estimate of state funds expended	Data not available
Estimate based on the 12 months ending	Data not available

Funds Dedicated to Underage Drinking

State derives funds dedicated to underage drinking from the following revenue streams:

Taxes	No
Fines	No
Fees	No
Other	Not applicable

Description of funding streams and how they are used: Not applicable

Additional Clarification

No data



Idaho

State Population: 1,634,464

Population Ages 12–20: 208,000

	Percentage	Number
Ages 12–20		
Past-Month Alcohol Use	17.9	37,000
Past-Month Binge Alcohol Use	11.5	24,000
Ages 12–14		
Past-Month Alcohol Use	3.2	2,000
Past-Month Binge Alcohol Use	1.2	1,000
Ages 15–17		
Past-Month Alcohol Use	19.3	13,000
Past-Month Binge Alcohol Use	12.1	8,000
Ages 18–20		
Past-Month Alcohol Use	32.5	22,000
Past-Month Binge Alcohol Use	22	15,000
Alcohol-Attributable Deaths (under 21)		22
Years of Potential Life Lost (under 21)		1,376
	Percentage of All Traffic Fatalities	Number
Traffic Fatalities, 15- to 20-Year-Old Drivers with BAC > 0.01	30	8

Laws Addressing Minors in Possession of Alcohol

Underage Possession	
Is underage possession of alcoholic beverages prohibited?	Yes
Are there exceptions based on family relationships?	
• Is possession allowed if parent or guardian is present or consents?	Yes, in specified locations – See below
• Is possession allowed if spouse is present or consents?	No
Is there an exception based on location?	Yes, in private residence if parent/guardian is present or consents
<i>Note:</i> Idaho's exceptions relate specifically to the possession of beer or wine.	

Underage Consumption	
Is underage consumption of alcoholic beverages prohibited?	Yes
Are there exceptions based on family relationships?	
• Is consumption allowed if the parent or guardian is present or consents?	No
• Is consumption allowed if the spouse is present or consents?	No
Is there an exception based on location?	No

Underage Internal Possession	
Is underage internal possession of alcoholic beverages prohibited?	No law
Are there exceptions based on family relationships?	
• Is internal possession allowed if the parent or guardian is present or consents?	N/A
• Is internal possession allowed if the spouse is present or consents?	N/A
Is there an exception based on location?	N/A
<i>Note:</i> Although Idaho does not prohibit internal possession as defined in this report, it has a statutory provision that makes it unlawful “[f]or any person under the age of twenty-one (21) years to purchase, attempt to purchase, possess, serve, dispense, or consume beer, wine or other alcoholic liquor” such that “[a] person shall also be deemed to “possess” alcohol that has been consumed by the person, without regard to the place of consumption.” Laws that prohibit minors from having alcohol in their bodies, but do so without reference to a blood, breath, or urine test, are not considered as prohibiting internal possession for purposes of this report.	

Underage Purchase and Attempted Purchase	
Is the purchase of alcoholic beverages prohibited?	Yes
May youth purchase for law enforcement purposes?	No

False Identification for Obtaining Alcohol	
Provisions Targeting Minors	
Is the use of false identification (ID) prohibited?	Yes
Does the use of a false ID result in minor’s driver’s license suspension?	Yes, through a judicial process
Provisions Targeting Suppliers	
Is the lending or transferring or selling of a false ID prohibited?	Yes
Is the production of a false ID in the context of underage alcohol sales specifically prohibited?	Yes

Retailer Support Provisions	
Is there an incentive for the retailer to use electronic scanners for information digitally encoded on valid IDs?	No
Are state driver's licenses for persons under 21 easily distinguishable from licenses for persons 21 and over?	Yes
May retailers seize apparently false IDs without fear of prosecution even if the ID is ultimately deemed valid?	No
Does an affirmative defense exist for the retailer?	No
• Is it a specific affirmative defense (retailer reasonably believed ID was valid after examining it)?	N/A
• Is it a general affirmative defense (retailer reasonably believed purchaser was over 21)?	N/A
Does the retailer have the right to sue the minor for use of a false ID?	No
May a retailer detain a minor who used a false ID?	No
<i>Note: Retailers are only required to deliver documents to law enforcement that have been lost or voluntarily surrendered; however, when presented with identification documents that appear to be mutilated, altered, or fraudulent, they must contact law enforcement and refuse service.</i>	

Laws Targeting Underage Drinking and Driving

Youth Blood Alcohol Concentration Limits (Underage Operators of Noncommercial Motor Vehicles)	
What is the maximum blood alcohol concentration (BAC) limit for an underage driver of a motor vehicle?	0.02
Does a BAC level in excess of limit automatically establish a violation (per se violation)?	Yes
What is the minimum age to which the limit applies?	0
What is the maximum age to which the limit applies?	21

Loss of Driving Privileges for Alcohol Violations by Minors ("Use/Lose" Laws)	
Is there a "use/lose" law that suspends or revokes a minor's driving privileges for alcohol violations?	Yes
What types of violation lead to license suspension or revocation?	
• Purchase of alcohol	Yes
• Possession of alcohol	Yes
• Consumption of alcohol	Yes
The law applies to people under what age?	21
Is suspension or revocation mandatory or discretionary?	Mandatory
What is the length of suspension/revocation?	
Minimum number of days	Not specified
Maximum number of days	365

Graduated Driver's Licenses	
Learner Stage	
What is the minimum age for permit to drive with parents, guardians or other adults (other than instructors)?	14 years, 6 months, upon completion of driver education instruction permit signed over to allow driving with adult over age 21

What is the minimum number of months driver must hold learner permit before advancing to intermediate stage?	6
What is the minimum number of hours of driving with parents, guardians, or adults before advancing to intermediate stage?	50 (10 of which must be at night)
Intermediate Stage	
What is the minimum age for driving without adult supervision?	15
For night driving, when does adult supervision requirement begin?	12 am (no unsupervised driving ½ hour after sunset)
Can law enforcement stop a driver for night-driving violation as a primary offense?	Yes – Officer may stop driver for night-driving violation.
Are there restrictions on passengers?	Yes – No more than one unrelated passenger under 17
Can law enforcement stop driver for violation of passenger restrictions as a primary offense?	Yes – Officer may stop driver for passenger restrictions violation
License Stage	
What is the minimum age for full license privileges and lifting of restrictions?	16 (passenger restrictions expire 6 months after issuance of license; unsupervised night-driving restrictions remain until age 16)

Laws Targeting Alcohol Suppliers

Furnishing Alcohol to Minors	
Is furnishing of alcoholic beverages to minors prohibited?	Yes
Are there exceptions based on family relationships?	
• Is furnishing allowed if the parent or guardian supplies the alcohol?	No
• Is furnishing allowed if the spouse supplies the alcohol?	No
Is there an exception based on location?	No
Affirmative Defense for Sellers and Licensees	
Does law require seller/licensee to be exonerated of furnishing to a minor if the minor has not been charged?	No

Compliance Check Protocols	
Does the state have a written protocol for when an underage decoy is used in compliance checks?	Yes
What is the minimum age a decoy may be to participate in a compliance check?	16
What is the maximum age a decoy may be to participate in a compliance check?	20.5
What are the decoy's appearance requirements?	Age-appropriate appearance. Male: Not large in stature; no excessive facial hair. Female: Minimal makeup and jewelry.
Does decoy carry ID during compliance check?	Required
May decoy verbally exaggerate his or her actual age?	Not specified
Is decoy training mandated, recommended, prohibited, or not specified?	Not specified

Penalty Guidelines for Sales to Minors	
Are there written guidelines for penalties imposed on retailers for furnishing to a minor?	Yes
What is the time period for defining second, third, and subsequent offenses?	Not specified
What is the penalty for the first offense?	10-day suspension of alcohol license
What is the penalty for the second offense?	30-day suspension of alcohol license
What is the penalty for the third offense?	180-day suspension of alcohol license
What is the penalty for the fourth offense?	Not specified

Responsible Beverage Service (RBS)	
Is there a state law pertaining to beverage service training?	No law
If training is mandatory, who must participate?	N/A
If training is voluntary, which of the following incentives are offered?	
• Defense in dram shop liability lawsuits	N/A
• Discounts in dram shop liability insurance, license fees, or other	N/A
• Mitigation of fines or other administrative penalties for sales to minors or intoxicated persons	N/A
• Protection against license revocation for sales to minors or sales to intoxicated persons	N/A
Does the RBS law apply to on-premises establishments (such as bars and restaurants) or off-premises establishments (such as liquor stores)?	N/A
Does the RBS law apply to new or existing licensees?	N/A

Minimum Age for Sellers of Alcohol – Off-Premises (i.e., Liquor Stores)	
What is the minimum age requirement for off-premises retail establishments?	
Beer	19
Wine	19
Spirits	19
Does a manager or supervisor have to be present?	No

Minimum Age for Alcohol Servers and Bartenders – On-Premises (i.e., Restaurants and Bars)	
What is the minimum age requirement for servers in on-premises establishments?	
Beer	19
Wine	19
Spirits	19
What is the minimum age requirement for bartenders in on-premises establishments?	
Beer	19
Wine	19
Spirits	19
Does a manager or supervisor have to be present?	No

Alcohol Outlet Siting Near Schools and Universities	
Colleges and Universities	
Is there a distance requirement for off-premises outlets (i.e., liquor stores)?	Yes, outlets prohibited on campus grounds. College or university has authority to override state restrictions.

Is there a distance requirement for on-premises outlets (i.e., restaurants and bars)?	Yes, outlets prohibited on campus grounds. College or university has authority to override state restrictions.
To which alcohol products does requirement apply?	Beer, wine, spirits
Primary and Secondary Schools	
Is there a distance requirement for off-premises outlets (i.e., liquor stores)?	No
Is there a distance requirement for on-premises outlets (i.e., restaurants and bars)?	Yes, within 300 feet. Local government has authority to override state restrictions.
To which alcohol products does requirement apply?	Beer, wine, spirits

Dram Shop Liability	
Does a statute create dram shop liability?	Yes
Does the statute limit damages that may be recovered?	No
Does the statute limit who may be sued?	No
Does the statute limit elements or standards of proof?	No
Does common law dram shop liability exist?	No

Social Host Liability	
Does a statute create social host liability?	Yes
Does the statute limit damages that may be recovered?	No
Does the statute limit who may be sued?	No
Does the statute limit elements or standards of proof?	No
Does common law social host liability exist?	No

Prohibitions Against Hosting Underage Drinking Parties	
Does a statute prohibit hosting underage drinking parties?	No
Is the statute specific to underage parties, or a general prohibition against permitting underage drinking on the property?	N/A
What action by underage guest triggers a violation?	N/A
Property type covered by the law?	N/A
What level of knowledge by the host is required?	N/A
Does host's preventive action protect him/her from being held liable?	N/A
Are there any exceptions for underage guests?	N/A

Retailer Interstate Shipments of Alcohol	
Are out-of-state retailers prohibited from sending interstate shipments to in-state consumers?	
Beer	Yes
Wine	Uncertain
Spirits	Yes
<i>Note: A licensee who holds a license for the retail sale of wine for consumption off the licensed premises may ship no more than two cases of wine, containing not more than 9 liters per case, per shipment, for personal use and not for resale, directly to a resident of another state if the state to which the wine is sent allows residents of Idaho to receive wine sent from that state without payment</i>	

of additional state tax, fees, or charges. The sale shall be considered to have occurred in Idaho.

Direct Shipments/Sales	
May alcohol producers ship directly to consumers?	Yes
What alcohol types may be shipped?	Wine
Must purchaser make mandatory trip to producer before delivery is authorized?	No
Age verification requirements	
Must the producer/shipper verify purchaser's age before sale?	No
Must the common carrier (deliverer) verify age of recipients?	No
State approval/permit requirements	
Must the producer/manufacture obtain state license or permit?	Yes
Must the common carrier (deliverer) be approved by a state agency?	No
Recording/reporting requirements	
Must the producer/manufacture record/report purchaser's name?	No
Must the common carrier (deliverer) record/report recipient's name?	Yes
Shipping label requirements	
Must the label state "Package contains alcohol"?	Yes
Must the label state "Recipient must be 21 years old"?	Yes

Keg Registration	
How is a keg defined (in gallons)?	Equal to or more than 5.00
Prohibitions	
Is it illegal to possess an unregistered or unlabeled keg and if so, what is the penalty?	Yes (maximum fine/jail, \$1,000/6 months)
Is it illegal to destroy the label on a keg, and if so, what is the penalty?	No
What purchaser information is collected?	
Must the retailer collect the name and address?	Yes
Must the retailer collect the ID number, name and address on license or other government information?	No
Must the retailer collect the address at which keg will be consumed?	No
Must warning information be given to purchaser?	Not required
Is a deposit required?	No
Does law cover disposable kegs?	No

Home Delivery	
Is home delivery of alcohol permitted?	
Beer	No law
Wine	No law
Spirits	No law

High-Proof Grain Alcohol Beverages	
Are there restrictions on the sale of high-proof grain alcohol beverages?	No. However, Idaho is a control state, and control states may impose additional

	restrictions on the sale of products that are not reflected in statute or regulation.
Are restrictions based on Alcohol by Volume (ABV)?	N/A
Are there exceptions to restrictions?	N/A

Laws Affecting Alcohol Pricing

Alcohol Taxes	
Beer	
Control system for beer?	No
Specific excise tax per gallon for 5% alcohol beer	\$0.15
Ad valorem excise tax (for on-premises sales) on total receipts for 5% alcohol beer	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Ad valorem excise tax (for off-premises sales) on total receipts for 5% alcohol beer	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Additional taxes for 3.2–6% alcohol beer (if applicable)	\$0.45 per gallon applies to beer over 5% alcohol. Beer with 5% or less alcohol is sold by license. Beer greater than 5% but less than 7.5% alcohol is sold by both license and the state.
Wine	
Control system for wine?	Yes
Specific excise tax per gallon for 12% alcohol wine	
Ad valorem excise tax (for on-premises sales) on total receipts for 12% alcohol wine	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant

Ad valorem excise tax (for off-premises sales) on total receipts for 12% alcohol wine	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Additional taxes for 6–14% alcohol wine (if applicable)	
Spirits	
Control system for spirits?	Yes
Specific excise tax per gallon for 40% alcohol spirits	
Ad valorem excise tax (for on-premises sales) on total receipts for 40% alcohol spirits	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Ad valorem excise tax (for off-premises sales) on total receipts for 40% alcohol spirits	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Additional taxes for 15–50% alcohol spirits (if applicable)	

Low-Price, High-Volume Drink Specials	
What types of drink specials are prohibited by on-premises retailers?	
Free beverages	No
Multiple servings at one time	No
Multiple servings for same price as single serving	No
Reduced price for a specified day or time (i.e., happy hours)	No
Unlimited beverages for fixed price	No
Increased volume without increase in price	No

Wholesaler Pricing Restrictions	
Beer	
Are volume discounts to retailers allowed?	Banned
Must wholesalers establish a minimum markup or maximum discount for each product sold to retailers?	No law

Must wholesalers publicly post and hold (i.e., not reduce) prices for a set period of time?	Post and hold (180 days)
Is wholesaler permitted to extend credit to retailer and if so, what is the maximum time period?	No
Wine	
Are volume discounts to retailers allowed?	Banned
Must wholesalers establish a minimum markup or maximum discount for each product sold to retailers?	No law
Must wholesalers publicly post and hold (i.e., not reduce) prices for a set period of time?	Post and hold (180 days)
Is wholesaler permitted to extend credit to retailer and if so, what is the maximum time period?	No
Spirits	
Are volume discounts to retailers allowed?	N/A
Must wholesalers establish a minimum markup or maximum discount for each product sold to retailers?	N/A
Must wholesalers publicly post and hold (i.e., not reduce) prices for a set period of time?	N/A
Is wholesaler permitted to extend credit to retailer and if so, what is the maximum time period?	N/A

Idaho State Survey Responses

State Agency Information

Agency with primary responsibility for enforcing underage drinking laws:

Idaho State Police, Alcohol Beverage Control

Enforcement Strategies

State law enforcement agencies use:

Cops in Shops	No
Shoulder Tap Operations	Yes
Party Patrol Operations or Programs	Yes
Underage Alcohol-Related Fatality Investigations	Yes

Local law enforcement agencies use:

Cops in Shops	No
Shoulder Tap Operations	No
Party Patrol Operations or Programs	Yes
Underage Alcohol-Related Fatality Investigations	No

State has a program to investigate and enforce direct sales/shipment laws Yes

Primary state agency responsible for enforcing laws addressing direct sales/shipments of alcohol to minors	Idaho State Police, Alcohol Beverage Control
Such laws are also enforced by local law enforcement agencies	Don't know

Enforcement Statistics

State collects data on the number of minors found in possession Yes

Number of minors found in possession by state law enforcement agencies	3,130
Number pertains to the 12 months ending	12/31/2013
Data include arrests/citations issued by local law enforcement agencies	Yes

State conducts underage compliance checks/decoy operations² to determine if alcohol retailers are complying with laws prohibiting sales to minors Yes

Data are collected on these activities	Yes
Number of retail licensees in state ³	5,000
Number of licensees checked for compliance by state agencies (including random checks)	406
Number of licensees that failed state compliance checks	65
Numbers pertain to the 12 months ending	12/31/2014
Compliance checks/decoy operations conducted at on-sale, off-sale, or both retail establishments	Both on- and off-sale establishments

State conducts **random** underage compliance checks/decoy operations Yes

Number of licensees subject to random state compliance checks/decoy operations	406
Number of licensees that failed random state compliance checks	65

Local agencies conduct underage compliance checks/decoy operations to determine if alcohol retailers are complying with laws prohibiting sales to minors Yes

Data are collected on these activities	Yes
Number of licensees checked for compliance by local agencies	540
Number of licensees that failed local compliance checks	47
Numbers pertain to the 12 months ending	12/31/2014

Sanctions

State collects data on fines imposed on retail establishments that furnish minors Yes

Number of fines imposed by the state ⁴	104
Total amount in fines across all licensees	\$95,000
Smallest fine imposed	\$500
Largest fine imposed	\$2,000
Numbers pertain to the 12 months ending	12/31/2014

<i>State collects data on license suspensions imposed on retail establishments specifically for furnishing minors</i>	Yes
Number of suspensions imposed by the state ⁵	30
Total days of suspensions across all licensees	249
Shortest period of suspension imposed (in days)	2
Longest period of suspension imposed (in days)	15
Numbers pertain to the 12 months ending	12/31/2014
<i>State collects data on license revocations imposed on retail establishments specifically for furnishing minors</i>	Yes
Number of license revocations imposed ⁶	0
Numbers pertain to the 12 months ending	12/31/2014

Additional Clarification

No data

¹ Or having consumed or purchased per state statutes.

² Underage compliance checks/decoy operations to determine whether alcohol retailers are complying with laws prohibiting sales to minors.

³ Excluding special licenses such as temporary, seasonal, and common carrier licenses.

⁴ Does not include fines imposed by local agencies.

⁵ Does not include suspensions imposed by local agencies.

⁶ Does not include revocations imposed by local agencies.

Underage Drinking Prevention Programs Operated or Funded by the State

Boise State University Regional Alcohol Drug Awareness Resource (RADAR) Center Video and Print Materials Resource Center

Program serves specific or general population	General population
Number of youth served	9,680
Number of parents served	No data
Number of caregivers served	369
Program has been evaluated	Yes
Evaluation report is available	Yes
URL for evaluation report:	No data
URL for more program information:	No

Program Description: The mission of the RADAR Center is to provide free substance abuse prevention and addiction treatment resources to Idahoans. Funding from the Enforcing Underage Drinking Laws (EUDL) program administered by the Idaho Department of Juvenile Corrections is used specifically to support materials related to underage drinking prevention. EUDL funding is used to purchase underage drinking prevention videos and print materials and to support the operation of the Center with an emphasis on the video lending library. Additional funding support for the RADAR center came from Idaho Department of Health and Welfare, the Office of Drug Policy, and the State Millennium Fund.

Resource materials at RADAR are available to any Idaho resident, but the underage drinking videos are primarily borrowed by middle and high school educators and school counselors and substance use treatment providers. Therefore, the population for underage drinking materials is primarily middle and high school students. The RADAR Center keeps track of the number of youth and adults who view these videos. Print materials purchased with EUDL funds are tracked when they are disseminated. The Center also keeps track of the number of youth (18 and under) and adults expected to be exposed to the materials.

Reality Party	
Program serves specific or general population	General population
Number of youth served	Not applicable
Number of parents served	Not applicable
Number of caregivers served	Not applicable
Program has been evaluated	No
Evaluation report is available	Not applicable
URL for evaluation report:	Not applicable

URL for more program information: <http://www.straightupvc.org/realityparties>

Program Description: The Reality Party is a tour of a mock local party. The target population is typically parents of youth. During the tour, youth act out scenes that typically take place at local parties. Youth access to alcohol, drinking games, sexual violence, and social hosting are highlighted in the scenes. After the tour is over, participants are invited to discuss what they have seen with the youth actors.

Be the Parents

Program serves specific or general population	General population
Number of youth served	Not applicable
Number of parents served	Not applicable
Number of caregivers served	Not applicable
Program has been evaluated	No
Evaluation report is available	Not applicable
URL for evaluation report:	Not applicable
URL for more program information:	No data

Program Description: Be the Parents is a campaign focused on educating parents and caregivers about their role in preventing underage drinking.

Additional Underage Drinking Prevention Programs Operated or Funded by the State

Program description: No data

Additional Clarification

No data

Additional Information Related to Underage Drinking Prevention Programs

State collaborates with federally recognized tribal governments in the prevention of underage drinking Yes

Description of collaboration: Tribal representation on underage drinking workgroup and the SPF Advisory Council. Office of Drug Policy sponsored the Native Aspirations youth group from the Shoshone Paiute tribe to attend the Northwest Alcohol Conference funded by Block Grant Trustee and Benefit funds.

State has programs to measure and/or reduce youth exposure to alcohol advertising and marketing No

Description of program: Not applicable

State has adopted or developed best practice standards for underage drinking prevention programs Yes

Agencies/organizations that established best practices standards:	
Federal agency(ies): National Registry of Evidence-Based Programs and Practices	Yes
Agency(ies) within your state: Evidence-Based Practices Workgroup	Yes
Nongovernmental agency(ies):	No
Other:	No

Best practice standards description: All underage drinking prevention programs funded through the State of Idaho. Block grant funds must be evidence based. Direct service providers and coalitions implementing evidence-based programs and practices listed on the National Registry of Evidence-Based Programs have the potential to be funded through federal grants distributed by the Office of Drug Policy. Also, with the addition of SPF SIG funds to the state, an Evidence-Based Practices Workgroup has been formed to begin establishing best practices for the state. This workgroup is composed of various research professionals employed at several state agencies to determine if programs or practices not listed on the National Registry of Evidence-Based Programs have enough established evidence of effectiveness to be considered evidence based. Evidence-based programs are the state's best practice standards.

Additional Clarification

No data

State Interagency Collaboration

A state-level interagency governmental body/committee exists to coordinate or address underage drinking prevention activities Yes

Committee contact information:

Name: Elisha Figueroa
 Email: elisha.figueroa@odp.idaho.gov
 Address: 304 N. 8th St., Suite 455, Boise, ID 83720
 Phone: 208-854-3042

Agencies/organizations represented on the committee:

- Office of Drug Policy
- Department of Juvenile Corrections
- Department of Health and Welfare
- Community Coalitions of Idaho
- Alcohol Beverage Control
- Boise Police Department
- Idaho Liquor Division
- RADAR Center
- Idaho Beer and Wine Distributors Association
- Idaho TSRP
- Bonneville Youth Development Council
- Community Coalitions for Substance Abuse Prevention
- Idaho National Guard
- Idaho Hispanic Commission
- Tribal Police
- Boise State University
- Mothers Against Drunk Driving
- Duck Valley Tribe

A website or other public source exists to describe committee activities No
 URL or other means of access: Not applicable

Underage Drinking Reports

State has prepared a plan for preventing underage drinking in the last 3 years Yes
 Prepared by: Idaho Office of Drug Policy in coordination with the Underage Drinking Workgroup and State Strategic Prevention Planning Committee
 Plan can be accessed via: No data

State has prepared a report on preventing underage drinking in the last 3 years Yes
 Prepared by: Idaho Department of Juvenile Corrections and Office of Drug Policy
 Plan can be accessed via: <http://www.odp.idaho.gov> or <http://www.betheparents.org>

Additional Clarification

No data

State Expenditures for the Prevention of Underage Drinking

Compliance checks in retail outlets:
 Estimate of state funds expended Data not available
 Estimate based on the 12 months ending Data not available

Checkpoints and saturation patrols:
 Estimate of state funds expended Data not available
 Estimate based on the 12 months ending Data not available

Community-based programs to prevent underage drinking:
 Estimate of state funds expended Data not available
 Estimate based on the 12 months ending Data not available

K-12 school-based programs to prevent underage drinking:
 Estimate of state funds expended Data not available

Estimate based on the 12 months ending	Data not available
<i>Programs targeted to institutes of higher learning:</i>	
Estimate of state funds expended	Data not available
Estimate based on the 12 months ending	Data not available
<i>Programs that target youth in the juvenile justice system:</i>	
Estimate of state funds expended	Data not available
Estimate based on the 12 months ending	Data not available
<i>Programs that target youth in the child welfare system:</i>	
Estimate of state funds expended	Data not available
Estimate based on the 12 months ending	Data not available
<i>Other programs:</i>	
Programs or strategies included	Data not available
Estimate of state funds expended	Data not available
Estimate based on the 12 months ending	Data not available

Funds Dedicated to Underage Drinking

State derives funds dedicated to underage drinking from the following revenue streams:

Taxes	No
Fines	No
Fees	No
Other	Not applicable

Description of funding streams and how they are used: Not applicable

Additional Clarification

No data



Illinois

State Population: 12,880,580

Population Ages 12–20: 1,576,000

	Percentage	Number
Ages 12–20		
Past-Month Alcohol Use	23.5	370,000
Past-Month Binge Alcohol Use	14.9	235,000
Ages 12–14		
Past-Month Alcohol Use	3.2	17,000
Past-Month Binge Alcohol Use	1.4	8,000
Ages 15–17		
Past-Month Alcohol Use	20.7	108,000
Past-Month Binge Alcohol Use	10.8	56,000
Ages 18–20		
Past-Month Alcohol Use	46.2	245,000
Past-Month Binge Alcohol Use	32.2	171,000
Alcohol-Attributable Deaths (under 21)		192
Years of Potential Life Lost (under 21)		11,614
	Percentage of All Traffic Fatalities	Number
Traffic Fatalities, 15- to 20-Year-Old Drivers with BAC > 0.01	41	19

Laws Addressing Minors in Possession of Alcohol

Underage Possession	
Is underage possession of alcoholic beverages prohibited?	Yes
Are there exceptions based on family relationships?	
• Is possession allowed if parent or guardian is present or consents?	Yes
• Is possession allowed if spouse is present or consents?	No
Is there an exception based on location?	No

Underage Consumption	
Is underage consumption of alcoholic beverages prohibited?	Yes
Are there exceptions based on family relationships?	
• Is consumption allowed if the parent or guardian is present or consents?	Yes, in specified locations – See below
• Is consumption allowed if the spouse is present or consents?	No
Is there an exception based on location?	Yes, in private residence if parent/guardian is present or consents

Underage Internal Possession	
Is underage internal possession of alcoholic beverages prohibited?	No law
Are there exceptions based on family relationships?	
• Is internal possession allowed if the parent or guardian is present or consents?	N/A
• Is internal possession allowed if the spouse is present or consents?	N/A
Is there an exception based on location?	N/A

Underage Purchase and Attempted Purchase	
Is the purchase of alcoholic beverages prohibited?	Yes
May youth purchase for law enforcement purposes?	Yes

False Identification for Obtaining Alcohol	
Provisions Targeting Minors	
Is the use of false identification (ID) prohibited?	Yes
Does the use of a false ID result in minor's driver's license suspension?	Yes, through an administrative process
Provisions Targeting Suppliers	
Is the lending or transferring or selling of a false ID prohibited?	Yes
Is the production of a false ID in the context of underage alcohol sales specifically prohibited?	Yes
Retailer Support Provisions	
Is there an incentive for the retailer to use electronic scanners for information digitally encoded on valid IDs?	No
Are state driver's licenses for persons under 21 easily distinguishable from licenses for persons 21 and over?	Yes
May retailers seize apparently false IDs without fear of prosecution even if the ID is ultimately deemed valid?	No
Does an affirmative defense exist for the retailer?	Yes

• Is it a specific affirmative defense (retailer reasonably believed ID was valid after examining it)?	Yes
• Is it a general affirmative defense (retailer reasonably believed purchaser was over 21)?	No
Does the retailer have the right to sue the minor for use of a false ID?	No
May a retailer detain a minor who used a false ID?	No

Laws Targeting Underage Drinking and Driving

Youth Blood Alcohol Concentration Limits (Underage Operators of Noncommercial Motor Vehicles)	
What is the maximum blood alcohol concentration (BAC) limit for an underage driver of a motor vehicle?	0
Does a BAC level in excess of limit automatically establish a violation (per se violation)?	Yes
What is the minimum age to which the limit applies?	0
What is the maximum age to which the limit applies?	21

Loss of Driving Privileges for Alcohol Violations by Minors (“Use/Lose” Laws)	
Is there a “use/lose” law that suspends or revokes a minor’s driving privileges for alcohol violations?	Yes
What types of violation lead to license suspension or revocation?	
• Purchase of alcohol	Yes
• Possession of alcohol	Yes
• Consumption of alcohol	Yes
The law applies to people under what age?	21
Is suspension or revocation mandatory or discretionary?	Mandatory
What is the length of suspension/revocation?	
Minimum number of days	180
Maximum number of days	180

Graduated Driver’s Licenses	
Learner Stage	
What is the minimum age for permit to drive with parents, guardians or other adults (other than instructors)?	15
What is the minimum number of months driver must hold learner permit before advancing to intermediate stage?	9
What is the minimum number of hours of driving with parents, guardians, or adults before advancing to intermediate stage?	50 (10 of which must be at night)
Intermediate Stage	
What is the minimum age for driving without adult supervision?	16
For night driving, when does adult supervision requirement begin?	10 pm (11 pm Fri–Sat)
Can law enforcement stop a driver for night-driving violation as a primary offense?	Yes – Officer may stop driver for night-driving violation.
Are there restrictions on passengers?	Yes – No more than one passenger under 20, except for siblings and children

Can law enforcement stop driver for violation of passenger restrictions as a primary offense?	Yes – Officer may stop driver for passenger restrictions violation
License Stage	
What is the minimum age for full license privileges and lifting of restrictions?	18 (passenger restrictions expire 12 months after issuance of license; unsupervised night-driving restrictions remain until age 18)

Laws Targeting Alcohol Suppliers

Furnishing Alcohol to Minors	
Is furnishing of alcoholic beverages to minors prohibited?	Yes
Are there exceptions based on family relationships?	
• Is furnishing allowed if the parent or guardian supplies the alcohol?	No
• Is furnishing allowed if the spouse supplies the alcohol?	No
Is there an exception based on location?	No
Affirmative Defense for Sellers and Licensees	
Does law require seller/licensee to be exonerated of furnishing to a minor if the minor has not been charged?	No

Compliance Check Protocols	
Does the state have a written protocol for when an underage decoy is used in compliance checks?	Yes
What is the minimum age a decoy may be to participate in a compliance check?	18
What is the maximum age a decoy may be to participate in a compliance check?	20
What are the decoy's appearance requirements?	Age-appropriate dress; no disguises and cannot alter appearance. Males: No facial hair
Does decoy carry ID during compliance check?	Discretionary
May decoy verbally exaggerate his or her actual age?	Prohibited
Is decoy training mandated, recommended, prohibited, or not specified?	Recommended

Penalty Guidelines for Sales to Minors	
Are there written guidelines for penalties imposed on retailers for furnishing to a minor?	No
What is the time period for defining second, third, and subsequent offenses?	N/A
What is the penalty for the first offense?	N/A
What is the penalty for the second offense?	N/A
What is the penalty for the third offense?	N/A
What is the penalty for the fourth offense?	N/A

Responsible Beverage Service (RBS)	
Is there a state law pertaining to beverage service training?	Yes – Voluntary
If training is mandatory, who must participate?	N/A
If training is voluntary, which of the following incentives are offered?	

• Defense in dram shop liability lawsuits	No
• Discounts in dram shop liability insurance, license fees, or other	No
• Mitigation of fines or other administrative penalties for sales to minors or intoxicated persons	No
• Protection against license revocation for sales to minors or sales to intoxicated persons	No
Does the RBS law apply to on-premises establishments (such as bars and restaurants) or off-premises establishments (such as liquor stores)?	Both
Does the RBS law apply to new or existing licensees?	Unspecified

Minimum Age for Sellers of Alcohol – Off-Premises (i.e., Liquor Stores)	
What is the minimum age requirement for off-premises retail establishments?	
Beer	18
Wine	18
Spirits	18
Does a manager or supervisor have to be present?	No

Minimum Age for Alcohol Servers and Bartenders – On-Premises (i.e., Restaurants and Bars)	
What is the minimum age requirement for servers in on-premises establishments?	
Beer	18
Wine	18
Spirits	18
What is the minimum age requirement for bartenders in on-premises establishments?	
Beer	18
Wine	18
Spirits	18
Does a manager or supervisor have to be present?	No

Alcohol Outlet Siting Near Schools and Universities	
Colleges and Universities	
Is there a distance requirement for off-premises outlets (i.e., liquor stores)?	No
Is there a distance requirement for on-premises outlets (i.e., restaurants and bars)?	No
To which alcohol products does requirement apply?	N/A
Primary and Secondary Schools	
Is there a distance requirement for off-premises outlets (i.e., liquor stores)?	Yes, within 100 feet
Is there a distance requirement for on-premises outlets (i.e., restaurants and bars)?	Yes, within 100 feet
To which alcohol products does requirement apply?	Beer, wine, spirits
<i>Note:</i> Exceptions are (1) hotels with restaurant service, regularly organized clubs, certain restaurants; (2) food shops and other places where alcohol sales are not principal business and location is not a municipality of more than 500,000 persons; and (3) certain other specified licensees.	

Dram Shop Liability	
Does a statute create dram shop liability?	Yes
Does the statute limit damages that may be recovered?	Yes (for causes of action involving persons injured or killed, shall not exceed \$65,511.99 for each person incurring damages; for causes of action involving persons incurring property damage, shall not exceed \$64,057.00 for each person incurring damages; for causes of action for either loss of means of support or loss of society, shall not exceed \$80,070.21)
Does the statute limit who may be sued?	No
Does the statute limit elements or standards of proof?	No
Does common law dram shop liability exist?	No
<i>Note:</i> The Dram Shop Statute requires the Illinois Comptroller to determine each year the liability limits for causes brought under the statute in accordance with the consumer price index during the preceding 12 months.	

Social Host Liability	
Does a statute create social host liability?	No
Does the statute limit damages that may be recovered?	N/A
Does the statute limit who may be sued?	N/A
Does the statute limit elements or standards of proof?	N/A
Does common law social host liability exist?	No

Prohibitions Against Hosting Underage Drinking Parties	
Does a statute prohibit hosting underage drinking parties?	Yes
Is the statute specific to underage parties, or a general prohibition against permitting underage drinking on the property?	General
What action by underage guest triggers a violation?	Possession/Consumption
Property type covered by the law?	Residential
What level of knowledge by the host is required?	Knowledge: Host must have actual knowledge of party
Does host's preventive action protect him/her from being held liable?	Yes
Are there any exceptions for underage guests?	Yes – Family members and residents of household
<i>Note:</i> Under Illinois law, a person commits a social host offense by renting a hotel or motel room for the purpose of or with the knowledge that such room be used for the consumption of alcoholic liquor by underage persons.	

Prohibitions Against Hosting Underage Drinking Parties – Law Applicable to Parents/Guardians	
Does a statute prohibit hosting underage drinking parties?	Yes
Is the statute specific to underage parties, or a general prohibition against permitting underage drinking on the property?	General
What action by underage guest triggers a violation?	Consumption

Property type covered by the law?	Residential/Outdoor/Other
What level of knowledge by the host is required?	Knowledge: Host must have actual knowledge of party
Does host’s preventive action protect him/her from being held liable?	No
Are there any exceptions for underage guests?	Yes – Family members
<i>Note:</i> An individual is not in violation of the statute if he or she requests assistance from a law enforcement agency to help end the possession or consumption of alcohol by persons under age 21 in a residence that he or she occupies. This assistance must be requested before any other person makes a formal complaint to a law enforcement agency about the activity.	

Prohibitions Against Hosting Underage Drinking Parties – Law Applicable to Hotel or Motel Rooms	
Does a statute prohibit hosting underage drinking parties?	Yes
Is the statute specific to underage parties, or a general prohibition against permitting underage drinking on the property?	General
What action by underage guest triggers a violation?	Consumption
Property type covered by the law?	Other
What level of knowledge by the host is required?	Overt act: Host must have actual knowledge and commit act that contributes to party’s occurrence.
Does host’s preventive action protect him/her from being held liable?	No
Are there any exceptions for underage guests?	No
<i>Note:</i> Under Illinois law, a person commits a social host offense if one is a parent or guardian and permits one’s residence, or any other property under one’s control, to be used by an underage invitee of one’s child or ward in a manner that violates the statute. An offense is deemed to have occurred if a parent or guardian knowingly authorizes or permits the prohibited use to occur.	

Retailer Interstate Shipments of Alcohol	
Are out-of-state retailers prohibited from sending interstate shipments to in-state consumers?	
Beer	Yes
Wine	Yes
Spirits	Yes

Direct Shipments/Sales	
May alcohol producers ship directly to consumers?	Yes
What alcohol types may be shipped?	Wine
Must purchaser make mandatory trip to producer before delivery is authorized?	No
Age verification requirements	
Must the producer/shipper verify purchaser’s age before sale?	No
Must the common carrier (deliverer) verify age of recipients?	No
State approval/permit requirements	
Must the producer/manufacture obtain state license or permit?	Yes
Must the common carrier (deliverer) be approved by a state agency?	No
Recording/reporting requirements	
Must the producer/manufacture record/report purchaser’s name?	Yes

Must the common carrier (deliverer) record/report recipient's name?	Yes
Shipping label requirements	
Must the label state "Package contains alcohol"?	Yes
Must the label state "Recipient must be 21 years old"?	Yes

Keg Registration	
How is a keg defined (in gallons)?	No law
Prohibitions	
Is it illegal to possess an unregistered or unlabeled keg and if so, what is the penalty?	No law
Is it illegal to destroy the label on a keg, and if so, what is the penalty?	No law
What purchaser information is collected?	
Must the retailer collect the name and address?	No law
Must the retailer collect the ID number, name and address on license or other government information?	No law
Must the retailer collect the address at which keg will be consumed?	No law
Must warning information be given to purchaser?	No law
Is a deposit required?	No law
Does law cover disposable kegs?	No law

Home Delivery	
Is home delivery of alcohol permitted?	
Beer	Yes
Wine	Yes
Spirits	Yes

High-Proof Grain Alcohol Beverages	
Are there restrictions on the sale of high-proof grain alcohol beverages?	No
Are restrictions based on Alcohol by Volume (ABV)?	N/A
Are there exceptions to restrictions?	N/A

Laws Affecting Alcohol Pricing

Alcohol Taxes	
Beer	
Control system for beer?	No
Specific excise tax per gallon for 5% alcohol beer	\$0.23
Ad valorem excise tax (for on-premises sales) on total receipts for 5% alcohol beer	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Ad valorem excise tax (for off-premises sales) on total receipts for 5% alcohol beer	

Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Additional taxes for 3.2–6% alcohol beer (if applicable)	
Wine	
Control system for wine?	No
Specific excise tax per gallon for 12% alcohol wine	\$1.39
Ad valorem excise tax (for on-premises sales) on total receipts for 12% alcohol wine	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Ad valorem excise tax (for off-premises sales) on total receipts for 12% alcohol wine	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Additional taxes for 6–14% alcohol wine (if applicable)	
Spirits	
Control system for spirits?	No
Specific excise tax per gallon for 40% alcohol spirits	\$8.55
Ad valorem excise tax (for on-premises sales) on total receipts for 40% alcohol spirits	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Ad valorem excise tax (for off-premises sales) on total receipts for 40% alcohol spirits	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant

Additional taxes for 15–50% alcohol spirits (if applicable)	\$1.39/gallon for alcohol content of more than 14% and less than 20%
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Low-Price, High-Volume Drink Specials	
What types of drink specials are prohibited by on-premises retailers?	
Free beverages	Yes
Multiple servings at one time	Yes
Multiple servings for same price as single serving	No
Reduced price for a specified day or time (i.e., happy hours)	Yes (full-day price reductions not banned)
Unlimited beverages for fixed price	Yes
Increased volume without increase in price	Yes

Wholesaler Pricing Restrictions	
Beer	
Are volume discounts to retailers allowed?	No law
Must wholesalers establish a minimum markup or maximum discount for each product sold to retailers?	No law
Must wholesalers publicly post and hold (i.e., not reduce) prices for a set period of time?	No law
Is wholesaler permitted to extend credit to retailer and if so, what is the maximum time period?	No
Wine	
Are volume discounts to retailers allowed?	No law
Must wholesalers establish a minimum markup or maximum discount for each product sold to retailers?	No law
Must wholesalers publicly post and hold (i.e., not reduce) prices for a set period of time?	No law
Is wholesaler permitted to extend credit to retailer and if so, what is the maximum time period?	Yes (30 days)
Spirits	
Are volume discounts to retailers allowed?	No law
Must wholesalers establish a minimum markup or maximum discount for each product sold to retailers?	No law
Must wholesalers publicly post and hold (i.e., not reduce) prices for a set period of time?	No law
Is wholesaler permitted to extend credit to retailer and if so, what is the maximum time period?	Yes (30 days)

Illinois State Survey Responses

State Agency Information

Agency with primary responsibility for enforcing underage drinking laws:

Illinois Liquor Control Commission (sales to minors only)

Enforcement Strategies

State law enforcement agencies use:

Cops in Shops	No
Shoulder Tap Operations	No
Party Patrol Operations or Programs	No
Underage Alcohol-Related Fatality Investigations	No

Local law enforcement agencies use:

Cops in Shops	No
Shoulder Tap Operations	No
Party Patrol Operations or Programs	No
Underage Alcohol-Related Fatality Investigations	No

State has a program to investigate and enforce direct sales/shipment laws No

Primary state agency responsible for enforcing laws addressing direct sales/shipments of alcohol to minors Not applicable

Such laws are also enforced by local law enforcement agencies Not applicable

Enforcement Statistics

State collects data on the number of minors found in possession No

Number of minors found in possession by state law enforcement agencies Not applicable

Number pertains to the 12 months ending Not applicable

Data include arrests/citations issued by local law enforcement agencies Not applicable

State conducts underage compliance checks/decoy operations² to determine if alcohol retailers are complying with laws prohibiting sales to minors Yes

Data are collected on these activities Yes

Number of retail licensees in state³ Approximately 22,500

Number of licensees checked for compliance by state agencies (including random checks) 2,929

Number of licensees that failed state compliance checks 472

Numbers pertain to the 12 months ending 6/30/2014

Compliance checks/decoy operations conducted at on-sale, off-sale, or both retail establishments Both on- and off-sale establishments

State conducts **random** underage compliance checks/decoy operations Yes

Number of licensees subject to **random** state compliance checks/decoy operations 2,929

Number of licensees that failed **random** state compliance checks 472

Local agencies conduct underage compliance checks/decoy operations to determine if alcohol retailers are complying with laws prohibiting sales to minors Yes

Data are collected on these activities No

Number of licensees checked for compliance by local agencies Not applicable

Number of licensees that failed local compliance checks Not applicable

Numbers pertain to the 12 months ending Not applicable

Sanctions

State collects data on fines imposed on retail establishments that furnish minors Yes

Number of fines imposed by the state⁴ 666

Total amount in fines across all licensees \$382,600

Smallest fine imposed \$500

Largest fine imposed \$10,000

Numbers pertain to the 12 months ending 6/30/2014

<i>State collects data on license suspensions imposed on retail establishments specifically for furnishing minors</i>	Yes
Number of suspensions imposed by the state ⁵	69
Total days of suspensions across all licensees	163
Shortest period of suspension imposed (in days)	1
Longest period of suspension imposed (in days)	21
Numbers pertain to the 12 months ending	6/30/2014
<i>State collects data on license revocations imposed on retail establishments specifically for furnishing minors</i>	Yes
Number of license revocations imposed ⁶	69
Numbers pertain to the 12 months ending	6/30/2014

Additional Clarification

Illinois State Police also conduct underage compliance operations.

¹ Or having consumed or purchased per state statutes.

² Underage compliance checks/decoy operations to determine whether alcohol retailers are complying with laws prohibiting sales to minors.

³ Excluding special licenses such as temporary, seasonal, and common carrier licenses.

⁴ Does not include fines imposed by local agencies.

⁵ Does not include suspensions imposed by local agencies.

⁶ Does not include revocations imposed by local agencies.

Underage Drinking Prevention Programs Operated or Funded by the State

Partnership for Success (PFS)

Program serves specific or general population	General population
Number of youth served	Not applicable
Number of parents served	Not applicable
Number of caregivers served	Not applicable
Program has been evaluated	Yes
Evaluation report is available	No
URL for evaluation report:	Not applicable
URL for more program information:	No data

Program Description: PFS is designed to address gaps in prevention services and increase the ability of Illinois to help specific populations or geographic areas with serious, emerging substance abuse problems. The goals of the project are to use a data-driven process to leverage existing prevention dollars and reduce underage drinking at the state level. Illinois is funding 20 subrecipient community-based agencies that partner with coalitions to meet those targets. Subrecipient communities implement at least two evidence-based environmental programs, policies, and practices identified through the Strategic Prevention Framework. The PFS grant can be applied only to activities that specifically target the high school population. Strategies used by PFS recipients typically include policy and enforcement strategies, as well as communication campaigns that target the community as a whole. Evaluation is a key component of this grant, as states are required to measure any significant changes in underage substance abuse over time to evaluate alcohol consumption as well as changes to contributing factors.

Substance Abuse Prevention Program (SAPP) – Strategic Prevention Framework (SPF)

Program serves specific or general population	Specific population
Number of youth served	19,955
Number of parents served	No data
Number of caregivers served	No data
Program has been evaluated	Yes
Evaluation report is available	No
URL for evaluation report:	Not applicable
URL for more program information:	No data

Program Description: The goal of the SPF grant program is to reduce consumption of, consequences from, and contributing factors to alcohol, tobacco, marijuana, and prescription drug misuse/abuse among 11- to 20-year-olds in a targeted geographic community by following the SPF. This grant is designed to support the use of the SPF,

developed by SAMHSA. SPF is a structured planning process that can be applied to prevention systems at both state and local levels. This process is an effective way for coalitions to address substance abuse issues within the community. SPF is intended to provide a structure or mechanism for multisector coalitions and other broadly represented community organizations to identify the most pressing substance abuse problems in their community. SPF uses a data-driven approach to understand what the most pressing problems are, who is affected most by the problems (consumption and consequences), why the problems are happening (contributing factors or intervening variables), and what programs, practices, and policies are most effective in addressing these problems and contributing factors. All of the SAPP–SPF-funded providers are addressing underage drinking.

Additional Underage Drinking Prevention Programs Operated or Funded by the State

Program description: No data

Additional Clarification

No data

Additional Information Related to Underage Drinking Prevention Programs

State collaborates with federally recognized tribal governments in the prevention of underage drinking No

Description of collaboration: Not applicable

State has programs to measure and/or reduce youth exposure to alcohol advertising and marketing No

Description of program: Not applicable

State has adopted or developed best practice standards for underage drinking prevention programs Yes

Agencies/organizations that established best practices standards:

Federal agency(ies): Office of Juvenile Justice and Delinquency, Center for Substance Abuse Prevention (CSAP), and SAMHSA Yes

Agency(ies) within your state: No

Nongovernmental agency(ies): Center for Prevention Research and Development, University of Illinois-Champaign/Urbana Yes

Other: No

Best practice standards description: The state requires the use of evidence-based programs, practices, and policies. In Illinois, evidence-based standards are also promoted and required if a provider decides to develop its own programming in the areas listed below. For example, if a community-based provider proposes an underage drinking communication campaign, the provider is expected to address all of the standards for communication campaigns. To review standards for communication campaigns and other evidence-based standards, visit <http://www.cprd.illinois.edu/prevresearchbriefs>.

Evidence-based standard exist for the following approaches:

- Social norms and communication campaigns
- Mentoring
- Parent/family education
- Youth prevention education

Evidence-based standards are also being developed for the following environmental strategies:

- Public policy: keg registration, local social host ordinance, mandatory responsible beverage service, advertising restrictions, alcohol location and density, event restrictions, local Minors In Possession (MIP) ordinance
- Enforcement: compliance checks with server merchant education, party prevention and dispersal, sobriety checkpoints, shoulder tap operations
- School policy

Additional Clarification

No data

State Interagency Collaboration	
<i>A state-level interagency governmental body/committee exists to coordinate or address underage drinking prevention activities</i>	Yes
<i>Committee contact information:</i>	
Name: Kim Fornero	
Email: Kim.Fornero@Illinois.gov	
Address: 401 South Clinton, 4th Floor, Chicago, IL 60607	
Phone: 312-793-1628	
<i>Agencies/organizations represented on the committee:</i>	
Department of Human Services, Substance Abuse Prevention Program	
Center for Prevention Research and Development	
Operation Snowball	
Prevention First	
Illinois State Police	
Illinois National Guard	
Illinois Department of Transportation	
Illinois Department of Public Health	
Illinois State Board of Education	
Chicago Police Department	
Illinois Liquor Control Commission	
Department of Human Services, Division of Alcoholism and Substance Abuse	
Cebirin Goodman Teen Institute	
Students Against Destructive Decisions (SADD)	
Youth Network Council	
<i>A website or other public source exists to describe committee activities</i>	No
URL or other means of access:	Not applicable
Underage Drinking Reports	
<i>State has prepared a plan for preventing underage drinking in the last 3 years</i>	Yes
Prepared by: Leveraging Work Group supported by the Illinois Department of Human Services' Bureau of Positive Youth Development	
Plan can be accessed via: No website	
<i>State has prepared a report on preventing underage drinking in the last 3 years</i>	No
Prepared by:	Not applicable
Plan can be accessed via:	Not applicable
Additional Clarification	
No data	
State Expenditures for the Prevention of Underage Drinking	
<i>Compliance checks in retail outlets:</i>	
Estimate of state funds expended	Data not available
Estimate based on the 12 months ending	Data not available
<i>Checkpoints and saturation patrols:</i>	
Estimate of state funds expended	Data not available
Estimate based on the 12 months ending	Data not available
<i>Community-based programs to prevent underage drinking:</i>	
Estimate of state funds expended	Data not available
Estimate based on the 12 months ending	Data not available
<i>K-12 school-based programs to prevent underage drinking:</i>	
Estimate of state funds expended	Data not available
Estimate based on the 12 months ending	Data not available
<i>Programs targeted to institutes of higher learning:</i>	
Estimate of state funds expended	Data not available
Estimate based on the 12 months ending	Data not available

<i>Programs that target youth in the juvenile justice system:</i>	
Estimate of state funds expended	Data not available
Estimate based on the 12 months ending	Data not available
<i>Programs that target youth in the child welfare system:</i>	
Estimate of state funds expended	Data not available
Estimate based on the 12 months ending	Data not available
<i>Other programs:</i>	
Programs or strategies included	Data not available
Estimate of state funds expended	Data not available
Estimate based on the 12 months ending	Data not available

Funds Dedicated to Underage Drinking

State derives funds dedicated to underage drinking from the following revenue streams:

Taxes	Yes
Fines	No
Fees	Yes
Other	No data

Description of funding streams and how they are used:
 The Illinois Liquor Control Commission collects alcohol license fees, of which a portion is used to support substance abuse prevention services. Taxes: The Substance Abuse Prevention Program in FY 2015 (July 1, 2014–June 30, 2015) was supported by General Revenue Funds.

Additional Clarification

No data



Indiana

State Population: 6,596,855

Population Ages 12–20: 817,000

	Percentage	Number
Ages 12–20		
Past-Month Alcohol Use	22.8	187,000
Past-Month Binge Alcohol Use	15.1	124,000
Ages 12–14		
Past-Month Alcohol Use	4.3	12,000
Past-Month Binge Alcohol Use	1.5	4,000
Ages 15–17		
Past-Month Alcohol Use	16.2	44,000
Past-Month Binge Alcohol Use	10.2	28,000
Ages 18–20		
Past-Month Alcohol Use	47.3	131,000
Past-Month Binge Alcohol Use	33.2	92,000
Alcohol-Attributable Deaths (under 21)		92
Years of Potential Life Lost (under 21)		5,613
	Percentage of All Traffic Fatalities	Number
Traffic Fatalities, 15- to 20-Year-Old Drivers with BAC > 0.01	18	16

Laws Addressing Minors in Possession of Alcohol

Underage Possession	
Is underage possession of alcoholic beverages prohibited?	Yes
Are there exceptions based on family relationships?	
• Is possession allowed if parent or guardian is present or consents?	No
• Is possession allowed if spouse is present or consents?	No
Is there an exception based on location?	No

Underage Consumption	
Is underage consumption of alcoholic beverages prohibited?	Yes
Are there exceptions based on family relationships?	
• Is consumption allowed if the parent or guardian is present or consents?	No
• Is consumption allowed if the spouse is present or consents?	No
Is there an exception based on location?	No

Underage Internal Possession	
Is underage internal possession of alcoholic beverages prohibited?	No law
Are there exceptions based on family relationships?	
• Is internal possession allowed if the parent or guardian is present or consents?	N/A
• Is internal possession allowed if the spouse is present or consents?	N/A
Is there an exception based on location?	N/A

Underage Purchase and Attempted Purchase	
Is the purchase of alcoholic beverages prohibited?	No
May youth purchase for law enforcement purposes?	Yes
<i>Note:</i> Indiana does not have a statute that specifically prohibits purchase, but it does prohibit purchasing or attempting to purchase alcohol in connection with making a false statement or using false evidence of majority or identity.	

False Identification for Obtaining Alcohol	
Provisions Targeting Minors	
Is the use of false identification (ID) prohibited?	Yes
Does the use of a false ID result in minor’s driver’s license suspension?	No
Provisions Targeting Suppliers	
Is the lending or transferring or selling of a false ID prohibited?	Yes
Is the production of a false ID in the context of underage alcohol sales specifically prohibited?	No
Retailer Support Provisions	
Is there an incentive for the retailer to use electronic scanners for information digitally encoded on valid IDs?	No
Are state driver’s licenses for persons under 21 easily distinguishable from licenses for persons 21 and over?	Yes
May retailers seize apparently false IDs without fear of prosecution even if the ID is ultimately deemed valid?	No
Does an affirmative defense exist for the retailer?	Yes

• Is it a specific affirmative defense (retailer reasonably believed ID was valid after examining it)?	No
• Is it a general affirmative defense (retailer reasonably believed purchaser was over 21)?	Yes
Does the retailer have the right to sue the minor for use of a false ID?	No
May a retailer detain a minor who used a false ID?	No

Laws Targeting Underage Drinking and Driving

Youth Blood Alcohol Concentration Limits (Underage Operators of Noncommercial Motor Vehicles)	
What is the maximum blood alcohol concentration (BAC) limit for an underage driver of a motor vehicle?	0.02
Does a BAC level in excess of limit automatically establish a violation (per se violation)?	Yes
What is the minimum age to which the limit applies?	0
What is the maximum age to which the limit applies?	21

Loss of Driving Privileges for Alcohol Violations by Minors (“Use/Lose” Laws)	
Is there a “use/lose” law that suspends or revokes a minor’s driving privileges for alcohol violations?	No
What types of violation lead to license suspension or revocation?	
• Purchase of alcohol	N/A
• Possession of alcohol	N/A
• Consumption of alcohol	N/A
The law applies to people under what age?	N/A
Is suspension or revocation mandatory or discretionary?	N/A
What is the length of suspension/revocation?	
Minimum number of days	N/A
Maximum number of days	N/A

Graduated Driver’s Licenses	
Learner Stage	
What is the minimum age for permit to drive with parents, guardians or other adults (other than instructors)?	15
What is the minimum number of months driver must hold learner permit before advancing to intermediate stage?	6
What is the minimum number of hours of driving with parents, guardians, or adults before advancing to intermediate stage?	50 (10 of which must be at night)
Intermediate Stage	
What is the minimum age for driving without adult supervision?	16 years, 6 months
For night driving, when does adult supervision requirement begin?	10 pm (first 180 days, 10 pm; then, 11 pm Sun–Fri and 1 am Sat–Sun)
Can law enforcement stop a driver for night-driving violation as a primary offense?	Yes – Officer may stop driver for night-driving violation
Are there restrictions on passengers?	Yes – No passengers except immediate family, unless accompanied by parent or a licensed driver at least 21 years old

Can law enforcement stop driver for violation of passenger restrictions as a primary offense?	Yes – Officer may stop driver for passenger restrictions violation
License Stage	
What is the minimum age for full license privileges and lifting of restrictions?	18 (passenger restrictions expire 180 days after issuance of intermediate license; unsupervised night-driving restrictions remain until age 18)

Laws Targeting Alcohol Suppliers

Furnishing Alcohol to Minors	
Is furnishing of alcoholic beverages to minors prohibited?	Yes
Are there exceptions based on family relationships?	
• Is furnishing allowed if the parent or guardian supplies the alcohol?	No
• Is furnishing allowed if the spouse supplies the alcohol?	No
Is there an exception based on location?	No
Affirmative Defense for Sellers and Licensees	
Does law require seller/licensee to be exonerated of furnishing to a minor if the minor has not been charged?	No

Compliance Check Protocols	
Does the state have a written protocol for when an underage decoy is used in compliance checks?	Yes
What is the minimum age for decoy may to participate in a compliance check?	18
What is the maximum age for decoy to participate in a compliance check?	20.75
What are the decoy's appearance requirements?	Age-appropriate dress and grooming
Does decoy carry ID during compliance check?	Prohibited
May decoy verbally exaggerate his or her actual age?	Prohibited
Is decoy training mandated, recommended, prohibited, or not specified?	Mandated

Penalty Guidelines for Sales to Minors	
Are there written guidelines for penalties imposed on retailers for furnishing to a minor?	No
What is the time period for defining second, third, and subsequent offenses?	N/A
What is the penalty for the first offense?	N/A
What is the penalty for the second offense?	N/A
What is the penalty for the third offense?	N/A
What is the penalty for the fourth offense?	N/A

Responsible Beverage Service (RBS)	
Is there a state law pertaining to beverage service training?	Yes – Mandatory
If training is mandatory, who must participate?	Licensees, managers, servers/sellers
If training is voluntary, which of the following incentives are offered?	
• Defense in dram shop liability lawsuits	N/A
• Discounts in dram shop liability insurance, license fees, or other	N/A

• Mitigation of fines or other administrative penalties for sales to minors or intoxicated persons	N/A
• Protection against license revocation for sales to minors or sales to intoxicated persons	N/A
Does the RBS law apply to on-premises establishments (such as bars and restaurants) or off-premises establishments (such as liquor stores)?	Both
Does the RBS law apply to new or existing licensees?	Both

Minimum Age for Sellers of Alcohol – Off-Premises (i.e., Liquor Stores)	
What is the minimum age requirement for off-premises retail establishments?	
Beer	19
Wine	19
Spirits	19
Does a manager or supervisor have to be present?	Yes

Minimum Age for Alcohol Servers and Bartenders – On-Premises (i.e., Restaurants and Bars)	
What is the minimum age requirement for servers in on-premises establishments?	
Beer	19
Wine	19
Spirits	19
What is the minimum age requirement for bartenders in on-premises establishments?	
Beer	21
Wine	21
Spirits	21
Does a manager or supervisor have to be present?	Yes

Alcohol Outlet Siting Near Schools and Universities	
Colleges and Universities	
Is there a distance requirement for off-premises outlets (i.e., liquor stores)?	No
Is there a distance requirement for on-premises outlets (i.e., restaurants and bars)?	No
To which alcohol products does requirement apply?	N/A
Primary and Secondary Schools	
Is there a distance requirement for off-premises outlets (i.e., liquor stores)?	Yes, within 200 feet. School has authority to override state prohibition for grocery or drug stores.
Is there a distance requirement for on-premises outlets (i.e., restaurants and bars)?	Yes, within 200 feet. School has authority to override state prohibition for grocery or drug stores.
To which alcohol products does requirement apply?	Beer, wine, spirits
<i>Note:</i> Exceptions are restaurants in historic places or districts; shopping malls; and city markets.	

Dram Shop Liability	
Does a statute create dram shop liability?	Yes
Does the statute limit damages that may be recovered?	No

Does the statute limit who may be sued?	No
Does the statute limit elements or standards of proof?	Yes (knowledge of visible intoxication)
Does common law dram shop liability exist?	No

Social Host Liability	
Does a statute create social host liability?	Yes
Does the statute limit damages that may be recovered?	No
Does the statute limit who may be sued?	No
Does the statute limit elements or standards of proof?	Yes (knowledge of visible intoxication)
Does common law social host liability exist?	No

Prohibitions Against Hosting Underage Drinking Parties	
Does a statute prohibit hosting underage drinking parties?	Yes
Is the statute specific to underage parties, or a general prohibition against permitting underage drinking on the property?	General
What action by underage guest triggers a violation?	Consumption
Property type covered by the law?	Residential/Outdoor/Other
What level of knowledge by the host is required?	Knowledge: Host must have actual knowledge of party
Does host's preventive action protect him/her from being held liable?	No
Are there any exceptions for underage guests?	No

Retailer Interstate Shipments of Alcohol	
Are out-of-state retailers prohibited from sending interstate shipments to in-state consumers?	
Beer	Yes
Wine	Yes
Spirits	Yes

Direct Shipments/Sales	
May alcohol producers ship directly to consumers?	Yes
What alcohol types may be shipped?	Wine
Must purchaser make mandatory trip to producer before delivery is authorized?	Yes
Age verification requirements	
Must the producer/shipper verify purchaser's age before sale?	Yes
Must the common carrier (deliverer) verify age of recipients?	Yes
State approval/permit requirements	
Must the producer/manufacture obtain state license or permit?	Yes
Must the common carrier (deliverer) be approved by a state agency?	Yes
Recording/reporting requirements	
Must the producer/manufacture record/report purchaser's name?	Yes
Must the common carrier (deliverer) record/report recipient's name?	No
Shipping label requirements	
Must the label state "Package contains alcohol"?	Yes
Must the label state "Recipient must be 21 years old"?	Yes

Note: Brewers that manufacture not more than 30,000 barrels of beer in a single calendar year may ship up to one-half barrel of beer directly to Indiana consumers without being subject to the restrictions placed on wine shipments.

Keg Registration	
How is a keg defined (in gallons)?	Equal to or more than 7.75
Prohibitions	
Is it illegal to possess an unregistered or unlabeled keg and if so, what is the penalty?	Yes (maximum fine/jail, \$1,000)
Is it illegal to destroy the label on a keg, and if so, what is the penalty?	No
What purchaser information is collected?	
Must the retailer collect the name and address?	Yes
Must the retailer collect the ID number, name and address on license or other government information?	Yes
Must the retailer collect the address at which keg will be consumed?	No
Must warning information be given to purchaser?	Not required
Is a deposit required?	No
Does law cover disposable kegs?	No

Home Delivery	
Is home delivery of alcohol permitted?	
Beer	Yes (6.75 to 15.75 gallons in a single transaction depending on the type of retail license)
Wine	Yes
Spirits	Yes (4 to 12 quarts in a single transaction depending on the type of retail license)

High-Proof Grain Alcohol Beverages	
Are there restrictions on the sale of high-proof grain alcohol beverages?	No
Are restrictions based on Alcohol by Volume (ABV)?	N/A
Are there exceptions to restrictions?	N/A

Laws Affecting Alcohol Pricing

Alcohol Taxes	
Beer	
Control system for beer?	No
Specific excise tax per gallon for 5% alcohol beer	\$0.12
Ad valorem excise tax (for on-premises sales) on total receipts for 5% alcohol beer	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant

Ad valorem excise tax (for off-premises sales) on total receipts for 5% alcohol beer	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Additional taxes for 3.2–6% alcohol beer (if applicable)	
Wine	
Control system for wine?	No
Specific excise tax per gallon for 12% alcohol wine	\$0.47
Ad valorem excise tax (for on-premises sales) on total receipts for 12% alcohol wine	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Ad valorem excise tax (for off-premises sales) on total receipts for 12% alcohol wine	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Additional taxes for 6–14% alcohol wine (if applicable)	
Spirits	
Control system for spirits?	No
Specific excise tax per gallon for 40% alcohol spirits	\$2.68
Ad valorem excise tax (for on-premises sales) on total receipts for 40% alcohol spirits	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Ad valorem excise tax (for off-premises sales) on total receipts for 40% alcohol spirits	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant

• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Additional taxes for 15–50% alcohol spirits (if applicable)	\$0.47 per gallon applies to an alcoholic beverage that contains 15% or less

Low-Price, High-Volume Drink Specials	
What types of drink specials are prohibited by on-premises retailers?	
Free beverages	No
Multiple servings at one time	No
Multiple servings for same price as single serving	Yes
Reduced price for a specified day or time (i.e., happy hours)	Yes (full-day price reductions not banned)
Unlimited beverages for fixed price	No
Increased volume without increase in price	No

Wholesaler Pricing Restrictions	
Beer	
Are volume discounts to retailers allowed?	No law
Must wholesalers establish a minimum markup or maximum discount for each product sold to retailers?	No law
Must wholesalers publicly post and hold (i.e., not reduce) prices for a set period of time?	Post and hold (7 days)
Is wholesaler permitted to extend credit to retailer and if so, what is the maximum time period?	No
Wine	
Are volume discounts to retailers allowed?	No law
Must wholesalers establish a minimum markup or maximum discount for each product sold to retailers?	No law
Must wholesalers publicly post and hold (i.e., not reduce) prices for a set period of time?	Post and hold (7 days)
Is wholesaler permitted to extend credit to retailer and if so, what is the maximum time period?	Yes (15 days)
Spirits	
Are volume discounts to retailers allowed?	No law
Must wholesalers establish a minimum markup or maximum discount for each product sold to retailers?	No law
Must wholesalers publicly post and hold (i.e., not reduce) prices for a set period of time?	Post and hold (7 days)
Is wholesaler permitted to extend credit to retailer and if so, what is the maximum time period?	Yes (15 days)

Note: All prices, discounts, or allowances offered by wholesalers shall be disseminated to customers in such a manner and for such a period of time as to insure that customers are afforded reasonable opportunity to secure the discount. For dissemination purposes, the customer is anyone the wholesaler had sold alcoholic beverages to within the last 30 days. For purposes of this rule, a reasonable opportunity to secure the discount shall be presumed when offer is extended for not less than 7 days after dissemination of the price list.

Indiana State Survey Responses

State Agency Information

Agency with primary responsibility for enforcing underage drinking laws:

Indiana Alcohol and Tobacco Commission/Indiana State Excise Police

Enforcement Strategies

State law enforcement agencies use:

Cops in Shops	Yes
Shoulder Tap Operations	No
Party Patrol Operations or Programs	No
Underage Alcohol-Related Fatality Investigations	Yes

Local law enforcement agencies use:

Cops in Shops	No
Shoulder Tap Operations	No
Party Patrol Operations or Programs	Yes
Underage Alcohol-Related Fatality Investigations	No

State has a program to investigate and enforce direct sales/shipment laws Yes

Primary state agency responsible for enforcing laws addressing direct sales/shipments of alcohol to minors Indiana State Excise Police/Indiana Alcohol and Tobacco Commission

Such laws are also enforced by local law enforcement agencies No

Enforcement Statistics

State collects data on the number of minors found in possession Yes

Number of minors found in possession by state law enforcement agencies 2,431

Number pertains to the 12 months ending 12/31/2014

Data include arrests/citations issued by local law enforcement agencies No

State conducts underage compliance checks/decoy operations² to determine if alcohol retailers are complying with laws prohibiting sales to minors Yes

Data are collected on these activities Yes

Number of retail licensees in state³ 13,695

Number of licensees checked for compliance by state agencies (including random checks) 13,102

Number of licensees that failed state compliance checks 1,158

Numbers pertain to the 12 months ending 12/31/2014

Compliance checks/decoy operations conducted at on-sale, off-sale, or both retail establishments Both on- and off-sale establishments

State conducts **random** underage compliance checks/decoy operations Yes

Number of licensees subject to **random** state compliance checks/decoy operations 13,102

Number of licensees that failed **random** state compliance checks 1,158

Local agencies conduct underage compliance checks/decoy operations to determine if alcohol retailers are complying with laws prohibiting sales to minors No

Data are collected on these activities No

Number of licensees checked for compliance by local agencies Not applicable

Number of licensees that failed local compliance checks Not applicable

Numbers pertain to the 12 months ending Not applicable

Sanctions

State collects data on fines imposed on retail establishments that furnish minors Yes

Number of fines imposed by the state⁴ No data

Total amount in fines across all licensees \$579,000

Smallest fine imposed No data

Largest fine imposed	No data
Numbers pertain to the 12 months ending	12/31/2014
<i>State collects data on license suspensions imposed on retail establishments specifically for furnishing minors</i>	
	Yes
Number of suspensions imposed by the state ⁵	No data
Total days of suspensions across all licensees	No data
Shortest period of suspension imposed (in days)	No data
Longest period of suspension imposed (in days)	No data
Numbers pertain to the 12 months ending	12/31/2014
<i>State collects data on license revocations imposed on retail establishments specifically for furnishing minors</i>	
	Yes
Number of license revocations imposed ⁶	No data
Numbers pertain to the 12 months ending	12/31/2014

Additional Clarification

Violation data by month are available at <http://www.in.gov/atc/ise/2676.htm>.

- ¹ Or having consumed or purchased per state statutes.
- ² Underage compliance checks/decoy operations to determine whether alcohol retailers are complying with laws prohibiting sales to minors.
- ³ Excluding special licenses such as temporary, seasonal, and common carrier licenses.
- ⁴ Does not include fines imposed by local agencies.
- ⁵ Does not include suspensions imposed by local agencies.
- ⁶ Does not include revocations imposed by local agencies.

Underage Drinking Prevention Programs Operated or Funded by the State

Indiana Coalition to Reduce Underage Drinking (ICRUD)

Program serves specific or general population	General population
Number of youth served	Not applicable
Number of parents served	Not applicable
Number of caregivers served	Not applicable
Program has been evaluated	No
Evaluation report is available	Not applicable
URL for evaluation report:	Not applicable
URL for more program information:	http://www.mhai.net/icrud and www.indianacollegiateactionnetwork.com

Program Description: ICRUD is a statewide advocacy coalition that also provides training and expertise on underage drinking, prevention, and policy (what communities can do to reduce underage drinking). Part of ICRUD is the Indiana Collegiate Action Network (ICAN), a statewide college initiative providing education, training, technical assistance, and minigrants to address high-risk drinking and other alcohol-related issues on campus.

Additional Underage Drinking Prevention Programs Operated or Funded by the State

Program description: No data

Additional Clarification

Within these programs various initiatives have evaluation components—the social media campaign that ICRUD has launched, as well as the minigrants that campuses receive. These minigrants must fund programs/efforts that are best practices or promising practices to receive funding.

Additional Information Related to Underage Drinking Prevention Programs

<i>State collaborates with federally recognized tribal governments in the prevention of underage drinking</i>	No
Description of collaboration:	Not applicable

<i>State has programs to measure and/or reduce youth exposure to alcohol advertising and marketing</i>	No
Description of program:	Not applicable
<i>State has adopted or developed best practice standards for underage drinking prevention programs</i>	Yes
Agencies/organizations that established best practices standards:	
Federal agency(ies): Center for Substance Abuse Prevention (CSAP), SAMHSA	Yes
Agency(ies) within your state:	No
Nongovernmental agency(ies):	No
Other:	No
Best practice standards description: Indiana relies on guidance from CSAP. Currently DMHA funded communities use needs assessment data and select an evidence-based program or strategy to address those needs. Indiana is in the process of developing guidance on evidence-based best practices for substance abuse prevention, including underage drinking.	
Additional Clarification	
The Annual State Epidemiological Profile provides an overview of the state of underage drinking and alcohol use in Indiana: http://www.healthpolicy.iupui.edu/PubsPDFs/2014%20State%20Epi%20Report.pdf	
The Indiana Prevention Resource Center collects and disseminates an annual youth survey that includes information on alcohol: http://www.drugs.indiana.edu/indiana-youth-survey/indianasurvey	
State Interagency Collaboration	
<i>A state-level interagency governmental body/committee exists to coordinate or address underage drinking prevention activities</i>	Yes
<i>Committee contact information:</i>	
Name: Julie Gries	
Email: Julie.Gries@fssa.in.gov	
Address: 402 West Washington St., Room W353, Indianapolis, IN 46204	
Phone: 317-232-7894	
<i>Agencies/organizations represented on the committee:</i>	
Indiana Department of Education	
Indiana Department of Children's Services	
Indiana Department of Health—Chronic Disease Division	
Indiana Department of Health—Tobacco Prevention and Cessation	
Indiana Criminal Justice Institute	
<i>A website or other public source exists to describe committee activities</i>	No
URL or other means of access:	Not applicable
Underage Drinking Reports	
<i>State has prepared a plan for preventing underage drinking in the last 3 years</i>	No
Prepared by:	Not applicable
Plan can be accessed via:	Not applicable
<i>State has prepared a report on preventing underage drinking in the last 3 years</i>	Yes
Prepared by: The Center for Health Policy prepares an annual epidemiological report that has a chapter on alcohol. Plan can be accessed via:	
http://www.healthpolicy.iupui.edu/PubsPDFs/2014%20State%20Epi%20Report.pdf	
Additional Clarification	
The interagency collaboration listed is composed of state agencies and has a substance abuse prevention focus. This group is newly formed. Additional information and collaboration are solicited as needed.	
State Expenditures for the Prevention of Underage Drinking	
<i>Compliance checks in retail outlets:</i>	
Estimate of state funds expended	\$250,000
Estimate based on the 12 months ending	6/30/2015

<i>Checkpoints and saturation patrols:</i>	
Estimate of state funds expended	Data not available
Estimate based on the 12 months ending	Data not available
<i>Community-based programs to prevent underage drinking:</i>	
Estimate of state funds expended	No data
Estimate based on the 12 months ending	No data
<i>K–12 school-based programs to prevent underage drinking:</i>	
Estimate of state funds expended	No data
Estimate based on the 12 months ending	No data
<i>Programs targeted to institutes of higher learning:</i>	
Estimate of state funds expended	No data
Estimate based on the 12 months ending	No data
<i>Programs that target youth in the juvenile justice system:</i>	
Estimate of state funds expended	No data
Estimate based on the 12 months ending	No data
<i>Programs that target youth in the child welfare system:</i>	
Estimate of state funds expended	Data not available
Estimate based on the 12 months ending	Data not available
<i>Other programs:</i>	
Programs or strategies included	Data not available
Estimate of state funds expended	Data not available
Estimate based on the 12 months ending	Data not available

Funds Dedicated to Underage Drinking

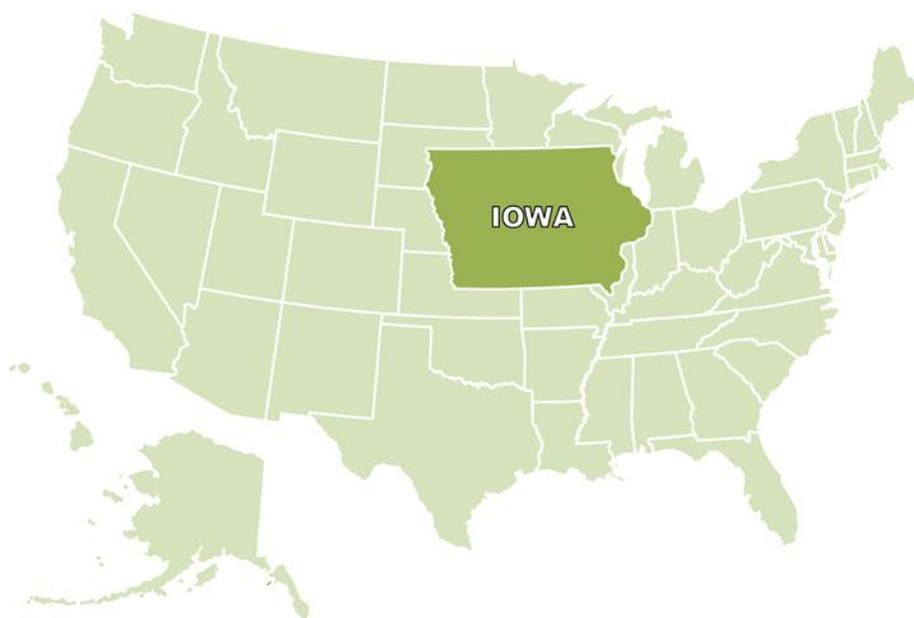
State derives funds dedicated to underage drinking from the following revenue streams:

Taxes	No
Fines	Yes
Fees	Yes
Other	Not applicable

Description of funding streams and how they are used:
 These funds go directly to the local coordinating councils in all 92 counties in Indiana. These councils decide how these funds are used to address substance abuse treatment and prevention.

Additional Clarification

Other than the funds the Local Coordinating Councils receive from fines and forfeitures and a small sum required for retail compliance checks, all other underage drinking prevention initiatives are funded with federal dollars, either from the SAPT Block Grant or from EUDL funds. No other state dollars are dedicated to the prevention of underage drinking.



Iowa

State Population: 3,107,126

Population Ages 12–20: 377,000

	Percentage	Number
Ages 12–20		
Past-Month Alcohol Use	27.5	104,000
Past-Month Binge Alcohol Use	18.9	71,000
Ages 12–14		
Past-Month Alcohol Use	3.7	4,000
Past-Month Binge Alcohol Use	0.8	1,000
Ages 15–17		
Past-Month Alcohol Use	21.5	27,000
Past-Month Binge Alcohol Use	12.7	16,000
Ages 18–20		
Past-Month Alcohol Use	53.8	73,000
Past-Month Binge Alcohol Use	40.3	54,000
Alcohol-Attributable Deaths (under 21)		32
Years of Potential Life Lost (under 21)		1,962
	Percentage of All Traffic Fatalities	Number
Traffic Fatalities, 15- to 20-Year-Old Drivers with BAC > 0.01	20	10

Laws Addressing Minors in Possession of Alcohol

Underage Possession	
Is underage possession of alcoholic beverages prohibited?	Yes
Are there exceptions based on family relationships?	
• Is possession allowed if parent or guardian is present or consents?	Yes, in specified locations – See below
• Is possession allowed if spouse is present or consents?	No
Is there an exception based on location?	Yes, in private residence if parent/guardian is present or consents

Underage Consumption	
Is underage consumption of alcoholic beverages prohibited?	Yes
Are there exceptions based on family relationships?	
• Is consumption allowed if the parent or guardian is present or consents?	Yes, in specified locations – See below
• Is consumption allowed if the spouse is present or consents?	No
Is there an exception based on location?	Yes, in private residence if parent/guardian is present or consents
<p><i>Note: Iowa law does not specifically prohibit consumption of alcohol by persons under 21. Iowa does, however, have a general statute prohibiting the use or consumption of alcohol by any person in a public place. In addition, Iowa law provides that if a child, defined as a person under 18, is found to have violated the general prohibition against consumption of alcohol in a public place, the child's driver's license or operating privilege may be suspended or revoked for a period of 1 year. For more information, see Loss of Driving Privileges for Alcohol Violations by Minors ("Use/Lose" Laws).</i></p>	

Underage Internal Possession	
Is underage internal possession of alcoholic beverages prohibited?	No law
Are there exceptions based on family relationships?	
• Is internal possession allowed if the parent or guardian is present or consents?	N/A
• Is internal possession allowed if the spouse is present or consents?	N/A
Is there an exception based on location?	No

Underage Purchase and Attempted Purchase	
Is the purchase of alcoholic beverages prohibited?	Yes
May youth purchase for law enforcement purposes?	No

False Identification for Obtaining Alcohol	
Provisions Targeting Minors	
Is the use of false identification (ID) prohibited?	Yes
Does the use of a false ID result in minor's driver's license suspension?	Yes, through both judicial and administrative processes
Provisions Targeting Suppliers	
Is the lending or transferring or selling of a false ID prohibited?	No
Is the production of a false ID in the context of underage alcohol sales specifically prohibited?	No

Retailer Support Provisions	
Is there an incentive for the retailer to use electronic scanners for information digitally encoded on valid IDs?	No
Are state driver's licenses for persons under 21 easily distinguishable from licenses for persons 21 and over?	Yes
May retailers seize apparently false IDs without fear of prosecution even if the ID is ultimately deemed valid?	Yes
Does an affirmative defense exist for the retailer?	Yes
<ul style="list-style-type: none"> Is it a specific affirmative defense (retailer reasonably believed ID was valid after examining it)? 	No
<ul style="list-style-type: none"> Is it a general affirmative defense (retailer reasonably believed purchaser was over 21)? 	Yes
Does the retailer have the right to sue the minor for use of a false ID?	No
May a retailer detain a minor who used a false ID?	No

Laws Targeting Underage Drinking and Driving

Youth Blood Alcohol Concentration Limits (Underage Operators of Noncommercial Motor Vehicles)	
What is the maximum blood alcohol concentration (BAC) limit for an underage driver of a motor vehicle?	0.02
Does a BAC level in excess of limit automatically establish a violation (per se violation)?	Yes
What is the minimum age to which the limit applies?	0
What is the maximum age to which the limit applies?	21

Loss of Driving Privileges for Alcohol Violations by Minors ("Use/Lose" Laws)	
Is there a "use/lose" law that suspends or revokes a minor's driving privileges for alcohol violations?	Yes
What types of violation lead to license suspension or revocation?	
<ul style="list-style-type: none"> Purchase of alcohol 	Yes
<ul style="list-style-type: none"> Possession of alcohol 	No
<ul style="list-style-type: none"> Consumption of alcohol 	Yes
The law applies to people under what age?	18
Is suspension or revocation mandatory or discretionary?	Discretionary
What is the length of suspension/revocation?	
Minimum number of days	365
Maximum number of days	365

Graduated Driver's Licenses	
Learner Stage	
What is the minimum age for permit to drive with parents, guardians or other adults (other than instructors)?	14
What is the minimum number of months driver must hold learner permit before advancing to intermediate stage?	12
What is the minimum number of hours of driving with parents, guardians, or adults before advancing to intermediate stage?	20 (2 of which must be at night)
Intermediate Stage	
What is the minimum age for driving without adult supervision?	16

For night driving, when does adult supervision requirement begin?	12:30 am
Can law enforcement stop a driver for night-driving violation as a primary offense?	Yes – Officer may stop driver for night-driving violation
Are there restrictions on passengers?	Yes – No more than one unrelated minor passenger unless waived by the licensee's parent at time intermediate license is issued
Can law enforcement stop driver for violation of passenger restrictions as a primary offense?	Yes – Officer may stop driver for passenger restrictions violation
License Stage	
What is the minimum age for full license privileges and lifting of restrictions?	17
<i>Note:</i> In addition to the supervised driving requirement at the learner's stage, Iowa requires an intermediate license holder to complete 10 hours of supervised driving with two of these hours being at night.	

Laws Targeting Alcohol Suppliers

Furnishing Alcohol to Minors	
Is furnishing of alcoholic beverages to minors prohibited?	Yes
Are there exceptions based on family relationships?	
• Is furnishing allowed if the parent or guardian supplies the alcohol?	Yes in specified locations
• Is furnishing allowed if the spouse supplies the alcohol?	No
Is there an exception based on location?	Yes, in any private residence if parent/guardian supplies alcohol
Affirmative Defense for Sellers and Licensees	
Does law require seller/licensee to be exonerated of furnishing to a minor if the minor has not been charged?	No

Compliance Check Protocols	
Does the state have a written protocol for when an underage decoy is used in compliance checks?	No data
What is the minimum age a decoy may be to participate in a compliance check?	N/A
What is the maximum age a decoy may be to participate in a compliance check?	N/A
What are the decoy's appearance requirements?	N/A
Does decoy carry ID during compliance check?	N/A
May decoy verbally exaggerate his or her actual age?	N/A
Is decoy training mandated, recommended, prohibited, or not specified?	N/A

Penalty Guidelines for Sales to Minors	
Are there written guidelines for penalties imposed on retailers for furnishing to a minor?	Yes
What is the time period for defining second, third, and subsequent offenses?	Second offense, 2 years; third and subsequent offenses, 3 years
What is the penalty for the first offense?	\$500 fine

What is the penalty for the second offense?	\$1,500 fine and 30-day suspension
What is the penalty for the third offense?	\$1,500 fine and 60-day suspension
What is the penalty for the fourth offense?	License revocation
<i>Note:</i> Affirmative defense possible for licensees when the employee guilty of the violation has successfully completed the Iowa Program for Alcohol Compliance Training prior to the violation occurring and the sale/service was made to someone between ages 18 and 20. A violation involving a sale to a person under 18 does not qualify for affirmative defense. A licensee may use affirmative defense only once in a 4-year time period.	

Responsible Beverage Service (RBS)	
Is there a state law pertaining to beverage service training?	Yes – Voluntary
If training is mandatory, who must participate?	N/A
If training is voluntary, which of the following incentives are offered?	
• Defense in dram shop liability lawsuits	No
• Discounts in dram shop liability insurance, license fees, or other	No
• Mitigation of fines or other administrative penalties for sales to minors or intoxicated persons	Yes
• Protection against license revocation for sales to minors or sales to intoxicated persons	Yes
Does the RBS law apply to on-premises establishments (such as bars and restaurants) or off-premises establishments (such as liquor stores)?	Both
Does the RBS law apply to new or existing licensees?	Unspecified
<i>Note:</i> The mitigation of penalties incentive does not apply if a sale is made to a minor under age 18.	

Minimum Age for Sellers of Alcohol – Off-Premises (i.e., Liquor Stores)	
What is the minimum age requirement for off-premises retail establishments?	
Beer	16
Wine	16
Spirits	18
Does a manager or supervisor have to be present?	No

Minimum Age for Alcohol Servers and Bartenders – On-Premises (i.e., Restaurants and Bars)	
What is the minimum age requirement for servers in on-premises establishments?	
Beer	18
Wine	18
Spirits	18
What is the minimum age requirement for bartenders in on-premises establishments?	
Beer	18
Wine	18
Spirits	18
Does a manager or supervisor have to be present?	No

Alcohol Outlet Siting Near Schools and Universities	
Colleges and Universities	
Is there a distance requirement for off-premises outlets (i.e., liquor stores)?	No
Is there a distance requirement for on-premises outlets (i.e., restaurants and bars)?	No

To which alcohol products does requirement apply?	N/A
Primary and Secondary Schools	
Is there a distance requirement for off-premises outlets (i.e., liquor stores)?	No
Is there a distance requirement for on-premises outlets (i.e., restaurants and bars)	No
To which alcohol products does requirement apply?	N/A

Dram Shop Liability	
Does a statute create dram shop liability?	Yes
Does the statute limit damages that may be recovered?	No
Does the statute limit who may be sued?	Yes (retailers that furnish alcohol for off-premises consumption are exempt)
Does the statute limit elements or standards of proof?	Yes (retailer should have known that minor was intoxicated or was going to become intoxicated)
Does common law dram shop liability exist?	No

Social Host Liability	
Does a statute create social host liability?	Yes
Does the statute limit damages that may be recovered?	No
Does the statute limit who may be sued?	No
Does the statute limit elements or standards of proof?	Yes (social host should have known that minor was intoxicated or was going to become intoxicated)
Does common law social host liability exist?	No

Prohibitions Against Hosting Underage Drinking Parties	
Does a statute prohibit hosting underage drinking parties?	Yes
Is the statute specific to underage parties, or a general prohibition against permitting underage drinking on the property?	General
What action by underage guest triggers a violation?	Possession/Consumption
Property type covered by the law?	Residential/Outdoor/Other
What level of knowledge by the host is required?	Knowledge: Host must have actual knowledge of party
Does host's preventive action protect him/her from being held liable?	No
Are there any exceptions for underage guests?	Yes – Family members
<i>Note: Iowa's social host statute applies only to possession or consumption by persons under age 18. This law does not apply to a landlord or manager of the property.</i>	

Retailer Interstate Shipments of Alcohol	
Are out-of-state retailers prohibited from sending interstate shipments to in-state consumers?	
Beer	Yes
Wine	Yes
Spirits	Yes

Direct Shipments/Sales	
May alcohol producers ship directly to consumers?	Yes
What alcohol types may be shipped?	Wine
Must purchaser make mandatory trip to producer before delivery is authorized?	No
Age verification requirements	
Must the producer/shipper verify purchaser's age before sale?	No
Must the common carrier (deliverer) verify age of recipients?	Yes
State approval/permit requirements	
Must the producer/manufacture obtain state license or permit?	Yes
Must the common carrier (deliverer) be approved by a state agency?	Yes
Recording/reporting requirements	
Must the producer/manufacture record/report purchaser's name?	No
Must the common carrier (deliverer) record/report recipient's name?	Yes
Shipping label requirements	
Must the label state "Package contains alcohol"?	Yes
Must the label state "Recipient must be 21 years old"?	Yes

Keg Registration	
How is a keg defined (in gallons)?	Equal to or more than 5.00
Prohibitions	
Is it illegal to possess an unregistered or unlabeled keg and if so, what is the penalty?	No
Is it illegal to destroy the label on a keg, and if so, what is the penalty?	Yes (maximum fine/jail, \$625/30 days)
What purchaser information is collected?	
Must the retailer collect the name and address?	Yes
Must the retailer collect the ID number, name and address on license or other government information?	Yes
Must the retailer collect the address at which keg will be consumed?	No
Must warning information be given to purchaser?	Yes – Passive (requires no action by purchaser)
Is a deposit required?	No
Does law cover disposable kegs?	Yes

Home Delivery	
Is home delivery of alcohol permitted?	
Beer	Yes
Wine	Yes
Spirits	Yes

High-Proof Grain Alcohol Beverages	
Are there restrictions on the sale of high-proof grain alcohol beverages?	No. However, Iowa is a control state, and control states may impose additional restrictions on the sale of products that are not reflected in statute or regulation.
Are restrictions based on Alcohol by Volume (ABV)?	N/A
Are there exceptions to restrictions?	N/A

Laws Affecting Alcohol Pricing

Alcohol Taxes	
Beer	
Control system for beer?	No
Specific excise tax per gallon for 5% alcohol beer	\$0.19
Ad valorem excise tax (for on-premises sales) on total receipts for 5% alcohol beer	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Ad valorem excise tax (for off-premises sales) on total receipts for 5% alcohol beer	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Additional taxes for 3.2–6% alcohol beer (if applicable)	
Wine	
Control system for wine?	No
Specific excise tax per gallon for 12% alcohol wine	\$1.75
Ad valorem excise tax (for on-premises sales) on total receipts for 12% alcohol wine	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Ad valorem excise tax (for off-premises sales) on total receipts for 12% alcohol wine	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant

• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Additional taxes for 6–14% alcohol wine (if applicable)	
Spirits	
Control system for spirits?	Yes
Specific excise tax per gallon for 40% alcohol spirits	
Ad valorem excise tax (for on-premises sales) on total receipts for 40% alcohol spirits	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Ad valorem excise tax (for off-premises sales) on total receipts for 40% alcohol spirits	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Additional taxes for 15–50% alcohol spirits (if applicable)	

Low-Price, High-Volume Drink Specials	
What types of drink specials are prohibited by on-premises retailers?	
Free beverages	No
Multiple servings at one time	No
Multiple servings for same price as single serving	No
Reduced price for a specified day or time (i.e., happy hours)	No
Unlimited beverages for fixed price	No
Increased volume without increase in price	No

Wholesaler Pricing Restrictions	
Beer	
Are volume discounts to retailers allowed?	No law
Must wholesalers establish a minimum markup or maximum discount for each product sold to retailers?	No law
Must wholesalers publicly post and hold (i.e., not reduce) prices for a set period of time?	No law
Is wholesaler permitted to extend credit to retailer and if so, what is the maximum time period?	No
Wine	
Are volume discounts to retailers allowed?	No law
Must wholesalers establish a minimum markup or maximum discount for each product sold to retailers?	No law

Must wholesalers publicly post and hold (i.e., not reduce) prices for a set period of time?	Post and hold (30 days)
Is wholesaler permitted to extend credit to retailer and if so, what is the maximum time period?	Yes (30 days)
Spirits	Control System
Are volume discounts to retailers allowed?	N/A
Must wholesalers establish a minimum markup or maximum discount for each product sold to retailers?	N/A
Must wholesalers publicly post and hold (i.e., not reduce) prices for a set period of time?	N/A
Is wholesaler permitted to extend credit to retailer and if so, what is the maximum time period?	N/A

Iowa State Survey Responses

State Agency Information

Agency with primary responsibility for enforcing underage drinking laws:

The Iowa State Patrol within the Iowa Department of Public Safety is the agency primarily responsible for statewide enforcing of underage drinking laws. The Iowa State Patrol works closely with local law enforcement agencies to conduct projects involving underage drinking. Strong working relationships have enabled the program to succeed and prosper into something that is making a difference in communities across Iowa. The Division of Criminal and Juvenile Justice Planning in the Iowa Department of Human Rights has received Enforcing Underage Drinking Laws (EUDL) grant funds, and part of those funds are used by the State Patrol and other local law enforcement agencies to conduct compliance checks and other underage drinking education efforts. Some community coalitions also fund compliance checks. The Alcoholic Beverages Division (ABD) of the Iowa Department of Commerce also partners with local law enforcement when following up on a complaint or an investigation.

Enforcement Strategies

State law enforcement agencies use:

Cops in Shops	No
Shoulder Tap Operations	No
Party Patrol Operations or Programs	No
Underage Alcohol-Related Fatality Investigations	Yes

Local law enforcement agencies use:

Cops in Shops	Yes
Shoulder Tap Operations	Yes
Party Patrol Operations or Programs	Yes
Underage Alcohol-Related Fatality Investigations	Yes

State has a program to investigate and enforce direct sales/shipment laws Yes

Primary state agency responsible for enforcing laws addressing direct sales/shipments of alcohol to minors

The Iowa ABD monitors shipment of wine to individual households. This is allowed if the shipper has a Direct Shippers license issued by this agency. Because Iowa ABD can enforce only those actually holding licenses, affecting the actions of non-licensed entities is a struggle.

Such laws are also enforced by local law enforcement agencies Don't know

Enforcement Statistics

State collects data on the number of minors found in possession	Yes
Number of minors found in possession by state law enforcement agencies	2,126
Number pertains to the 12 months ending	12/31/2014
Data include arrests/citations issued by local law enforcement agencies	No
State conducts underage compliance checks/decoy operations ² to determine if alcohol retailers are complying with laws prohibiting sales to minors	Yes
Data are collected on these activities	Yes
Number of retail licensees in state ³	8,500
Number of licensees checked for compliance by state agencies (including random checks)	739
Number of licensees that failed state compliance checks	84
Numbers pertain to the 12 months ending	12/31/2014

Compliance checks/decoy operations conducted at on-sale, off-sale, or both retail establishments	Both on- and off-sale establishments
<i>State conducts random underage compliance checks/decoy operations</i>	Yes
Number of licensees subject to random state compliance checks/decoy operations	739
Number of licensees that failed random state compliance checks	84
<i>Local agencies conduct underage compliance checks/decoy operations to determine if alcohol retailers are complying with laws prohibiting sales to minors</i>	Yes
Data are collected on these activities	No
Number of licensees checked for compliance by local agencies	Not applicable
Number of licensees that failed local compliance checks	Not applicable
Numbers pertain to the 12 months ending	12/31/2014
Sanctions	
<i>State collects data on fines imposed on retail establishments that furnish minors</i>	Yes
Number of fines imposed by the state ⁴	188
Total amount in fines across all licensees	\$118,000
Smallest fine imposed	\$500
Largest fine imposed	\$1,500
Numbers pertain to the 12 months ending	12/31/2014
<i>State collects data on license suspensions imposed on retail establishments specifically for furnishing minors</i>	Yes
Number of suspensions imposed by the state ⁵	28
Total days of suspensions across all licensees	900
Shortest period of suspension imposed (in days)	30
Longest period of suspension imposed (in days)	60
Numbers pertain to the 12 months ending	12/31/2014
<i>State collects data on license revocations imposed on retail establishments specifically for furnishing minors</i>	Yes
Number of license revocations imposed ⁶	0
Numbers pertain to the 12 months ending	12/31/2014

Additional Clarification

Alcohol compliance check data are based on the EUDL-funded checks through the Department of Human Rights, Division of Criminal and Juvenile Justice Planning, which provides funding to the Iowa State Patrol within the Iowa Department of Public Safety. Some EUDL funding is provided to the Juvenile Anti-Alcohol Group Task Force that encompasses 14 counties and conducts local compliance checks. EUDL funding was no longer awarded to states after FFY 2011. These services have been provided using a no-cost extension. This funding expires on 9/30/2015. The Alcoholic Beverages Division of the Department of Commerce conducts compliance checks but does not have law enforcement authority. Checks encompass more issues than underage drinking so the data were not included in the total. Through community coalitions and community-based agencies, more compliance checks are occurring, but Iowa does not have a centralized reporting system.

¹ Or having consumed or purchased per state statutes.

² Underage compliance checks/decoy operations to determine whether alcohol retailers are complying with laws prohibiting sales to minors.

³ Excluding special licenses such as temporary, seasonal, and common carrier licenses.

⁴ Does not include fines imposed by local agencies.

⁵ Does not include suspensions imposed by local agencies.

⁶ Does not include revocations imposed by local agencies.

Underage Drinking Prevention Programs Operated or Funded by the State

Enforcing Underage Drinking Laws (EUDL) through the Office of Juvenile Justice and Delinquency Prevention

Program serves specific or general population	General population
Number of youth served	Not applicable

Number of parents served	Not applicable
Number of caregivers served	Not applicable
Program has been evaluated	Yes
Evaluation report is available	No
URL for evaluation report:	Not applicable
URL for more program information:	http://www.ojdp-dctat.org and http://www.ialert.iowa.gov

Program Description: Program Description: The Iowa Department of Human Rights, Division of Criminal and Juvenile Justice Planning, awarded EUDL funding to these entities:

- Iowa State Patrol: Efforts include compliance checks and education.
- Dallas County Sheriff Juvenile Anti-Alcohol Group (JAAG) task force: JAAG consists of 14 law enforcement agencies, juvenile court, and prevention specialists. The focus is retailer checks, saturation and party patrols, safety check points, and festival/special events.
- I-Alert website: Assists retail licensees in developing a guide for their business to stay compliant with Iowa liquor laws.

EUDL funding was no longer awarded to states after FFY 2011. The services have been provided using a no-cost extension. This funding expires 9/30/2015.

Iowa Program for Alcohol Compliance Training (I-PACT)

Program serves specific or general population	General population
Number of youth served	Not applicable
Number of parents served	Not applicable
Number of caregivers served	Not applicable
Program has been evaluated	Yes
Evaluation report is available	No
URL for evaluation report:	Not applicable
URL for more program information:	http://www.I-PACT.com

Program Description: I-PACT, from the Iowa Department of Commerce, Alcoholic Beverages Division, has been available online since February 2012. Within the first 2 years of implementation, 25,659 users logged on and took the training to receive their certification. In calendar year 2014, 16,085 individuals were certified. The overall goal of I-PACT is increased voluntary compliance with the state's alcohol laws through education prior to penalty. The core objective of the program is to prevent illegal sales of alcohol by educating sellers and servers on current state liquor law as outlined in Iowa Code 123. The program asks that a PACT is made by: Iowa youth not to consume alcohol, Iowa retailers not to sell alcohol to underage, Iowa licensees not to serve alcohol to patrons under 21, and Iowa's law enforcement to enforce liquor laws.

D.A.R.E. Iowa

Program serves specific or general population	General population
Number of youth served	22,030
Number of parents served	22,030
Number of caregivers served	No data
Program has been evaluated	Yes
Evaluation report is available	Yes
URL for evaluation report:	http://www.dareiowa.org
URL for more program information:	http://www.dareiowa.org

Program Description: The mission of D.A.R.E. Iowa is to improve the quality of life for the youth of the state by assisting them to avoid harmful choices through developing and coordinating the resources and training necessary to permit local D.A.R.E. officers, schools, and communities to effectively provide D.A.R.E. instruction to the young people of Iowa. The program has been in Iowa since 1988 and currently has about 82 agencies and approximately 118 instructors serving 150 school districts and 277 schools.

Iowa Department of Education: Prime for Life OWI Program

Program serves specific or general population	Specific population
Number of youth served	1,332

Number of parents served	No data
Number of caregivers served	No data
Program has been evaluated	Yes
Evaluation report is available	Yes
URL for evaluation report:	No data
URL for more program information:	http://www.educateiowa.gov/adult-career-community-college/owi-education

Program Description: PRIME for Life is an alcohol and drug program designed to challenge common beliefs and attitudes that directly contribute to high-risk use of alcohol and other drug use. This state-mandated program is required for all individuals (regardless of age) convicted of operating while intoxicated (OWI) in Iowa. The program goals are to reduce the risk for health problems and impairment problems. PRIME for Life’s intervention component focuses on self-assessment to help people understand and accept the need for change. PRIME for Life is recognized as an evidence-based program on SAMHSA’s National Registry of Evidence-Based Programs and Practices (NREPP). During FY 2014, 13,504 offenders took PRIME for Life courses from one of 51 agencies statewide. Approximately 1,332 recipients were 20 years old or younger. The program is for offenders only; parents and caregivers are not included.

Iowa Department of Public Health (IDPH): Youth Diversion Programs

Program serves specific or general population	Specific population
Number of youth served	695
Number of parents served	169
Number of caregivers served	No data
Program has been evaluated	Yes
Evaluation report is available	Yes
URL for evaluation report:	Iowa Department of Public Health
URL for more program information:	No data

Program Description: IDPH funds 18 community-based agencies for 23 service areas, which collectively cover all 99 Iowa counties. These comprehensive substance abuse prevention contracts are funded by the prevention portion of the Substance Abuse Prevention and Treatment (SAPT) Block Grant and some state appropriations. Among the services provided are diversion programs in many of the 23 service areas. A diversion program is for youth who have received a minor-in-possession charge or other alcohol offense (except OWI). If the youth successfully completes the program, then he or she may be diverted from the court system. The programs have different names, such as “Rethinking Drinking” or “Juvenile Education Group (JEG),” and vary somewhat as to the number of sessions and whether a parent or guardian is required to attend. Not all the programs require a parent or guardian to attend. These programs are some of the most effective from program evaluations. In FY 2014 there was a large reduction in referrals from Juvenile Probation to the programs. Reasons given were turnover in probation officers, online courses option given, quicker completion, and less paperwork.

Iowa Department of Public Health: Alcohol, Tobacco, and Other Drug Education Programs included in Comprehensive Substance Abuse Prevention contracts

Program serves specific or general population	General population
Number of youth served	Not applicable
Number of parents served	Not applicable
Number of caregivers served	Not applicable
Program has been evaluated	Yes
Evaluation report is available	Yes
URL for evaluation report:	Iowa Department of Public Health
URL for more program information:	http://www.idph.ia.us/bh/sa_comprehensive_prevention.asp

Program Description: Through the SAPT Block Grant, IDPH funds Comprehensive Substance Abuse Prevention contracts. The contracts collectively cover all 99 Iowa counties. In FY 2012 some state funds and some other funds from fees were included in the contracts. A main service provided is alcohol, tobacco, and other drug education programs in school and community settings. Many are small-group, recurring-service (multiple sessions),

evidence-based programs. The names of the evidence-based programs include LifeSkills Training Program, Project ALERT, Project Towards No Tobacco Use, Project Towards No Drug Abuse, All Stars, and Too Good For Drugs. Other prevention strategies are included under this funding as well. Because the funding covers alcohol and other drugs, data on youth served specific to underage drinking are not available. For all the funding combined, 95,136 youths were served.

Iowa Department of Public Health: Youth Mentoring and Prevention Through Mentoring Programs

Program serves specific or general population	Specific population
Number of youth served	1,262
Number of parents served	No data
Number of caregivers served	No data
Program has been evaluated	Yes
Evaluation report is available	No
URL for evaluation report:	Not applicable
URL for more program information:	http://www.idph.state.ia.us/bh/sa_youth_mentoring.asp

Program Description: IDPH receives state appropriations to fund the Prevention Through Mentoring contracts, which create new and support existing community youth mentoring programs. The program supports the state's goals of primary prevention of the use or abuse of alcohol, tobacco, and other drugs. Other funding from fees from Sunday liquor permits is used by IDPH for the Youth Mentoring contracts. These also establish or sustain mentoring programs that promote relationship building and social skills development, use elements of effective practice as established by the National Mentoring Partnership, and promote a positive perception of caring adults in the community.

Iowa Department of Public Health: Youth Development Program

Program serves specific or general population	General population
Number of youth served	3,638
Number of parents served	No data
Number of caregivers served	No data
Program has been evaluated	Yes
Evaluation report is available	Yes
URL for evaluation report:	http://iconsortium.subst-abuse.uiowa.edu/downloads/IDPH/YDEvaluationReportFY14.pdf
URL for more program information:	http://www.idph.state.ia.us/bh/sa_youth_development.asp

Program Description: The program provides evidence-based substance abuse prevention programming for youth (ages 5–18) that includes out-of-school activities and opportunities for character development, youth development, leadership, and community service. The youth development approach is a way of working with young people that calls for providing youth the developmental experiences shown to promote a healthy transition toward adulthood. The objectives are to provide evidence-based youth development programming effective in reducing substance abuse in children, and to provide specific out-of-school youth development and service opportunities in the community. The funding is from state appropriations. In FY 2014, the total youth served decreased significantly, mainly due to school districts not allowing as many youth to be served through the in-school curriculum.

Iowa Department of Public Health: Strategic Prevention Framework State Incentive Grant (SPF SIG)

Program serves specific or general population	General population
Number of youth served	Not applicable
Number of parents served	Not applicable
Number of caregivers served	Not applicable
Program has been evaluated	Yes
Evaluation report is available	No
URL for evaluation report:	Not applicable

URL for more program information:

<http://www.iowaspfsig.org>

Program Description: IDPH received the SAMHSA-funded SPF SIG in 2009. It is a 5-year grant to prevent the onset and reduce the progression of substance abuse including childhood and underage drinking, reduce substance abuse-related problems in communities, and build prevention capacity and infrastructure at the state, Tribal, and community levels. SPF is a five-step process that assists states in developing a comprehensive plan and supports selected communities in implementing effective programs, policies, and practices. One of the two data-driven priorities for Iowa is underage drinking. Environmental strategies have been implemented in 23 Iowa counties selected based on needs data. Iowa received a No-Cost Extension from July 1, 2014, to January 31, 2015. No local service data are available at this time, and data on youth, parents, and caregivers served are not collected.

Iowa Department of Public Health: Community Coalition Grant Program

Program serves specific or general population	General population
Number of youth served	Not applicable
Number of parents served	Not applicable
Number of caregivers served	Not applicable
Program has been evaluated	No
Evaluation report is available	Not applicable
URL for evaluation report:	Not applicable
URL for more program information:	http://www.idph.state.ia.us/bh/sa_community_coalition.asp

Program Description: The grant program funds community coalitions to provide environmental substance abuse prevention strategies to reduce underage use of alcohol in communities. Coalitions receive up to \$3,000 from state appropriations for 1 year. Coalitions currently receiving funding from any state or federal agency in a cumulative amount of greater than \$10,000 are not eligible. In state FY 2014, eight coalitions were funded by IDPH. No numbers of youth or adults served were required in the year-end report. Additionally, 12 Iowa communities receive Drug-Free Communities (DFC) Support Program Grants or DFC Mentoring Grants from the Office of National Drug Control Policy (ONDCP) and SAMHSA. Much of their work is to prevent and reduce underage drinking, and it affects overall underage drinking efforts in Iowa. Several of the Substance Abuse Prevention and Treatment (SAPT) Block Grant-funded agencies work very closely with them. Also, Iowa has an Alliance of Coalitions for Change (AC4C), a network of substance abuse prevention coalitions that hold quarterly retreats and share strategies to reduce underage drinking. More information about DFCs is available from SAMHSA and the Office of National Drug Control Policy.

Additional Underage Drinking Prevention Programs Operated or Funded by the State

Program description: No data

Additional Clarification

No data

Additional Information Related to Underage Drinking Prevention Programs

<i>State collaborates with federally recognized tribal governments in the prevention of underage drinking</i>	No
Description of collaboration:	Not applicable
<i>State has programs to measure and/or reduce youth exposure to alcohol advertising and marketing</i>	No
Description of program:	Not applicable
<i>State has adopted or developed best practice standards for underage drinking prevention programs</i>	Yes
Agencies/organizations that established best practices standards:	
Federal agency(ies): SAMHSA Center for Substance Abuse Prevention	Yes
Agency(ies) within your state: Iowa Department of Public Health (IDPH), SPF SIG	Yes
Advisory Council members, see list under 2.C.1.b	

Nongovernmental agency(ies): SPF SIG Advisory Council members, see list under 2.C.1.b Yes
 Other: No

Best practice standards description: Best practice standards related specifically to selecting and implementing evidence-based interventions following the Strategic Prevention Framework (SPF). SPF definitions of "evidence-based" include interventions in one or more of the following three categories: (a) Included in federal registries, (b) reported (with positive effects on the primary targeted outcome) in peer-reviewed journals, or (c) documented effectiveness supported by other sources of information and the consensus judgment of informed experts as specified in the guidance document U.S. Department of Health and Human Services, Identifying and Selecting Evidence-Based Interventions.

Additional Clarification

Additional information about best practice standards: The IDPH-sponsored Evidence-Based Practice Workgroup, a subcommittee for the SPF SIG Advisory Council, made the recommendation to the Council to adopt the SAMHSA CSAP Guidance document (cited above) to define Evidence-Based Interventions. The Council supported the recommendation. The guidance is used for SPF SIG contracts and also for other state and federal funding administered by IDPH. Not all other agencies may specify using evidence-based programs and practices when funding contracts for prevention, but since underage drinking is a priority for the SPF SIG counties and for other funding, the guidance serves the majority of prevention contracts.

State Interagency Collaboration

A state-level interagency governmental body/committee exists to coordinate or address underage drinking prevention activities Yes

Committee contact information:

Name: Kathy Stone, Chair
 Email: Kathy.stone@idph.iowa.gov
 Address: IDPH, 321 East 12th Street, Des Moines, IA 50319
 Phone: 515-281-4417

Agencies/organizations represented on the committee:

Iowa Department of Public Health, Division of Behavioral Health
 Iowa Department of Commerce, Alcoholic Beverages Division
 Iowa Department of Education
 Iowa Department of Human Services
 Iowa Department of Human Rights, Division of Criminal Juvenile Justice Planning
 Iowa Department of Public Safety, Governor's Traffic Safety Bureau
 Iowa National Guard
 Iowa Consortium for Substance Abuse Research and Evaluation, University of Iowa
 Alliance of Coalitions for Change (AC4C)
 Iowa Behavioral Health Association
 CSAP State Project Officer
 Iowa Board of Certification
 Partnerships in Prevention Science Institute (PROSPER) at Iowa State University
 Community-based agencies
 Community college
 Law enforcement agency
 Faith community
 Youth are involved through the State of Iowa Youth Action Committee (SIYAC)
 A parent

A website or other public source exists to describe committee activities Yes

URL or other means of access: <http://idph.state.ia.us/spfsig>

Underage Drinking Reports

State has prepared a plan for preventing underage drinking in the last 3 years Yes

Prepared by: SPF SIG Advisory Council with staff support from the Iowa Department of Public Health

Plan can be accessed via: <http://www.idph.state.ia.us/spfsig/counties>

State has prepared a report on preventing underage drinking in the last 3 years Yes

Prepared by: State Epidemiological Workgroup
 Plan can be accessed via: http://www.idph.state.ia.us/bh/sa_epi_workgroup.asp
 and <http://www.iowa.gov/odcp/docs/2014StrategyFinal.pdf>

Additional Clarification

The previous state-level Underage Drinking Task Force voted to combine with the SPF SIG Advisory Council (at least for the remainder of the SPF SIG Project period, which has been extended until January 31, 2015). Representation on the two groups had started to overlap. The Iowa Governor's Office of Drug Control Policy produces the Iowa Drug Control Strategy as a required annual report to the legislature and the general public. The strategy describes substance abuse and related issues and includes underage alcohol use but does not report separately about underage drinking services. The State Epidemiological Workgroup produces an Epidemiological Profile every 2 years that includes data about underage alcohol use, but does not include services data.

State Expenditures for the Prevention of Underage Drinking

Compliance checks in retail outlets:

Estimate of state funds expended	\$0
Estimate based on the 12 months ending	12/31/2014

Checkpoints and saturation patrols:

Estimate of state funds expended	\$0
Estimate based on the 12 months ending	12/31/2014

Community-based programs to prevent underage drinking:

Estimate of state funds expended	\$462,329
Estimate based on the 12 months ending	6/30/2014

K-12 school-based programs to prevent underage drinking:

Estimate of state funds expended	Data not available
Estimate based on the 12 months ending	6/30/2014

Programs targeted to institutes of higher learning:

Estimate of state funds expended	\$94,871
Estimate based on the 12 months ending	6/30/2014

Programs that target youth in the juvenile justice system:

Estimate of state funds expended	\$0
Estimate based on the 12 months ending	6/30/2014

Programs that target youth in the child welfare system:

Estimate of state funds expended	\$0
Estimate based on the 12 months ending	6/30/2014

Other programs:

Programs or strategies included: Fees generated from Sunday beer and liquor permits fund the Iowa Department of Public Health Community Coalitions contracts, a portion of the Comprehensive Substance Abuse Prevention contracts (predominately funded by the SAPT Block Grant), and a portion of the Youth Mentoring Program contracts.

Estimate of state funds expended	\$328,556
Estimate based on the 12 months ending	6/30/2014

Funds Dedicated to Underage Drinking

State derives funds dedicated to underage drinking from the following revenue streams:

Taxes	No
Fines	No
Fees	Yes
Other	Not applicable

Description of funding streams and how they are used:

Some Iowa Department of Public Health prevention contracts are funded by fees generated from Sunday beer and liquor permits.

Additional Clarification

The Governor's Office of Drug Control Policy produces the Iowa Drug Control Strategy as a required annual report to the legislature and the general public. The Strategy describes funding, but allocations are not broken out specifically for underage drinking services. The Strategy is available at http://www.iowa.gov/odcp/drug_control_strategy/strategy.pdf.

The amount of funding provided for higher education was from three state universities, but was for students served, which may have included persons older than 21. With more specific substance abuse prevention services added to the Mentoring and Youth Development programs, a portion of the funding for these programs was included in the State Expenditures Section this year. The additional funding is not new funding.



Kansas

State Population: 2,904,021

Population Ages 12–20: 356,000

	Percentage	Number
Ages 12–20		
Past-Month Alcohol Use	22.9	82,000
Past-Month Binge Alcohol Use	15.4	55,000
Ages 12–14		
Past-Month Alcohol Use	3.2	4,000
Past-Month Binge Alcohol Use	1.3	1,000
Ages 15–17		
Past-Month Alcohol Use	19	24,000
Past-Month Binge Alcohol Use	12.5	16,000
Ages 18–20		
Past-Month Alcohol Use	45.5	54,000
Past-Month Binge Alcohol Use	31.6	38,000
Alcohol-Attributable Deaths (under 21)		41
Years of Potential Life Lost (under 21)		2,459
	Percentage of All Traffic Fatalities	Number
Traffic Fatalities, 15- to 20-Year-Old Drivers with BAC > 0.01	15	9

Laws Addressing Minors in Possession of Alcohol

Underage Possession	
Is underage possession of alcoholic beverages prohibited?	Yes
Are there exceptions based on family relationships?	
• Is possession allowed if parent or guardian is present or consents?	No
• Is possession allowed if spouse is present or consents?	No
Is there an exception based on location?	No
<i>Note:</i> Kansas has an exception permitting persons under 21 to possess alcohol but the exception applies only to cereal malt beverages (defined as any fermented but undistilled liquor brewed or made from malt or from a mixture of malt or malt substitute, but not including any such liquor more than 3.2% ABW).	

Underage Consumption	
Is underage consumption of alcoholic beverages prohibited?	Yes
Are there exceptions based on family relationships?	
• Is consumption allowed if the parent or guardian is present or consents?	No
• Is consumption allowed if the spouse is present or consents?	No
Is there an exception based on location?	No
<i>Note:</i> Kansas has an exception permitting persons under 21 to consume alcohol but the exception applies only to cereal malt beverages (defined as any fermented but undistilled liquor brewed or made from malt or from a mixture of malt or malt substitute, but not including any such liquor more than 3.2% ABW).	

Underage Internal Possession	
Is underage internal possession of alcoholic beverages prohibited?	Yes
Are there exceptions based on family relationships?	
• Is internal possession allowed if the parent or guardian is present or consents?	No
• Is internal possession allowed if the spouse is present or consents?	No
Is there an exception based on location?	No
<i>Note:</i> Kansas has an exception permitting persons under 21 to possess or consume alcohol but the exception applies only to cereal malt beverages (defined as any fermented but undistilled liquor brewed or made from malt or from a mixture of malt or malt substitute, but not including any such liquor more than 3.2% ABW).	

Underage Purchase and Attempted Purchase	
Is the purchase of alcoholic beverages prohibited?	Yes
May youth purchase for law enforcement purposes?	Yes

False Identification for Obtaining Alcohol	
Provisions Targeting Minors	
Is the use of false identification (ID) prohibited?	Yes
Does the use of a false ID result in minor's driver's license suspension?	No
Provisions Targeting Suppliers	
Is the lending or transferring or selling of a false ID prohibited?	Yes
Is the production of a false ID in the context of underage alcohol sales specifically prohibited?	No

Retailer Support Provisions	
Is there an incentive for the retailer to use electronic scanners for information digitally encoded on valid IDs?	No
Are state driver's licenses for persons under 21 easily distinguishable from licenses for persons 21 and over?	Yes
May retailers seize apparently false IDs without fear of prosecution even if the ID is ultimately deemed valid?	No
Does an affirmative defense exist for the retailer?	Yes
<ul style="list-style-type: none"> Is it a specific affirmative defense (retailer reasonably believed ID was valid after examining it)? 	Yes
<ul style="list-style-type: none"> Is it a general affirmative defense (retailer reasonably believed purchaser was over 21)? 	No
Does the retailer have the right to sue the minor for use of a false ID?	No
May a retailer detain a minor who used a false ID?	No

Laws Targeting Underage Drinking and Driving

Youth Blood Alcohol Concentration Limits (Underage Operators of Noncommercial Motor Vehicles)	
What is the maximum blood alcohol concentration (BAC) limit for an underage driver of a motor vehicle?	0.02
Does a BAC level in excess of limit automatically establish a violation (per se violation)?	Yes
What is the minimum age to which the limit applies?	0
What is the maximum age to which the limit applies?	21

Loss of Driving Privileges for Alcohol Violations by Minors ("Use/Lose" Laws)	
Is there a "use/lose" law that suspends or revokes a minor's driving privileges for alcohol violations?	Yes
What types of violation lead to license suspension or revocation?	
<ul style="list-style-type: none"> Purchase of alcohol 	Yes
<ul style="list-style-type: none"> Possession of alcohol 	Yes
<ul style="list-style-type: none"> Consumption of alcohol 	Yes
The law applies to people under what age?	21
Is suspension or revocation mandatory or discretionary?	Mandatory
What is the length of suspension/revocation?	
Minimum number of days	30
Maximum number of days	30

Graduated Driver's Licenses	
Learner Stage	
What is the minimum age for permit to drive with parents, guardians or other adults (other than instructors)?	14
What is the minimum number of months driver must hold learner permit before advancing to intermediate stage?	12
What is the minimum number of hours of driving with parents, guardians, or adults before advancing to intermediate stage?	50 (10 of which must be at night)
Intermediate Stage	
What is the minimum age for driving without adult supervision?	16
For night driving, when does adult supervision requirement begin?	9 pm

Can law enforcement stop a driver for night-driving violation as a primary offense?	Yes – Officer may stop driver for night-driving violation
Are there restrictions on passengers?	Yes – No more than one passenger under 18 who is not an immediate family member
Can law enforcement stop driver for violation of passenger restrictions as a primary offense?	Yes – Officer may stop driver for passenger restrictions violation
License Stage	
What is the minimum age for full license privileges and lifting of restrictions?	16 years, 6 months
<i>Note:</i> Kansas has a “restricted license” allowing unsupervised 15-year-olds to drive to and from school or work using the most direct route possible. They must have completed driver's education, held an instruction permit for 12 months, completed 25 hours of supervised driving with an additional 25 hours of driving prior to age 16, and obtained parental consent. They must not operate the vehicle with nonsibling minor passengers.	

Laws Targeting Alcohol Suppliers

Furnishing Alcohol to Minors	
Is furnishing of alcoholic beverages to minors prohibited?	Yes
Are there exceptions based on family relationships?	
• Is furnishing allowed if the parent or guardian supplies the alcohol?	No
• Is furnishing allowed if the spouse supplies the alcohol?	No
Is there an exception based on location?	No
Affirmative Defense for Sellers and Licensees	
Does law require seller/licensee to be exonerated of furnishing to a minor if the minor has not been charged?	No
<i>Note:</i> Kansas has an exception permitting furnishing by a parent or legal guardian to a child or ward but the exception applies only to cereal malt beverages (defined as any fermented but undistilled liquor brewed or made from malt or from a mixture of malt or malt substitute, but not including any liquor which is more than 3.2% ABW).	

Compliance Check Protocols	
Does the state have a written protocol for when an underage decoy is used in compliance checks?	No data
What is the minimum age a decoy may be to participate in a compliance check?	N/A
What is the maximum age a decoy may be to participate in a compliance check?	N/A
What are the decoy's appearance requirements?	N/A
Does decoy carry ID during compliance check?	N/A
May decoy verbally exaggerate his or her actual age?	N/A
Is decoy training mandated, recommended, prohibited, or not specified?	N/A

Penalty Guidelines for Sales to Minors	
Are there written guidelines for penalties imposed on retailers for furnishing to a minor?	No data
What is the time period for defining second, third, and subsequent offenses?	N/A
What is the penalty for the first offense?	N/A
What is the penalty for the second offense?	N/A

What is the penalty for the third offense?	N/A
What is the penalty for the fourth offense?	N/A

Responsible Beverage Service (RBS)	
Is there a state law pertaining to beverage service training?	No law
If training is mandatory, who must participate?	N/A
If training is voluntary, which of the following incentives are offered?	
• Defense in dram shop liability lawsuits	N/A
• Discounts in dram shop liability insurance, license fees, or other	N/A
• Mitigation of fines or other administrative penalties for sales to minors or intoxicated persons	N/A
• Protection against license revocation for sales to minors or sales to intoxicated persons	N/A
Does the RBS law apply to on-premises establishments (such as bars and restaurants) or off-premises establishments (such as liquor stores)?	N/A
Does the RBS law apply to new or existing licensees?	N/A

Minimum Age for Sellers of Alcohol – Off-Premises (i.e., Liquor Stores)	
What is the minimum age requirement for off-premises retail establishments?	
Beer	21
Wine	21
Spirits	21
Does a manager or supervisor have to be present?	No
<i>Note: Although employees must be at least 21 to sell alcoholic liquors at off-sale establishments, employees who are at least 18 may sell cereal malt beverages (defined as containing not more than 3.2% alcohol by weight) if the licensee's place of business is licensed to sell only cereal malt beverages at retail in original and unopened containers and not for consumption on the premises.</i>	

Minimum Age for Alcohol Servers and Bartenders – On-Premises (i.e., Restaurants and Bars)	
What is the minimum age requirement for servers in on-premises establishments?	
Beer	18
Wine	18
Spirits	18
What is the minimum age requirement for bartenders in on-premises establishments?	
Beer	21
Wine	21
Spirits	21
Does a manager or supervisor have to be present?	Yes

Alcohol Outlet Siting Near Schools and Universities	
Colleges and Universities	
Is there a distance requirement for off-premises outlets (i.e., liquor stores)?	Yes, within 200 feet
Is there a distance requirement for on-premises outlets (i.e., restaurants and bars)?	No
To which alcohol products does requirement apply?	Beer, wine, spirits

Primary and Secondary Schools	
Is there a distance requirement for off-premises outlets (i.e., liquor stores)?	Yes, within 200 feet
Is there a distance requirement for on-premises outlets (i.e., restaurants and bars)?	No
To which alcohol products does requirement apply?	Beer, wine, spirits

Dram Shop Liability	
Does a statute create dram shop liability?	No
Does the statute limit damages that may be recovered?	N/A
Does the statute limit who may be sued?	N/A
Does the statute limit elements or standards of proof?	N/A
Does common law dram shop liability exist?	No

Social Host Liability	
Does a statute create social host liability?	No
Does the statute limit damages that may be recovered?	N/A
Does the statute limit who may be sued?	N/A
Does the statute limit elements or standards of proof?	N/A
Does common law social host liability exist?	No

Prohibitions Against Hosting Underage Drinking Parties	
Does a statute prohibit hosting underage drinking parties?	Yes
Is the statute specific to underage parties, or a general prohibition against permitting underage drinking on the property?	Specific
What action by underage guest triggers a violation?	Possession/Consumption
Property type covered by the law?	Residential/Outdoor/Other
What level of knowledge by the host is required?	Recklessness: Host must act with intentional disregard for probable consequence of actions
Does host's preventive action protect him/her from being held liable?	No
Are there any exceptions for underage guests?	Yes – Family members and residents of household

Retailer Interstate Shipments of Alcohol	
Are out-of-state retailers prohibited from sending interstate shipments to in-state consumers?	
Beer	Yes
Wine	Yes
Spirits	Yes

Direct Shipments/Sales	
May alcohol producers ship directly to consumers?	Yes
What alcohol types may be shipped?	Wine
Must purchaser make mandatory trip to producer before delivery is authorized?	No

Age verification requirements	
Must the producer/shipper verify purchaser's age before sale?	Yes
Must the common carrier (deliverer) verify age of recipients?	No
State approval/permit requirements	
Must the producer/manufacture obtain state license or permit?	Yes
Must the common carrier (deliverer) be approved by a state agency?	Yes
Recording/reporting requirements	
Must the producer/manufacture record/report purchaser's name?	Yes
Must the common carrier (deliverer) record/report recipient's name?	No
Shipping label requirements	
Must the label state "Package contains alcohol"?	Yes
Must the label state "Recipient must be 21 years old"?	No

Keg Registration	
How is a keg defined (in gallons)?	Equal to or more than 4.00
Prohibitions	
Is it illegal to possess an unregistered or unlabeled keg and if so, what is the penalty?	Yes (maximum fine/jail, \$1,000/6 months)
Is it illegal to destroy the label on a keg, and if so, what is the penalty?	Yes (maximum fine/jail, \$1,000/6 months)
What purchaser information is collected?	
Must the retailer collect the name and address?	Yes
Must the retailer collect the ID number, name and address on license or other government information?	Yes
Must the retailer collect the address at which keg will be consumed?	No
Must warning information be given to purchaser?	Not required
Is a deposit required?	No
Does law cover disposable kegs?	Yes

Home Delivery	
Is home delivery of alcohol permitted?	
Beer	No law
Wine	No law
Spirits	No law

High-Proof Grain Alcohol Beverages	
Are there restrictions on the sale of high-proof grain alcohol beverages?	No
Are restrictions based on Alcohol by Volume (ABV)?	N/A
Are there exceptions to restrictions?	N/A

Laws Affecting Alcohol Pricing

Alcohol Taxes	
Beer	
Control system for beer?	No
Specific excise tax per gallon for 5% alcohol beer	\$0.18

Ad valorem excise tax (for on-premises sales) on total receipts for 5% alcohol beer	
Wholesale tax rate (if applicable)	8%
Retail tax rate (if applicable)	10%
If retail tax rate applies, is there an exemption from general sales tax?	Yes
• General sales tax rate	6.15%
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	3.85%
Ad valorem excise tax (for off-premises sales) on total receipts for 5% alcohol beer	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	8%
If retail tax rate applies, is there an exemption from general sales tax?	Yes
• General sales tax rate	6.15%
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	1.85%
Additional taxes for 3.2–6% alcohol beer (if applicable)	
<i>Note: Sales of beer containing not more than 4% alcohol by retailers holding only a cereal malt beverage (CMB) license are subject only to the applicable state and local sales tax. The 10% Liquor Drink Tax is not due on beer containing not more than 4% alcohol sold by those holding only a CMB license; however, holders of alcoholic liquor licenses must collect and remit the 10% Liquor Drink Tax on sales of beer containing not more than 4% alcohol but are not required to collect sales tax.</i>	
Wine	
Control system for wine?	No
Specific excise tax per gallon for 12% alcohol wine	\$0.30
Ad valorem excise tax (for on-premises sales) on total receipts for 12% alcohol wine	
Wholesale tax rate (if applicable)	8%
Retail tax rate (if applicable)	10%
If retail tax rate applies, is there an exemption from general sales tax?	Yes
• General sales tax rate	6.15%
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	3.85%
Ad valorem excise tax (for off-premises sales) on total receipts for 12% alcohol wine	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	8%
If retail tax rate applies, is there an exemption from general sales tax?	Yes
• General sales tax rate	6.15%
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	1.85%
Additional taxes for 6–14% alcohol wine (if applicable)	
Spirits	
Control system for spirits?	No
Specific excise tax per gallon for 40% alcohol spirits	\$2.50
Ad valorem excise tax (for on-premises sales) on total receipts for 40% alcohol spirits	
Wholesale tax rate (if applicable)	8%
Retail tax rate (if applicable)	10%
If retail tax rate applies, is there an exemption from general sales tax?	Yes
• General sales tax rate	6.15%

• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	3.85%
Ad valorem excise tax (for off-premises sales) on total receipts for 40% alcohol spirits	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	8%
If retail tax rate applies, is there an exemption from general sales tax?	Yes
• General sales tax rate	6.15%
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	1.85%
Additional taxes for 15–50% alcohol spirits (if applicable)	

Low-Price, High-Volume Drink Specials	
What types of drink specials are prohibited by on-premises retailers?	
Free beverages	Yes
Multiple servings at one time	No
Multiple servings for same price as single serving	No
Reduced price for a specified day or time (i.e., happy hours)	No
Unlimited beverages for fixed price	Yes
Increased volume without increase in price	No

Wholesaler Pricing Restrictions	
Beer	
Are volume discounts to retailers allowed?	Banned
Must wholesalers establish a minimum markup or maximum discount for each product sold to retailers?	No law
Must wholesalers publicly post and hold (i.e., not reduce) prices for a set period of time?	No law
Is wholesaler permitted to extend credit to retailer and if so, what is the maximum time period?	No
Wine	
Are volume discounts to retailers allowed?	Banned
Must wholesalers establish a minimum markup or maximum discount for each product sold to retailers?	No law
Must wholesalers publicly post and hold (i.e., not reduce) prices for a set period of time?	Post
Is wholesaler permitted to extend credit to retailer and if so, what is the maximum time period?	No
Spirits	
Are volume discounts to retailers allowed?	Banned
Must wholesalers establish a minimum markup or maximum discount for each product sold to retailers?	No law
Must wholesalers publicly post and hold (i.e., not reduce) prices for a set period of time?	Post
Is wholesaler permitted to extend credit to retailer and if so, what is the maximum time period?	No

Kansas State Survey Responses

State Agency Information

Agency with primary responsibility for enforcing underage drinking laws:

Kansas Department of Revenue, Alcoholic Beverage Control Division

Enforcement Strategies

State law enforcement agencies use:

Cops in Shops	Yes
Shoulder Tap Operations	No
Party Patrol Operations or Programs	Yes
Underage Alcohol-Related Fatality Investigations	No

Local law enforcement agencies use:

Cops in Shops	No
Shoulder Tap Operations	Yes
Party Patrol Operations or Programs	Yes
Underage Alcohol-Related Fatality Investigations	Yes

State has a program to investigate and enforce direct sales/shipment laws

Primary state agency responsible for enforcing laws addressing direct sales/shipments of alcohol to minors	Not applicable
Such laws are also enforced by local law enforcement agencies	Not applicable

Enforcement Statistics

State collects data on the number of minors found in possession

Number of minors found in possession by state law enforcement agencies	63
Number pertains to the 12 months ending	6/30/2014
Data include arrests/citations issued by local law enforcement agencies	No

State conducts underage compliance checks/decoy operations² to determine if alcohol retailers are complying with laws prohibiting sales to minors

Data are collected on these activities	Yes
Number of retail licensees in state ³	3,222
Number of licensees checked for compliance by state agencies (including random checks)	479
Number of licensees that failed state compliance checks	74
Numbers pertain to the 12 months ending	6/30/2014
Compliance checks/decoy operations conducted at on-sale, off-sale, or both retail establishments	Both on- and off-sale establishments

State conducts **random** underage compliance checks/decoy operations

Number of licensees subject to random state compliance checks/decoy operations	Not applicable
Number of licensees that failed random state compliance checks	Not applicable

Local agencies conduct underage compliance checks/decoy operations to determine if alcohol retailers are complying with laws prohibiting sales to minors

Data are collected on these activities	No
Number of licensees checked for compliance by local agencies	Not applicable
Number of licensees that failed local compliance checks	Not applicable
Numbers pertain to the 12 months ending	Not applicable

Sanctions

State collects data on fines imposed on retail establishments that furnish minors

Number of fines imposed by the state ⁴	244
Total amount in fines across all licensees	\$182,225
Smallest fine imposed	\$500
Largest fine imposed	\$4,500
Numbers pertain to the 12 months ending	6/30/2014

<i>State collects data on license suspensions imposed on retail establishments specifically for furnishing minors</i>	Yes
Number of suspensions imposed by the state ⁵	25
Total days of suspensions across all licensees	85
Shortest period of suspension imposed (in days)	1
Longest period of suspension imposed (in days)	14
Numbers pertain to the 12 months ending	6/30/2014
<i>State collects data on license revocations imposed on retail establishments specifically for furnishing minors</i>	Yes
Number of license revocations imposed ⁶	0
Numbers pertain to the 12 months ending	6/30/2014

Additional Clarification

No data

¹ Or having consumed or purchased per state statutes.

² Underage compliance checks/decoy operations to determine whether alcohol retailers are complying with laws prohibiting sales to minors.

³ Excluding special licenses such as temporary, seasonal, and common carrier licenses.

⁴ Does not include fines imposed by local agencies.

⁵ Does not include suspensions imposed by local agencies.

⁶ Does not include revocations imposed by local agencies.

Underage Drinking Prevention Programs Operated or Funded by the State

Regional Media Campaigns

Program serves specific or general population	General population
Number of youth served	Not applicable
Number of parents served	Not applicable
Number of caregivers served	Not applicable
Program has been evaluated	Yes
Evaluation report is available	No
URL for evaluation report:	Not applicable
URL for more program information:	No data

Program Description: Regional media-related strategies were implemented to address substance abuse prevalence. These regional campaigns used the state’s “It Matters” materials so that statewide the campaigns had the same look, feel, and message.

Project Sticker Shock

Program serves specific or general population	General population
Number of youth served	Not applicable
Number of parents served	Not applicable
Number of caregivers served	Not applicable
Program has been evaluated	Yes
Evaluation report is available	No
URL for evaluation report:	Not applicable
URL for more program information:	No data

Program Description: Project Sticker Shock seeks to educate persons age 21 or older who might illegally purchase alcohol and provide it to minors. Stickers displaying a warning message about the penalties for furnishing alcohol to minors are placed on all multipacks of beer, wine coolers, and other alcohol products that might appeal to underage drinkers. The impact of the sticker is increased by media coverage of the event(s) and by permanent signs to be displayed by participating licensees.

MADD Power of Parents

Program serves specific or general population	General population
Number of youth served	Not applicable
Number of parents served	Not applicable

Number of caregivers served	Not applicable
Program has been evaluated	Yes
Evaluation report is available	No
URL for evaluation report:	Not applicable
URL for more program information:	No data

Program Description: Through the Power of Parents program, parents and caregivers can attend free, 35-minute parent workshops and receive a parent handbook that provides them with communication tools to talk with their teens about alcohol.

Retailer Compliance Check

Program serves specific or general population	General population
Number of youth served	Not applicable
Number of parents served	Not applicable
Number of caregivers served	Not applicable
Program has been evaluated	Yes
Evaluation report is available	No
URL for evaluation report:	Not applicable
URL for more program information:	No data

Program Description: Random, unannounced retailer compliance checks and controlled buy operations were conducted at retail establishments in defined geographic areas to ensure compliance with state alcohol sales laws prohibiting sale of alcohol to minors, and to ensure positive age verification policies and practices by merchants.

AlcoholEdu

Program serves specific or general population	Specific population
Number of youth served	No data
Number of parents served	No data
Number of caregivers served	No data
Program has been evaluated	Yes
Evaluation report is available	No
URL for evaluation report:	Not applicable
URL for more program information:	No data

Program Description: AlcoholEdu for High School is an online, interactive alcohol education and prevention course designed to increase alcohol-related knowledge, discourage acceptance of underage drinking, and prevent or decrease alcohol use and its related negative consequences. Although high schools typically administer the course to their entire freshman class each year, the course can be used with other high school populations as well. By implementing the program at the population level, schools expose students to a consistent message, ultimately creating a common body of knowledge and a shared experience that helps establish a social safety net among students. The program includes a precourse assessment measuring knowledge, attitudes, and behaviors, followed by three 30-minute lessons, a postcourse assessment, and a 30-day (or more) follow-up review of key course concepts and follow-up assessment. The three lessons address alcohol's effects on the body and impairments produced at various blood alcohol concentrations; alcohol's effects on the mind, including brain development, blackouts, hangovers, and risk taking; and factors that influence decisions about drinking and strategies for making healthy choices. Brief lecture formats present current research, and interactive exercises personalize and reinforce the information. The course, which requires minimal teacher involvement, may be assigned as an outside project or completed in a school's computer lab.

Students can progress through the program at their own pace. Although students have unlimited access to the course materials throughout the academic year, schools are encouraged to tie the course to something that is meaningful to the students, such as a test or project grade, access to a school event, or participation in extracurricular activities. The three lessons are typically completed within 1 to 3 weeks. Students may use their accounts throughout the academic year to access alcohol-related web links or revisit any of the different interactive exercises.

Strengthening Families Program (SFP): For Parents and Youth 10–14 (SFP 10–14)

Program serves specific or general population	General population
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Number of youth served	Not applicable
Number of parents served	Not applicable
Number of caregivers served	Not applicable
Program has been evaluated	Yes
Evaluation report is available	No
URL for evaluation report:	Not applicable
URL for more program information:	No data

Program Description: SFP 10–14 is a family skills training intervention designed to enhance school success and reduce youth substance use and aggression among 10- to 14-year-olds. It is theoretically based on several etiological and intervention models including the biopsychosocial vulnerability, resiliency, and family process models. The program includes seven 2-hour sessions and four optional booster sessions in which parents and youth meet separately for instruction during the first hour and together for family activities during the second hour. The sessions provide instruction for parents on understanding the risk factors for substance use, enhancing parent–child bonding, monitoring compliance with parental guidelines and imposing appropriate consequences, managing anger and family conflict, and fostering positive child involvement in family tasks. Children receive instruction on resisting peer influences to use substances. Sessions, typically held once a week, can be taught effectively by a wide variety of staff.

Saturation Patrols

Program serves specific or general population	General population
Number of youth served	Not applicable
Number of parents served	Not applicable
Number of caregivers served	Not applicable
Program has been evaluated	Yes
Evaluation report is available	No
URL for evaluation report:	Not applicable
URL for more program information:	No data

Program Description: These patrols are designed to saturate an area with officers in order to send a message to the community. This high-visibility effect is a very good method when coupled with a strong media campaign.

Community Trials Intervention To Reduce High-Risk Drinking

Program serves specific or general population	General population
Number of youth served	Not applicable
Number of parents served	Not applicable
Number of caregivers served	Not applicable
Program has been evaluated	Yes
Evaluation report is available	No
URL for evaluation report:	Not applicable
URL for more program information:	No data

Program Description: This is a multicomponent, community-based program developed to alter the alcohol use patterns and related problems of people of all ages. The program incorporates a set of environmental interventions that assist communities in (1) using zoning and municipal regulations to restrict alcohol access through alcohol outlet density control; (2) enhancing responsible beverage service by training, testing, and assisting beverage servers and retailers in the development of policies and procedures to reduce intoxication and driving after drinking; (3) increasing law enforcement and sobriety checkpoints to raise actual and perceived risk of arrest for driving after drinking; (4) reducing youth access to alcohol by training alcohol retailers to avoid selling to minors and those who provide alcohol to minors; and (5) forming the coalitions needed to implement and support the interventions that address each of these prevention components.

Additional Underage Drinking Prevention Programs Operated or Funded by the State

Program description: No data

Additional Clarification

No data

Additional Information Related to Underage Drinking Prevention Programs	
<i>State collaborates with federally recognized tribal governments in the prevention of underage drinking</i>	Yes
Description of collaboration: The Prairie Band Potawatomi Nation was awarded SPF-PFS II subrecipient funding to address underage drinking.	
<i>State has programs to measure and/or reduce youth exposure to alcohol advertising and marketing</i>	No
Description of program:	Not applicable
<i>State has adopted or developed best practice standards for underage drinking prevention programs</i>	Yes
Agencies/organizations that established best practices standards:	
Federal agency(ies): CSAP	Yes
Agency(ies) within your state: Kansas Department for Aging and Disability Services (KDADS)/ Behavioral Health Services (BHS)	Yes
Nongovernmental agency(ies):	No
Other:	No
Best practice standards description: Kansas Criteria for Evidence-Based Prevention Strategy Selection—Included in a federal list or registry of evidence-based intervention strategies, or reported in a peer-reviewed journal to have produced positive results, or documented as effective based on all three of the following guidelines: (1) The intervention is based on a solid theory or theoretical perspective that has validated research, (2) the intervention is supported by a documented body of knowledge—a converging of empirical evidence of effectiveness—generated from similar or related interventions that indicate effectiveness, and (3) the intervention is judged by a consensus of informed experts to be effective based on their combined knowledge of theory and their research and practice experience. “Informed experts” may include key community leaders and elders or other respected leaders within indigenous cultures.	
Additional Clarification	
No data	
State Interagency Collaboration	
<i>A state-level interagency governmental body/committee exists to coordinate or address underage drinking prevention activities</i>	Yes
<i>Committee contact information:</i>	
Name: Sarah Fischer	
Email: sarah.fischer@kdads.ks.gov	
Address: 503 South Kansas Avenue, Topeka, KS 66603	
Phone: 785-291-3359	
<i>Agencies/organizations represented on the committee:</i>	
Kansas Department for Aging and Disability Services	
Kansas Department for Children and Families	
Kansas Department of Transportation	
Kansas Department of Health and Environment	
Kansas Department of Education	
Kansas Department of Revenue	
University of Kansas	
<i>A website or other public source exists to describe committee activities</i>	Yes
URL or other means of access: http://www.kdads.ks.gov/commissions/csp/behavioral-health/gbhspc	
Underage Drinking Reports	
<i>State has prepared a plan for preventing underage drinking in the last 3 years</i>	Yes
Prepared by: Kansas Department for Aging and Disability Services	
Plan can be accessed via: No data	
<i>State has prepared a report on preventing underage drinking in the last 3 years</i>	Yes
Prepared by: Kansas EPI Core Team and Kansas Department for Aging and Disability Services	
Plan can be accessed via: No data	

Additional Clarification

No data

State Expenditures for the Prevention of Underage Drinking

Compliance checks in retail outlets:

Estimate of state funds expended Data not available

Estimate based on the 12 months ending Data not available

Checkpoints and saturation patrols:

Estimate of state funds expended Data not available

Estimate based on the 12 months ending Data not available

Community-based programs to prevent underage drinking:

Estimate of state funds expended \$394,000

Estimate based on the 12 months ending 6/30/2014

K-12 school-based programs to prevent underage drinking:

Estimate of state funds expended Data not available

Estimate based on the 12 months ending Data not available

Programs targeted to institutes of higher learning:

Estimate of state funds expended Data not available

Estimate based on the 12 months ending Data not available

Programs that target youth in the juvenile justice system:

Estimate of state funds expended Data not available

Estimate based on the 12 months ending Data not available

Programs that target youth in the child welfare system:

Estimate of state funds expended Data not available

Estimate based on the 12 months ending Data not available

Other programs:

Programs or strategies included Data not available

Estimate of state funds expended Data not available

Estimate based on the 12 months ending Data not available

Funds Dedicated to Underage Drinking

State derives funds dedicated to underage drinking from the following revenue streams:

Taxes No

Fines No

Fees No

Other Not applicable

Description of funding streams and how they are used:

Not applicable

Additional Clarification

No data



Kentucky

State Population: 4,413,457

Population Ages 12–20: 513,000

	Percentage	Number
Ages 12–20		
Past-Month Alcohol Use	20.0	102,000
Past-Month Binge Alcohol Use	13.3	68,000
Ages 12–14		
Past-Month Alcohol Use	2.3	4,000
Past-Month Binge Alcohol Use	1.6	3,000
Ages 15–17		
Past-Month Alcohol Use	14.9	24,000
Past-Month Binge Alcohol Use	9.0	14,000
Ages 18–20		
Past-Month Alcohol Use	43.1	74,000
Past-Month Binge Alcohol Use	29.5	51,000
Alcohol-Attributable Deaths (under 21)		65
Years of Potential Life Lost (under 21)		3,921
	Percentage of All Traffic Fatalities	Number
Traffic Fatalities, 15- to 20-Year-Old Drivers with BAC > 0.01	25	23

Laws Addressing Minors in Possession of Alcohol

Underage Possession	
Is underage possession of alcoholic beverages prohibited?	Yes
Are there exceptions based on family relationships?	
• Is possession allowed if parent or guardian is present or consents?	No
• Is possession allowed if spouse is present or consents?	No
Is there an exception based on location?	No

Underage Consumption	
Is underage consumption of alcoholic beverages prohibited?	No law
Are there exceptions based on family relationships?	
• Is consumption allowed if the parent or guardian is present or consents?	N/A
• Is consumption allowed if the spouse is present or consents?	N/A
Is there an exception based on location?	N/A

Underage Internal Possession	
Is underage internal possession of alcoholic beverages prohibited?	No law
Are there exceptions based on family relationships?	
• Is internal possession allowed if the parent or guardian is present or consents?	N/A
• Is internal possession allowed if the spouse is present or consents?	N/A
Is there an exception based on location?	N/A

Underage Purchase and Attempted Purchase	
Is the purchase of alcoholic beverages prohibited?	Yes
May youth purchase for law enforcement purposes?	No

False Identification for Obtaining Alcohol	
Provisions Targeting Minors	
Is the use of false identification (ID) prohibited?	Yes
Does the use of a false ID result in minor's driver's license suspension?	Yes, through a judicial process
Provisions Targeting Suppliers	
Is the lending or transferring or selling of a false ID prohibited?	No
Is the production of a false ID in the context of underage alcohol sales specifically prohibited?	No
Retailer Support Provisions	
Is there an incentive for the retailer to use electronic scanners for information digitally encoded on valid IDs?	No
Are state driver's licenses for persons under 21 easily distinguishable from licenses for persons 21 and over?	Yes
May retailers seize apparently false IDs without fear of prosecution even if the ID is ultimately deemed valid?	No
Does an affirmative defense exist for the retailer?	Yes
• Is it a specific affirmative defense (retailer reasonably believed ID was valid after examining it)?	Yes

• Is it a general affirmative defense (retailer reasonably believed purchaser was over 21)?	No
Does the retailer have the right to sue the minor for use of a false ID?	No
May a retailer detain a minor who used a false ID?	No

Laws Targeting Underage Drinking and Driving

Youth Blood Alcohol Concentration Limits (Underage Operators of Noncommercial Motor Vehicles)	
What is the maximum blood alcohol concentration (BAC) limit for an underage driver of a motor vehicle?	0.02
Does a BAC level in excess of limit automatically establish a violation (per se violation)?	Yes
What is the minimum age to which the limit applies?	0
What is the maximum age to which the limit applies?	21

Loss of Driving Privileges for Alcohol Violations by Minors (“Use/Lose” Laws)	
Is there a “use/lose” law that suspends or revokes a minor’s driving privileges for alcohol violations?	No
What types of violation lead to license suspension or revocation?	
• Purchase of alcohol	N/A
• Possession of alcohol	N/A
• Consumption of alcohol	N/A
The law applies to people under what age?	N/A
Is suspension or revocation mandatory or discretionary?	N/A
What is the length of suspension/revocation?	
Minimum number of days	N/A
Maximum number of days	N/A

Graduated Driver’s Licenses	
Learner Stage	
What is the minimum age for permit to drive with parents, guardians or other adults (other than instructors)?	16
What is the minimum number of months driver must hold learner permit before advancing to intermediate stage?	6
What is the minimum number of hours of driving with parents, guardians, or adults before advancing to intermediate stage?	60 (10 of which must be at night)
Intermediate Stage	
What is the minimum age for driving without adult supervision?	16 years, 6 months
For night driving, when does adult supervision requirement begin?	12 am
Can law enforcement stop a driver for night-driving violation as a primary offense?	Yes – Officer may stop driver for night-driving violation
Are there restrictions on passengers?	Yes – No more than one unrelated passenger under 20, unless accompanied by instructor
Can law enforcement stop driver for violation of passenger restrictions as a primary offense?	No – Officer must stop driver for another offense to cite for passenger restriction violation

License Stage	
What is the minimum age for full license privileges and lifting of restrictions?	17

Laws Targeting Alcohol Suppliers

Furnishing Alcohol to Minors	
Is furnishing of alcoholic beverages to minors prohibited?	Yes
Are there exceptions based on family relationships?	
• Is furnishing allowed if the parent or guardian supplies the alcohol?	Yes
• Is furnishing allowed if the spouse supplies the alcohol?	No
Is there an exception based on location?	No
Affirmative Defense for Sellers and Licensees	
Does law require seller/licensee to be exonerated of furnishing to a minor if the minor has not been charged?	No

Compliance Check Protocols	
Does the state have a written protocol for when an underage decoy is used in compliance checks?	Yes
What is the minimum age a decoy may be to participate in a compliance check?	18
What is the maximum age a decoy may be to participate in a compliance check?	20
What are the decoy's appearance requirements?	Age-appropriate appearance and character
Does decoy carry ID during compliance check?	Not specified
May decoy verbally exaggerate his or her actual age?	Not specified
Is decoy training mandated, recommended, prohibited, or not specified?	Not specified

Penalty Guidelines for Sales to Minors	
Are there written guidelines for penalties imposed on retailers for furnishing to a minor?	Yes
What is the time period for defining second, third, and subsequent offenses?	Not specified
What is the penalty for the first offense?	\$1,750 fine and/or 35-day suspension
What is the penalty for the second offense?	\$3,500 fine and/or 70-day license suspension
What is the penalty for the third offense?	Not specified
What is the penalty for the fourth offense?	Not specified

Responsible Beverage Service (RBS)	
Is there a state law pertaining to beverage service training?	No law
If training is mandatory, who must participate?	N/A
If training is voluntary, which of the following incentives are offered?	
• Defense in dram shop liability lawsuits	N/A
• Discounts in dram shop liability insurance, license fees, or other	N/A
• Mitigation of fines or other administrative penalties for sales to minors or intoxicated persons	N/A
• Protection against license revocation for sales to minors or sales to intoxicated persons	N/A

Does the RBS law apply to on-premises establishments (such as bars and restaurants) or off-premises establishments (such as liquor stores)?	N/A
Does the RBS law apply to new or existing licensees?	N/A

Minimum Age for Sellers of Alcohol – Off-Premises (i.e., Liquor Stores)	
What is the minimum age requirement for off-premises retail establishments?	
Beer	18
Wine	20
Spirits	20
Does a manager or supervisor have to be present?	Yes
<i>Note:</i> Although 20 is the minimum age requirement to sell alcoholic beverages at both off-sale and on-sale establishments, 18-year-olds may stock, arrange displays, accept payment for, and sack malt beverages by the package, under the supervision of a person age 20 or older.	

Minimum Age for Alcohol Servers and Bartenders – On-Premises (i.e., Restaurants and Bars)	
What is the minimum age requirement for servers in on-premises establishments?	
Beer	20
Wine	20
Spirits	20
What is the minimum age requirement for bartenders in on-premises establishments?	
Beer	20
Wine	20
Spirits	20
Does a manager or supervisor have to be present?	No

Alcohol Outlet Siting Near Schools and Universities	
Colleges and Universities	
Is there a distance requirement for off-premises outlets (i.e., liquor stores)?	No
Is there a distance requirement for on-premises outlets (i.e., restaurants and bars)?	No
To which alcohol products does requirement apply?	N/A
Primary and Secondary Schools	
Is there a distance requirement for off-premises outlets (i.e., liquor stores)?	No
Is there a distance requirement for on-premises outlets (i.e., restaurants and bars)?	No
To which alcohol products does requirement apply?	N/A

Dram Shop Liability	
Does a statute create dram shop liability?	Yes
Does the statute limit damages that may be recovered?	No
Does the statute limit who may be sued?	No
Does the statute limit elements or standards of proof?	No
Does common law dram shop liability exist?	No

Social Host Liability	
Does a statute create social host liability?	No
Does the statute limit damages that may be recovered?	N/A

Does the statute limit who may be sued?	N/A
Does the statute limit elements or standards of proof?	N/A
Does common law social host liability exist?	No

Prohibitions Against Hosting Underage Drinking Parties

Does a statute prohibit hosting underage drinking parties?	No
Is the statute specific to underage parties, or a general prohibition against permitting underage drinking on the property?	N/A
What action by underage guest triggers a violation?	N/A
Property type covered by the law?	N/A
What level of knowledge by the host is required?	N/A
Does host's preventive action protect him/her from being held liable?	N/A
Are there any exceptions for underage guests?	N/A

Retailer Interstate Shipments of Alcohol

Are out-of-state retailers prohibited from sending interstate shipments to in-state consumers?	
Beer	Yes
Wine	Yes
Spirits	Yes

Direct Shipments/Sales

May alcohol producers ship directly to consumers?	Yes
What alcohol types may be shipped?	Wine
Must purchaser make mandatory trip to producer before delivery is authorized?	No
Age verification requirements	
Must the producer/shipper verify purchaser's age before sale?	No
Must the common carrier (deliverer) verify age of recipients?	No
State approval/permit requirements	
Must the producer/manufacture obtain state license or permit?	Yes
Must the common carrier (deliverer) be approved by a state agency?	Yes
Recording/reporting requirements	
Must the producer/manufacture record/report purchaser's name?	No
Must the common carrier (deliverer) record/report recipient's name?	No
Shipping label requirements	
Must the label state "Package contains alcohol"?	No
Must the label state "Recipient must be 21 years old"?	No

Keg Registration

How is a keg defined (in gallons)?	No law
Prohibitions	
Is it illegal to possess an unregistered or unlabeled keg and if so, what is the penalty?	No law
Is it illegal to destroy the label on a keg, and if so, what is the penalty?	No law
What purchaser information is collected?	
Must the retailer collect the name and address?	No law

Must the retailer collect the ID number, name and address on license or other government information?	No law
Must the retailer collect the address at which keg will be consumed?	No law
Must warning information be given to purchaser?	No law
Is a deposit required?	No law
Does law cover disposable kegs?	No law

Home Delivery	
Is home delivery of alcohol permitted?	
Beer	No law
Wine	No
Spirits	No

High-Proof Grain Alcohol Beverages	
Are there restrictions on the sale of high-proof grain alcohol beverages?	No
Are restrictions based on Alcohol by Volume (ABV)?	N/A
Are there exceptions to restrictions?	N/A

Laws Affecting Alcohol Pricing

Alcohol Taxes	
Beer	
Control system for beer?	No
Specific excise tax per gallon for 5% alcohol beer	\$0.08
Ad valorem excise tax (for on-premises sales) on total receipts for 5% alcohol beer	
Wholesale tax rate (if applicable)	11%
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Ad valorem excise tax (for off-premises sales) on total receipts for 5% alcohol beer	
Wholesale tax rate (if applicable)	11%
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Additional taxes for 3.2–6% alcohol beer (if applicable)	
Wine	
Control system for wine?	No
Specific excise tax per gallon for 12% alcohol wine	\$0.50
Ad valorem excise tax (for on-premises sales) on total receipts for 12% alcohol wine	
Wholesale tax rate (if applicable)	11%
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No

• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Ad valorem excise tax (for off-premises sales) on total receipts for 12% alcohol wine	
Wholesale tax rate (if applicable)	11%
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Additional taxes for 6–14% alcohol wine (if applicable)	
Spirits	
Control system for spirits?	No
Specific excise tax per gallon for 40% alcohol spirits	\$1.92
Ad valorem excise tax (for on-premises sales) on total receipts for 40% alcohol spirits	
Wholesale tax rate (if applicable)	11%
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Ad valorem excise tax (for off-premises sales) on total receipts for 40% alcohol spirits	
Wholesale tax rate (if applicable)	11%
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Additional taxes for 15–50% alcohol spirits (if applicable)	

Low-Price, High-Volume Drink Specials	
What types of drink specials are prohibited by on-premises retailers?	
Free beverages	Yes
Multiple servings at one time	No
Multiple servings for same price as single serving	No
Reduced price for a specified day or time (i.e., happy hours)	No
Unlimited beverages for fixed price	No
Increased volume without increase in price	No

Wholesaler Pricing Restrictions	
Beer	
Are volume discounts to retailers allowed?	No law
Must wholesalers establish a minimum markup or maximum discount for each product sold to retailers?	No law

Must wholesalers publicly post and hold (i.e., not reduce) prices for a set period of time?	No law
Is wholesaler permitted to extend credit to retailer and if so, what is the maximum time period?	No
Wine	
Are volume discounts to retailers allowed?	No law
Must wholesalers establish a minimum markup or maximum discount for each product sold to retailers?	No law
Must wholesalers publicly post and hold (i.e., not reduce) prices for a set period of time?	No law
Is wholesaler permitted to extend credit to retailer and if so, what is the maximum time period?	Yes (30 days)
Spirits	
Are volume discounts to retailers allowed?	No law
Must wholesalers establish a minimum markup or maximum discount for each product sold to retailers?	No law
Must wholesalers publicly post and hold (i.e., not reduce) prices for a set period of time?	No law
Is wholesaler permitted to extend credit to retailer and if so, what is the maximum time period?	Yes (30 days)

Kentucky State Survey Responses

State Agency Information

Agency with primary responsibility for enforcing underage drinking laws:

Kentucky Department of Alcoholic Beverage Control

Enforcement Strategies

State law enforcement agencies use:

Cops in Shops	Yes
Shoulder Tap Operations	No
Party Patrol Operations or Programs	Yes
Underage Alcohol-Related Fatality Investigations	Yes

Local law enforcement agencies use:

Cops in Shops	No
Shoulder Tap Operations	No
Party Patrol Operations or Programs	No
Underage Alcohol-Related Fatality Investigations	No

State has a program to investigate and enforce direct sales/shipment laws Yes

Primary state agency responsible for enforcing laws addressing direct sales/shipments of alcohol to minors	Kentucky Department of Alcoholic Beverage Control
Such laws are also enforced by local law enforcement agencies	Don't know

Enforcement Statistics

State collects data on the number of minors found in possession Yes

Number of minors found in possession by state law enforcement agencies 1,000

Number pertains to the 12 months ending 12/31/2014

Data include arrests/citations issued by local law enforcement agencies No

State conducts underage compliance checks/decoy operations² to determine if alcohol retailers are complying with laws prohibiting sales to minors Yes

Data are collected on these activities Yes

Number of retail licensees in state³ 12,866

Number of licensees checked for compliance by state agencies (including random checks) 1,477

Number of licensees that failed state compliance checks 161

Numbers pertain to the 12 months ending 12/31/2014

Compliance checks/decoy operations conducted at on-sale, off-sale, or both retail establishments Both on- and off-sale establishments

State conducts **random** underage compliance checks/decoy operations Yes

Number of licensees subject to **random** state compliance checks/decoy operations 500

Number of licensees that failed **random** state compliance checks 60

Local agencies conduct underage compliance checks/decoy operations to determine if alcohol retailers are complying with laws prohibiting sales to minors Don't know/No answer

Data are collected on these activities Not applicable

Number of licensees checked for compliance by local agencies Not applicable

Number of licensees that failed local compliance checks Not applicable

Numbers pertain to the 12 months ending Not applicable

Sanctions

State collects data on fines imposed on retail establishments that furnish minors No

Number of fines imposed by the state⁴ Not applicable

Total amount in fines across all licensees Not applicable

Smallest fine imposed Not applicable

Largest fine imposed Not applicable

Numbers pertain to the 12 months ending	Not applicable
<i>State collects data on license suspensions imposed on retail establishments specifically for furnishing minors</i>	No
Number of suspensions imposed by the state ⁵	Not applicable
Total days of suspensions across all licensees	Not applicable
Shortest period of suspension imposed (in days)	Not applicable
Longest period of suspension imposed (in days)	Not applicable
Numbers pertain to the 12 months ending	Not applicable
<i>State collects data on license revocations imposed on retail establishments specifically for furnishing minors</i>	Yes
Number of license revocations imposed ⁶	6
Numbers pertain to the 12 months ending	12/31/2014

Additional Clarification

No data

¹ Or having consumed or purchased per state statutes.

² Underage compliance checks/decoy operations to determine whether alcohol retailers are complying with laws prohibiting sales to minors.

³ Excluding special licenses such as temporary, seasonal, and common carrier licenses.

⁴ Does not include fines imposed by local agencies.

⁵ Does not include suspensions imposed by local agencies.

⁶ Does not include revocations imposed by local agencies.

Underage Drinking Prevention Programs Operated or Funded by the State

I Won't Be the One

Program serves specific or general population	Specific population
Number of youth served	No data
Number of parents served	No data
Number of caregivers served	No data
Program has been evaluated	No
Evaluation report is available	Not applicable
URL for evaluation report:	Not applicable
URL for more program information:	No data

Program Description: I Won't Be the One is a media campaign that seeks to limit social access of alcohol to underage youth. I Won't Be the One raises awareness of the consequences of underage drinking and of the legal consequences of providing alcohol to underage youth. It seeks to change the norm that underage drinking is a rite of passage and is okay as long as youth don't drive and drink.

Alcohol Compliance Checks

Program serves specific or general population	Specific population
Number of youth served	No data
Number of parents served	No data
Number of caregivers served	No data
Program has been evaluated	No
Evaluation report is available	Not applicable
URL for evaluation report:	Not applicable
URL for more program information:	No data

Program Description: Alcohol compliance checks are a type of environmental prevention that aims at reducing retail availability of alcohol to underage youth. Law enforcement officials supervise undercover youth who attempt to purchase alcohol; if the attempt is successful, the establishment is cited and penalized.

Responsible Beverage Server (RBS) Training

Program serves specific or general population	Specific population
Number of youth served	No data
Number of parents served	No data

Number of caregivers served	No data
Program has been evaluated	No
Evaluation report is available	Not applicable
URL for evaluation report:	Not applicable
URL for more program information:	No data

Program Description: RBS training teaches alcohol retail clerks, bartenders, and servers of alcoholic beverages how to verify authenticity of an ID and how to refuse service if the client appears intoxicated. It also educates participants on the health consequences of excessive alcohol consumption. We are currently conducting a readiness assessment to gauge the level of support for a statewide RBS law.

Social Host Ordinance

Program serves specific or general population	Specific population
Number of youth served	No data
Number of parents served	No data
Number of caregivers served	No data
Program has been evaluated	No
Evaluation report is available	Not applicable
URL for evaluation report:	Not applicable
URL for more program information:	No data

Program Description: Social host liability is created by a statute or case law that imposes liability on social hosts as a result of their serving alcohol to adults or minors. Persons subject to social host liability in criminal and civil actions are frequently those who provided alcohol to the obviously intoxicated or to minors who subsequently are involved in vehicle crashes or other activities causing death or injury to third parties, but these are not necessary conditions. A social host is most often a private individual who serves alcohol in a noncommercial setting.

Party Patrols

Program serves specific or general population	Specific population
Number of youth served	No data
Number of parents served	No data
Number of caregivers served	No data
Program has been evaluated	No
Evaluation report is available	Not applicable
URL for evaluation report:	Not applicable
URL for more program information:	No data

Program Description: Party patrols are enforcement initiatives conducted by law enforcement officers who, acting on tips, break up parties and cite youth for possession of alcohol.

Social Norms Campaign

Program serves specific or general population	Specific population
Number of youth served	No data
Number of parents served	No data
Number of caregivers served	No data
Program has been evaluated	No data
Evaluation report is available	No data
URL for evaluation report:	No data
URL for more program information:	
http://www.jsad.com/doi/abs/10.15288/jas.2006.67.880	

Program Description: Underage drinking social norms campaigns are media campaigns that seek to change the preconceptions and beliefs of the target population with regard to underage drinking. Local data are used to craft messages that illustrate the actual extent of underage drinking, as opposed to the commonly assumed level of consumption, thereby deflating the commonly held belief that everybody does it.

Alcohol Prevention Enhancement Site (PES)

Program serves specific or general population	No data
Number of youth served	No data

Number of parents served	No data
Number of caregivers served	No data
Program has been evaluated	No data
Evaluation report is available	No data
URL for evaluation report:	No data
URL for more program information:	http://www.kyprevention.com

Program Description: The Alcohol PES is more of a resource than a program but it helps communities implement environmental strategies such as RBS, keg registration, and social host liability. The Alcohol PES has been in existence for over 15 years.

Additional Underage Drinking Prevention Programs Operated or Funded by the State

Program description: No data

Additional Clarification

No data

Additional Information Related to Underage Drinking Prevention Programs

<i>State collaborates with federally recognized tribal governments in the prevention of underage drinking</i>	No recognized tribal governments
Description of collaboration:	Not applicable
<i>State has programs to measure and/or reduce youth exposure to alcohol advertising and marketing</i>	No data
Description of program:	No data
<i>State has adopted or developed best practice standards for underage drinking prevention programs</i>	No data
Agencies/organizations that established best practices standards:	
Federal agency(ies):	No data
Agency(ies) within your state:	No data
Nongovernmental agency(ies):	No data
Other:	No data
Best practice standards description:	No data

Additional Clarification

No data

State Interagency Collaboration

<i>A state-level interagency governmental body/committee exists to coordinate or address underage drinking prevention activities</i>	Don't know/ No answer
<i>Committee contact information:</i> Not applicable	
<i>Agencies/organizations represented on the committee:</i>	Not applicable
<i>A website or other public source exists to describe committee activities</i>	Not applicable
URL or other means of access:	Not applicable

Underage Drinking Reports

<i>State has prepared a plan for preventing underage drinking in the last 3 years</i>	Not sure
Prepared by:	Not applicable
Plan can be accessed via:	Not applicable
<i>State has prepared a report on preventing underage drinking in the last 3 years</i>	Not sure
Prepared by:	Not applicable
Plan can be accessed via:	Not applicable

Additional Clarification

No data

State Expenditures for the Prevention of Underage Drinking

<i>Compliance checks in retail outlets:</i>	
Estimate of state funds expended	Data not available
Estimate based on the 12 months ending	Data not available
<i>Checkpoints and saturation patrols:</i>	
Estimate of state funds expended	Data not available
Estimate based on the 12 months ending	Data not available
<i>Community-based programs to prevent underage drinking:</i>	
Estimate of state funds expended	Data not available
Estimate based on the 12 months ending	Data not available
<i>K-12 school-based programs to prevent underage drinking:</i>	
Estimate of state funds expended	Data not available
Estimate based on the 12 months ending	Data not available
<i>Programs targeted to institutes of higher learning:</i>	
Estimate of state funds expended	Data not available
Estimate based on the 12 months ending	Data not available
<i>Programs that target youth in the juvenile justice system:</i>	
Estimate of state funds expended	Data not available
Estimate based on the 12 months ending	Data not available
<i>Programs that target youth in the child welfare system:</i>	
Estimate of state funds expended	Data not available
Estimate based on the 12 months ending	Data not available
<i>Other programs:</i>	
Programs or strategies included	Data not available
Estimate of state funds expended	Data not available
Estimate based on the 12 months ending	Data not available

Funds Dedicated to Underage Drinking

<i>State derives funds dedicated to underage drinking from the following revenue streams:</i>	
Taxes	No data
Fines	No data
Fees	No data
Other	No data
<i>Description of funding streams and how they are used:</i>	No data

Additional Clarification

No data



Louisiana

State Population: 4,649,676

Population Ages 12–20: 575,000

	Percentage	Number
Ages 12–20		
Past-Month Alcohol Use	24.6	141,000
Past-Month Binge Alcohol Use	15.2	88,000
Ages 12–14		
Past-Month Alcohol Use	5.7	10,000
Past-Month Binge Alcohol Use	2.4	4,000
Ages 15–17		
Past-Month Alcohol Use	22.6	43,000
Past-Month Binge Alcohol Use	13.2	25,000
Ages 18–20		
Past-Month Alcohol Use	42.6	88,000
Past-Month Binge Alcohol Use	28.2	58,000
Alcohol-Attributable Deaths (under 21)		113
Years of Potential Life Lost (under 21)		6,832
	Percentage of All Traffic Fatalities	Number
Traffic Fatalities, 15- to 20-Year-Old Drivers with BAC > 0.01	23	20

Laws Addressing Minors in Possession of Alcohol

Underage Possession	
Is underage possession of alcoholic beverages prohibited?	Yes
Are there exceptions based on family relationships?	
• Is possession allowed if parent or guardian is present or consents?	Yes
• Is possession allowed if spouse is present or consents?	Yes
Is there an exception based on location?	Yes, in private residence

Underage Consumption	
Is underage consumption of alcoholic beverages prohibited?	Yes
Are there exceptions based on family relationships?	
• Is consumption allowed if the parent or guardian is present or consents?	Yes
• Is consumption allowed if the spouse is present or consents?	Yes
Is there an exception based on location?	Yes, in private residence

Underage Internal Possession	
Is underage internal possession of alcoholic beverages prohibited?	No law
Are there exceptions based on family relationships?	
• Is internal possession allowed if the parent or guardian is present or consents?	N/A
• Is internal possession allowed if the spouse is present or consents?	N/A
Is there an exception based on location?	N/A

Underage Purchase and Attempted Purchase	
Is the purchase of alcoholic beverages prohibited?	Yes
May youth purchase for law enforcement purposes?	No

False Identification for Obtaining Alcohol	
Provisions Targeting Minors	
Is the use of false identification (ID) prohibited?	Yes
Does the use of a false ID result in minor's driver's license suspension?	Yes, through a judicial process
Provisions Targeting Suppliers	
Is the lending or transferring or selling of a false ID prohibited?	No
Is the production of a false ID in the context of underage alcohol sales specifically prohibited?	No
Retailer Support Provisions	
Is there an incentive for the retailer to use electronic scanners for information digitally encoded on valid IDs?	No
Are state driver's licenses for persons under 21 easily distinguishable from licenses for persons 21 and over?	Yes
May retailers seize apparently false IDs without fear of prosecution even if the ID is ultimately deemed valid?	No
Does an affirmative defense exist for the retailer?	Yes
• Is it a specific affirmative defense (retailer reasonably believed ID was valid after examining it)?	Yes

• Is it a general affirmative defense (retailer reasonably believed purchaser was over 21)?	No
Does the retailer have the right to sue the minor for use of a false ID?	No
May a retailer detain a minor who used a false ID?	No
<i>Note:</i> Special ID cards issued to applicants under 21 contain a highly visible distinctive color to clearly indicate that the card is issued to an applicant under 21. Special ID cards are to be accepted as valid identification of the person to whom they are issued but do not enable that person to operate a motor vehicle.	

Laws Targeting Underage Drinking and Driving

Youth Blood Alcohol Concentration Limits (Underage Operators of Noncommercial Motor Vehicles)	
What is the maximum blood alcohol concentration (BAC) limit for an underage driver of a motor vehicle?	0.02
Does a BAC level in excess of limit automatically establish a violation (per se violation)?	Yes
What is the minimum age to which the limit applies?	0
What is the maximum age to which the limit applies?	21

Loss of Driving Privileges for Alcohol Violations by Minors (“Use/Lose” Laws)	
Is there a “use/lose” law that suspends or revokes a minor’s driving privileges for alcohol violations?	Yes
What types of violation lead to license suspension or revocation?	
• Purchase of alcohol	Yes
• Possession of alcohol	Yes
• Consumption of alcohol	Yes
The law applies to people under what age?	21
Is suspension or revocation mandatory or discretionary?	Mandatory
What is the length of suspension/revocation?	
Minimum number of days	90
Maximum number of days	365
<i>Note:</i> In Louisiana, a person between 13 and 18 years old who is adjudicated delinquent of a crime or offense involving alcohol shall lose his or her driving privileges for no fewer than 90 days but no more than 1 year or until he or she has reached age 18, whichever is longer.	

Graduated Driver’s Licenses	
Learner Stage	
What is the minimum age for permit to drive with parents, guardians or other adults (other than instructors)?	15
What is the minimum number of months driver must hold learner permit before advancing to intermediate stage?	6
What is the minimum number of hours of driving with parents, guardians, or adults before advancing to intermediate stage?	50 (15 of which must be at night)
Intermediate Stage	
What is the minimum age for driving without adult supervision?	16
For night driving, when does adult supervision requirement begin?	11 pm

Can law enforcement stop a driver for night-driving violation as a primary offense?	Yes – Officer may stop driver for night-driving violation
Are there restrictions on passengers?	Yes – No more than one passenger under 21 who is not an immediate family member between 6 pm and 5 am, unless accompanied by a licensed driver at least 21 years old
Can law enforcement stop driver for violation of passenger restrictions as a primary offense?	Yes – Officer may stop driver for passenger restrictions violation
License Stage	
What is the minimum age for full license privileges and lifting of restrictions?	17

Laws Targeting Alcohol Suppliers

Furnishing Alcohol to Minors	
Is furnishing of alcoholic beverages to minors prohibited?	Yes
Are there exceptions based on family relationships?	
• Is furnishing allowed if the parent or guardian supplies the alcohol?	Yes
• Is furnishing allowed if the spouse supplies the alcohol?	Yes
Is there an exception based on location?	No
Affirmative Defense for Sellers and Licensees	
Does law require seller/licensee to be exonerated of furnishing to a minor if the minor has not been charged?	No

Compliance Check Protocols	
Does the state have a written protocol for when an underage decoy is used in compliance checks?	No data
What is the minimum age a decoy may be to participate in a compliance check?	N/A
What is the maximum age a decoy may be to participate in a compliance check?	N/A
What are the decoy’s appearance requirements?	N/A
Does decoy carry ID during compliance check?	N/A
May decoy verbally exaggerate his or her actual age?	N/A
Is decoy training mandated, recommended, prohibited, or not specified?	N/A

Penalty Guidelines for Sales to Minors	
Are there written guidelines for penalties imposed on retailers for furnishing to a minor?	No data
What is the time period for defining second, third, and subsequent offenses?	N/A
What is the penalty for the first offense?	N/A
What is the penalty for the second offense?	N/A
What is the penalty for the third offense?	N/A
What is the penalty for the fourth offense?	N/A

Responsible Beverage Service (RBS)	
Is there a state law pertaining to beverage service training?	Yes – Mandatory
If training is mandatory, who must participate?	Managers, servers/sellers
If training is voluntary, which of the following incentives are offered?	

• Defense in dram shop liability lawsuits	N/A
• Discounts in dram shop liability insurance, license fees, or other	N/A
• Mitigation of fines or other administrative penalties for sales to minors or intoxicated persons	N/A
• Protection against license revocation for sales to minors or sales to intoxicated persons	N/A
Does the RBS law apply to on-premises establishments (such as bars and restaurants) or off-premises establishments (such as liquor stores)?	Both
Does the RBS law apply to new or existing licensees?	Both

Minimum Age for Sellers of Alcohol – Off-Premises (i.e., Liquor Stores)

What is the minimum age requirement for off-premises retail establishments?	
Beer	None
Wine	None
Spirits	None
Does a manager or supervisor have to be present?	Yes

Minimum Age for Alcohol Servers and Bartenders – On-Premises (i.e., Restaurants and Bars)

What is the minimum age requirement for servers in on-premises establishments?	
Beer	18
Wine	18
Spirits	18
What is the minimum age requirement for bartenders in on-premises establishments?	
Beer	18
Wine	18
Spirits	18
Does a manager or supervisor have to be present?	No

Alcohol Outlet Siting Near Schools and Universities

Colleges and Universities	
Is there a distance requirement for off-premises outlets (i.e., liquor stores)?	No
Is there a distance requirement for on-premises outlets (i.e., restaurants and bars)?	No
To which alcohol products does requirement apply?	N/A
Primary and Secondary Schools	
Is there a distance requirement for off-premises outlets (i.e., liquor stores)?	No
Is there a distance requirement for on-premises outlets (i.e., restaurants and bars)?	No
To which alcohol products does requirement apply?	N/A
<i>Note:</i> Louisiana allows for localities to control outlet siting with a minimum of a 300-foot restriction.	

Dram Shop Liability

Does a statute create dram shop liability?	No
Does the statute limit damages that may be recovered?	N/A
Does the statute limit who may be sued?	N/A
Does the statute limit elements or standards of proof?	N/A
Does common law dram shop liability exist?	Yes

Social Host Liability	
Does a statute create social host liability?	No
Does the statute limit damages that may be recovered?	N/A
Does the statute limit who may be sued?	N/A
Does the statute limit elements or standards of proof?	N/A
Does common law social host liability exist?	Yes

Prohibitions Against Hosting Underage Drinking Parties	
Does a statute prohibit hosting underage drinking parties?	No
Is the statute specific to underage parties, or a general prohibition against permitting underage drinking on the property?	N/A
What action by underage guest triggers a violation?	N/A
Property type covered by the law?	N/A
What level of knowledge by the host is required?	N/A
Does host's preventive action protect him/her from being held liable?	N/A
Are there any exceptions for underage guests?	N/A

Retailer Interstate Shipments of Alcohol	
Are out-of-state retailers prohibited from sending interstate shipments to in-state consumers?	
Beer	Yes
Wine	Yes
Spirits	Yes

Direct Shipments/Sales	
May alcohol producers ship directly to consumers?	Yes
What alcohol types may be shipped?	Wine
Must purchaser make mandatory trip to producer before delivery is authorized?	No
Age verification requirements	
Must the producer/shipper verify purchaser's age before sale?	No
Must the common carrier (deliverer) verify age of recipients?	No
State approval/permit requirements	
Must the producer/manufacture obtain state license or permit?	Yes
Must the common carrier (deliverer) be approved by a state agency?	No
Recording/reporting requirements	
Must the producer/manufacture record/report purchaser's name?	No
Must the common carrier (deliverer) record/report recipient's name?	Yes
Shipping label requirements	
Must the label state "Package contains alcohol"?	Yes
Must the label state "Recipient must be 21 years old"?	Yes

Keg Registration	
How is a keg defined (in gallons)?	Equal to or more than 4.00
Prohibitions	
Is it illegal to possess an unregistered or unlabeled keg and if so, what is the penalty?	No

Is it illegal to destroy the label on a keg, and if so, what is the penalty?	No
What purchaser information is collected?	
Must the retailer collect the name and address?	Yes
Must the retailer collect the ID number, name and address on license or other government information?	Yes
Must the retailer collect the address at which keg will be consumed?	No
Must warning information be given to purchaser?	Yes – Active (requires action by purchaser)
Is a deposit required?	No
Does law cover disposable kegs?	No

Home Delivery	
Is home delivery of alcohol permitted?	
Beer	No law
Wine	Yes (no more than 144 [750ml] bottles per year per person per household)
Spirits	No law

High-Proof Grain Alcohol Beverages	
Are there restrictions on the sale of high-proof grain alcohol beverages?	No
Are restrictions based on Alcohol by Volume (ABV)?	N/A
Are there exceptions to restrictions?	N/A

Laws Affecting Alcohol Pricing

Alcohol Taxes	
Beer	
Control system for beer?	No
Specific excise tax per gallon for 5% alcohol beer	\$0.32
Ad valorem excise tax (for on-premises sales) on total receipts for 5% alcohol beer	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Ad valorem excise tax (for off-premises sales) on total receipts for 5% alcohol beer	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Additional taxes for 3.2–6% alcohol beer (if applicable)	

Wine	
Control system for wine?	No
Specific excise tax per gallon for 12% alcohol wine	\$0.11
Ad valorem excise tax (for on-premises sales) on total receipts for 12% alcohol wine	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Ad valorem excise tax (for off-premises sales) on total receipts for 12% alcohol wine	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Additional taxes for 6–14% alcohol wine (if applicable)	\$0.32/gallon for alcohol content of 6% or less
Spirits	
Control system for spirits?	No
Specific excise tax per gallon for 40% alcohol spirits	\$2.50
Ad valorem excise tax (for on-premises sales) on total receipts for 40% alcohol spirits	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Ad valorem excise tax (for off-premises sales) on total receipts for 40% alcohol spirits	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Additional taxes for 15–50% alcohol spirits (if applicable)	
Low-Price, High-Volume Drink Specials	
What types of drink specials are prohibited by on-premises retailers?	
Free beverages	No
Multiple servings at one time	No

Multiple servings for same price as single serving	No
Reduced price for a specified day or time (i.e., happy hours)	No
Unlimited beverages for fixed price	Yes
Increased volume without increase in price	No
<i>Note:</i> On-premises retailers may not offer an unlimited number of drinks for a fixed price after 10 pm.	

Wholesaler Pricing Restrictions	
Beer	
Are volume discounts to retailers allowed?	Banned
Must wholesalers establish a minimum markup or maximum discount for each product sold to retailers?	No law
Must wholesalers publicly post and hold (i.e., not reduce) prices for a set period of time?	No law
Is wholesaler permitted to extend credit to retailer and if so, what is the maximum time period?	No
Wine	
Are volume discounts to retailers allowed?	Banned
Must wholesalers establish a minimum markup or maximum discount for each product sold to retailers?	No law
Must wholesalers publicly post and hold (i.e., not reduce) prices for a set period of time?	No law
Is wholesaler permitted to extend credit to retailer and if so, what is the maximum time period?	Yes (15 days)
Spirits	
Are volume discounts to retailers allowed?	Banned
Must wholesalers establish a minimum markup or maximum discount for each product sold to retailers?	No law
Must wholesalers publicly post and hold (i.e., not reduce) prices for a set period of time?	No law
Is wholesaler permitted to extend credit to retailer and if so, what is the maximum time period?	Yes (15 days)

Louisiana State Survey Responses

State Agency Information	
<i>Agency with primary responsibility for enforcing underage drinking laws:</i>	
Louisiana Office of Alcohol and Tobacco Control	
Enforcement Strategies	
<i>State law enforcement agencies use:</i>	
Cops in Shops	Yes
Shoulder Tap Operations	No
Party Patrol Operations or Programs	No
Underage Alcohol-Related Fatality Investigations	Yes
<i>Local law enforcement agencies use:</i>	
Cops in Shops	No
Shoulder Tap Operations	No
Party Patrol Operations or Programs	No
Underage Alcohol-Related Fatality Investigations	No
<i>State has a program to investigate and enforce direct sales/shipment laws</i>	Yes
Primary state agency responsible for enforcing laws addressing direct sales/shipments of alcohol to minors	Louisiana Office of Alcohol and Tobacco Control
Such laws are also enforced by local law enforcement agencies	Don't know
Enforcement Statistics	
<i>State collects data on the number of minors found in possession</i>	Yes
Number of minors found in possession by state law enforcement agencies	85
Number pertains to the 12 months ending	6/30/2014
Data include arrests/citations issued by local law enforcement agencies	No
<i>State conducts underage compliance checks/decoy operations² to determine if alcohol retailers are complying with laws prohibiting sales to minors</i>	Yes
Data are collected on these activities	Yes
Number of retail licensees in state ³	8,567
Number of licensees checked for compliance by state agencies (including random checks)	6,454
Number of licensees that failed state compliance checks	1,271
Numbers pertain to the 12 months ending	6/30/2014
Compliance checks/decoy operations conducted at on-sale, off-sale, or both retail establishments	Both on- and off-sale establishments
<i>State conducts random underage compliance checks/decoy operations</i>	No
Number of licensees subject to random state compliance checks/decoy operations	Not applicable
Number of licensees that failed random state compliance checks	Not applicable
<i>Local agencies conduct underage compliance checks/decoy operations to determine if alcohol retailers are complying with laws prohibiting sales to minors</i>	Don't know/No answer
Data are collected on these activities	Not applicable
Number of licensees checked for compliance by local agencies	Not applicable
Number of licensees that failed local compliance checks	Not applicable
Numbers pertain to the 12 months ending	Not applicable
Sanctions	
<i>State collects data on fines imposed on retail establishments that furnish minors</i>	Don't know
Number of fines imposed by the state ⁴	Not applicable
Total amount in fines across all licensees	Not applicable
Smallest fine imposed	Not applicable
Largest fine imposed	Not applicable

Numbers pertain to the 12 months ending	Not applicable
<i>State collects data on license suspensions imposed on retail establishments specifically for furnishing minors</i>	Yes
Number of suspensions imposed by the state ⁵	161
Total days of suspensions across all licensees	No data
Shortest period of suspension imposed (in days)	No data
Longest period of suspension imposed (in days)	No data
Numbers pertain to the 12 months ending	6/30/2014
<i>State collects data on license revocations imposed on retail establishments specifically for furnishing minors</i>	Don't know
Number of license revocations imposed ⁶	Not applicable
Numbers pertain to the 12 months ending	Not applicable

Additional Clarification

No data

¹ Or having consumed or purchased per state statutes.

² Underage compliance checks/decoy operations to determine whether alcohol retailers are complying with laws prohibiting sales to minors.

³ Excluding special licenses such as temporary, seasonal, and common carrier licenses.

⁴ Does not include fines imposed by local agencies.

⁵ Does not include suspensions imposed by local agencies.

⁶ Does not include revocations imposed by local agencies.

Underage Drinking Prevention Programs Operated or Funded by the State

Project Northland

Program serves specific or general population	Specific population
Number of youth served	8,340
Number of parents served	No data
Number of caregivers served	No data
Program has been evaluated	Yes
Evaluation report is available	Yes
URL for evaluation report:	No data
URL for more program information:	
http://www.hazelden.org/web/go/projectnorthland	

Program Description: Project Northland is a multilevel intervention involving students, peers, parents, and communities in programs designed to delay the age at which adolescents begin drinking, reduce alcohol use among those already drinking, and limit the number of alcohol-related problems among young drinkers. Administered weekly to adolescents in grades 6–8, the program has a specific theme within each grade level that is incorporated into the parent, peer, and community components. The 6th-grade home-based program targets communication about adolescent alcohol use through student-parent homework assignments, in-class group discussions, and a communitywide task force. The 7th-grade peer- and teacher-led curriculum focuses on resistance skills and normative expectations regarding teen alcohol use and is implemented through discussions, games, problem-solving tasks, and role plays. During the first half of the 8th-grade Powerlines peer-led program, students learn about community dynamics related to alcohol use prevention through small-group and classroom interactive activities. During the second half, they work on community-based projects and hold a mock town meeting to make community policy recommendations to prevent teen alcohol use.

Protecting You/Protecting Me (PY/PM)

Program serves specific or general population	Specific population
Number of youth served	3,246
Number of parents served	No data
Number of caregivers served	No data
Program has been evaluated	Yes
Evaluation report is available	Yes
URL for evaluation report:	No data

URL for more program information: <http://www.hazelden.org/web/go/pypm>

Program Description: PY/PM is a 5-year classroom-based alcohol use prevention and vehicle safety program for elementary school students in grades 1–5 (ages 6–11) and high school students in grades 11 and 12. The program aims to reduce alcohol-related injuries and death among children and youth due to underage alcohol use and riding in vehicles with drivers who are not alcohol free. PY/PM consists of a series of 40 science- and health-based lessons, with eight lessons per year for grades 1–5. All lessons are correlated with educational achievement objectives. PY/PM lessons and activities focus on teaching children about:

1. The brain—how it continues to develop throughout childhood and adolescence, what alcohol does to the developing brain, and why it is important for children to protect their brains.
2. Vehicle safety, particularly what children can do to protect themselves if they have to ride with someone who is not alcohol free.
3. Life skills, including decisionmaking, stress management, media awareness, resistance strategies, and communication.

Lessons are taught weekly and last 20–25 minutes or 45–50 minutes, depending on the grade level. A variety of ownership activities promote students’ ownership of the information and reinforce the skills taught during each lesson. Parent take-home activities are offered for all 40 lessons. PY/PM’s interactive and effective teaching processes include role playing, small group and classroom discussions, reading, writing, storytelling, art, and music. The curriculum can be taught by school staff or prevention specialists. PY/PM also has a high school component for students in grades 11 and 12. The youth-led implementation model involves delivery of the PY/PM curriculum to elementary students by trained high school students who are enrolled in a peer mentoring, family and consumer science, or leadership course for credit. The program’s benefits to high school students are derived from learning about the brain and how alcohol use can affect adolescents, serving as role models to the elementary school participants, and taking coursework in preparation for delivering the curriculum.

Additional Underage Drinking Prevention Programs Operated or Funded by the State

Program description: No data

Additional Clarification

The state funds only two programs (Project Northland and Protecting You/Protecting Me) that are specific to underage drinking. The state funds additional prevention programs that are broader in scope as they address alcohol, tobacco, and other drugs. From July 1, 2013, to June 30, 2014, these additional programs served 71,731 youth across the state and are listed below:

- Life Skills Training
- Kids Don't Gamble...Wanna Bet?
- Second Step
- Coping Skills
- Too Good for Drugs
- Al's Pal
- Positive Action
- Guided Imagery Program
- Project Alert
- Project Toward No Tobacco Use
- Keep A Clear Mind
- Strengthening Families
- Insight Class Program

Additional Information Related to Underage Drinking Prevention Programs

<i>State collaborates with federally recognized tribal governments in the prevention of underage drinking</i>	No
Description of collaboration:	Not applicable
<i>State has programs to measure and/or reduce youth exposure to alcohol advertising and marketing</i>	No

Description of program:	Not applicable
<i>State has adopted or developed best practice standards for underage drinking prevention programs</i>	Yes
Agencies/organizations that established best practices standards:	
Federal agency(ies): SAMHSA	Yes
Agency(ies) within your state: Office of Behavioral Health - SAPT Block Grant	Yes
Nongovernmental agency(ies):	No
Other:	No
Best practice standards description:	No data
Additional Clarification	
The state looks to SAMSHA for guidance on best practices.	
State Interagency Collaboration	
<i>A state-level interagency governmental body/committee exists to coordinate or address underage drinking prevention activities</i>	Yes
<i>Committee contact information:</i>	
Name: Dawn Diez	
Email: Dawn.Diez@la.gov	
Address: 628 N. 4th Street, Baton Rouge, LA 70802	
Phone: 225-342-1836 or 225-342-7722	
<i>Agencies/organizations represented on the committee:</i>	
Office of the Governor—Drug Policy Board	
Department of Health and Hospitals (DHH)/Office of Behavioral Health	
Louisiana Highway Safety Commission	
Department of Education	
Louisiana State Police	
Attorney General's Office	
Louisiana Army National Guard	
Louisiana Commission on Law Enforcement	
Office of Juvenile Justice	
Louisiana Sheriff's Association	
Hispanic Community Representative	
Office of the Governor Elderly Affairs	
Historically Black Colleges & Universities	
Louisiana Commission on Addictive Disorders	
Private Organization Involved in Substance Abuse Prevention	
Louisiana Center Addressing Substance use in Collegiate Communities	
Louisiana State University School of Public Health	
DHH/Office of Public Health Chronic Disease Prevention and Control Unit	
Department of Public Safety and Corrections	
Louisiana Addictive Disorders Regulatory Authority	
MADD (Mothers Against Drunk Driving)	
District Attorney's Association	
Louisiana Department of Veteran Affairs	
Children's Cabinet	
Office of the Governor—Disability Affairs	
Supreme Court Drug Court Program	
State Epidemiology Workgroup	
<i>A website or other public source exists to describe committee activities</i>	Yes
URL or other means of access:	
http://www.gov.state.la.us/index.cfm?md=pagebuilder&tmp=home&navID=252&parentNavID=93&cplID=124&catID=0	
Underage Drinking Reports	
<i>State has prepared a plan for preventing underage drinking in the last 3 years</i>	Yes

Prepared by: Prevention Systems Committee, a standing subcommittee of the Louisiana Drug Policy board

Plan can be accessed via:

<http://www.gov.state.la.us/index.cfm?md=pagebuilder&tmp=home&navID=252&parentNavID=93&cplID=124&catID=0>

State has prepared a report on preventing underage drinking in the last 3 years	Yes
Prepared by: State Epidemiology Workgroup	
Plan can be accessed via: http://www.bach-harrison.com/lasocialindicators	

Additional Clarification

No data

State Expenditures for the Prevention of Underage Drinking

<i>Compliance checks in retail outlets:</i>	
Estimate of state funds expended	Data not available
Estimate based on the 12 months ending	Data not available
<i>Checkpoints and saturation patrols:</i>	
Estimate of state funds expended	Data not available
Estimate based on the 12 months ending	Data not available
<i>Community-based programs to prevent underage drinking:</i>	
Estimate of state funds expended	No data
Estimate based on the 12 months ending	No data
<i>K-12 school-based programs to prevent underage drinking:</i>	
Estimate of state funds expended	\$358,050
Estimate based on the 12 months ending	6/30/2014
<i>Programs targeted to institutes of higher learning:</i>	
Estimate of state funds expended	Data not available
Estimate based on the 12 months ending	Data not available
<i>Programs that target youth in the juvenile justice system:</i>	
Estimate of state funds expended	Data not available
Estimate based on the 12 months ending	Data not available
<i>Programs that target youth in the child welfare system:</i>	
Estimate of state funds expended	Data not available
Estimate based on the 12 months ending	Data not available
<i>Other programs:</i>	
Programs or strategies included	Data not available
Estimate of state funds expended	Data not available
Estimate based on the 12 months ending	Data not available

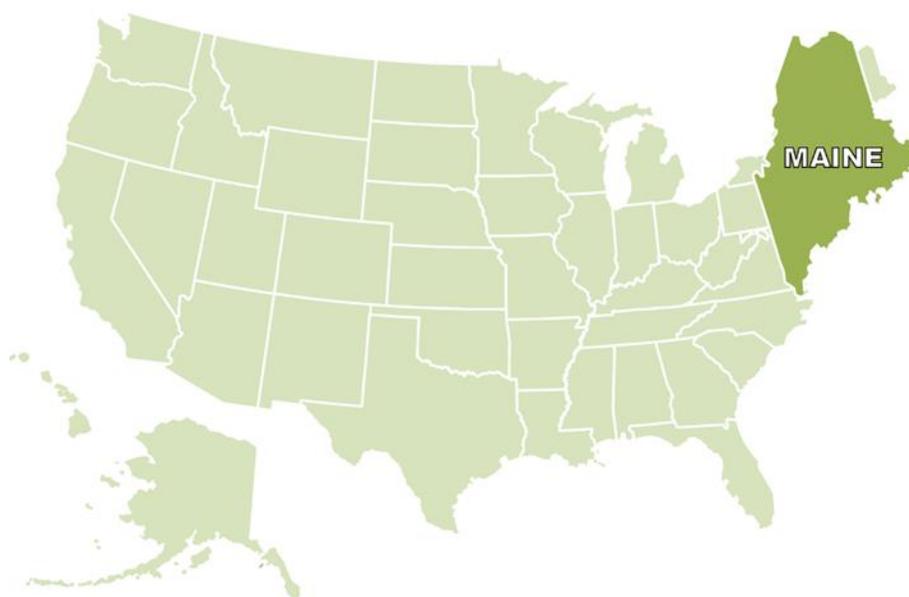
Funds Dedicated to Underage Drinking

<i>State derives funds dedicated to underage drinking from the following revenue streams:</i>	
Taxes	No
Fines	No
Fees	No
Other	No data

Description of funding streams and how they are used:
 Expenditures included in K-12 school-based programs to prevent underage drinking are funds from the 20 percent prevention set-aside from the Substance Abuse Treatment and Prevention Block Grant. Funding expenditures included costs associated with Project Northland and Protecting You/Protecting Me.

Additional Clarification

No data



Maine

State Population: 1,330,089

Population Ages 12–20: 147,000

	Percentage	Number
Ages 12–20		
Past-Month Alcohol Use	24.7	36,000
Past-Month Binge Alcohol Use	15.1	22,000
Ages 12–14		
Past-Month Alcohol Use	2.8	1,000
Past-Month Binge Alcohol Use	1.2	1,000
Ages 15–17		
Past-Month Alcohol Use	19.7	9,000
Past-Month Binge Alcohol Use	11.4	5,000
Ages 18–20		
Past-Month Alcohol Use	49.5	26,000
Past-Month Binge Alcohol Use	31.2	16,000
Alcohol-Attributable Deaths (under 21)		13
Years of Potential Life Lost (under 21)		808
	Percentage of All Traffic Fatalities	Number
Traffic Fatalities, 15- to 20-Year-Old Drivers with BAC > 0.01	22	4

Laws Addressing Minors in Possession of Alcohol

Underage Possession	
Is underage possession of alcoholic beverages prohibited?	Yes
Are there exceptions based on family relationships?	
• Is possession allowed if parent or guardian is present or consents?	Yes, in specified locations – See below
• Is possession allowed if spouse is present or consents?	No
Is there an exception based on location?	Yes, in private residence if parent/guardian is present or consents

Underage Consumption	
Is underage consumption of alcoholic beverages prohibited?	Yes
Are there exceptions based on family relationships?	
• Is consumption allowed if the parent or guardian is present or consents?	Yes, in specified locations – See below
• Is consumption allowed if the spouse is present or consents?	No
Is there an exception based on location?	Yes, in private residence if parent/guardian is present or consents

Underage Internal Possession	
Is underage internal possession of alcoholic beverages prohibited?	No law
Are there exceptions based on family relationships?	
• Is internal possession allowed if the parent or guardian is present or consents?	N/A
• Is internal possession allowed if the spouse is present or consents?	N/A
Is there an exception based on location?	N/A

Underage Purchase and Attempted Purchase	
Is the purchase of alcoholic beverages prohibited?	Yes
May youth purchase for law enforcement purposes?	No

False Identification for Obtaining Alcohol	
Provisions Targeting Minors	
Is the use of false identification (ID) prohibited?	Yes
Does the use of a false ID result in minor's driver's license suspension?	Yes, through a judicial process
Provisions Targeting Suppliers	
Is the lending or transferring or selling of a false ID prohibited?	Yes
Is the production of a false ID in the context of underage alcohol sales specifically prohibited?	No
Retailer Support Provisions	
Is there an incentive for the retailer to use electronic scanners for information digitally encoded on valid IDs?	No
Are state driver's licenses for persons under 21 easily distinguishable from licenses for persons 21 and over?	Yes

May retailers seize apparently false IDs without fear of prosecution even if the ID is ultimately deemed valid?	Yes
Does an affirmative defense exist for the retailer?	No
<ul style="list-style-type: none"> Is it a specific affirmative defense (retailer reasonably believed ID was valid after examining it)? 	N/A
<ul style="list-style-type: none"> Is it a general affirmative defense (retailer reasonably believed purchaser was over 21)? 	N/A
Does the retailer have the right to sue the minor for use of a false ID?	No
May a retailer detain a minor who used a false ID?	No
<i>Note:</i> In Maine, Provisions Targeting Suppliers apply to acts prohibited for minors. The more general laws addressing adults are not included here as they are not, for purposes of this report, specific to lending, transfer, sale, or production of false ID for a minor's obtaining alcoholic beverages.	

Laws Targeting Underage Drinking and Driving

Youth Blood Alcohol Concentration Limits (Underage Operators of Noncommercial Motor Vehicles)	
What is the maximum blood alcohol concentration (BAC) limit for an underage driver of a motor vehicle?	0
Does a BAC level in excess of limit automatically establish a violation (per se violation)?	Yes
What is the minimum age to which the limit applies?	0
What is the maximum age to which the limit applies?	21

Loss of Driving Privileges for Alcohol Violations by Minors ("Use/Lose" Laws)	
Is there a "use/lose" law that suspends or revokes a minor's driving privileges for alcohol violations?	No
What types of violation lead to license suspension or revocation?	
<ul style="list-style-type: none"> Purchase of alcohol 	N/A
<ul style="list-style-type: none"> Possession of alcohol 	N/A
<ul style="list-style-type: none"> Consumption of alcohol 	N/A
The law applies to people under what age?	N/A
Is suspension or revocation mandatory or discretionary?	N/A
What is the length of suspension/revocation?	
Minimum number of days	N/A
Maximum number of days	N/A

Graduated Driver's Licenses	
Learner Stage	
What is the minimum age for permit to drive with parents, guardians or other adults (other than instructors)?	15
What is the minimum number of months driver must hold learner permit before advancing to intermediate stage?	6
What is the minimum number of hours of driving with parents, guardians, or adults before advancing to intermediate stage?	70 (10 of which must be at night)
Intermediate Stage	
What is the minimum age for driving without adult supervision?	16
For night driving, when does adult supervision requirement begin?	12 am

Can law enforcement stop a driver for night-driving violation as a primary offense?	Yes – Officer may stop driver for night-driving violation
Are there restrictions on passengers?	Yes – Immediate family members only, unless accompanied by licensed driver who is at least 20
Can law enforcement stop driver for violation of passenger restrictions as a primary offense?	Yes – Officer may stop driver for passenger restrictions violation
License Stage	
What is the minimum age for full license privileges and lifting of restrictions?	16 years, 9 months

Laws Targeting Alcohol Suppliers

Furnishing Alcohol to Minors	
Is furnishing of alcoholic beverages to minors prohibited?	Yes
Are there exceptions based on family relationships?	
• Is furnishing allowed if the parent or guardian supplies the alcohol?	Yes in specified locations
• Is furnishing allowed if the spouse supplies the alcohol?	No
Is there an exception based on location?	Yes, in any private residence if parent/guardian supplies alcohol
Affirmative Defense for Sellers and Licensees	
Does law require seller/licensee to be exonerated of furnishing to a minor if the minor has not been charged?	No

Compliance Check Protocols	
Does the state have a written protocol for when an underage decoy is used in compliance checks?	Yes
What is the minimum age a decoy may be to participate in a compliance check?	18
What is the maximum age a decoy may be to participate in a compliance check?	20
What are the decoy's appearance requirements?	Dressed in a manner consistent with age. No sunglasses or baseball caps. Male: No facial hair. Female: Little or no makeup.
Does decoy carry ID during compliance check?	Prohibited
May decoy verbally exaggerate his or her actual age?	Prohibited
Is decoy training mandated, recommended, prohibited, or not specified?	Not specified

Penalty Guidelines for Sales to Minors	
Are there written guidelines for penalties imposed on retailers for furnishing to a minor?	Yes
What is the time period for defining second, third, and subsequent offenses?	Not specified

What is the penalty for the first offense?	Age 16, \$1,500 fine and/or 14-day suspension; age 17, \$1,200 fine and/or 7-day suspension; age 18, \$750 fine; age 19, \$600 fine; age 20, \$450 fine
What is the penalty for the second offense?	Not specified
What is the penalty for the third offense?	Not specified
What is the penalty for the fourth offense?	Not specified

Responsible Beverage Service (RBS)	
Is there a state law pertaining to beverage service training?	Yes – Voluntary
If training is mandatory, who must participate?	N/A
If training is voluntary, which of the following incentives are offered?	
• Defense in dram shop liability lawsuits	Yes
• Discounts in dram shop liability insurance, license fees, or other	No
• Mitigation of fines or other administrative penalties for sales to minors or intoxicated persons	No
• Protection against license revocation for sales to minors or sales to intoxicated persons	No
Does the RBS law apply to on-premises establishments (such as bars and restaurants) or off-premises establishments (such as liquor stores)?	Unspecified
Does the RBS law apply to new or existing licensees?	Unspecified

Minimum Age for Sellers of Alcohol – Off-Premises (i.e., Liquor Stores)	
What is the minimum age requirement for off-premises retail establishments?	
Beer	17
Wine	17
Spirits	17
Does a manager or supervisor have to be present?	Yes

Minimum Age for Alcohol Servers and Bartenders – On-Premises (i.e., Restaurants and Bars)	
What is the minimum age requirement for servers in on-premises establishments?	
Beer	17
Wine	17
Spirits	17
What is the minimum age requirement for bartenders in on-premises establishments?	
Beer	17
Wine	17
Spirits	17
Does a manager or supervisor have to be present?	Yes

Alcohol Outlet Siting Near Schools and Universities	
Colleges and Universities	
Is there a distance requirement for off-premises outlets (i.e., liquor stores)?	No
Is there a distance requirement for on-premises outlets (i.e., restaurants and bars)?	No
To which alcohol products does requirement apply?	N/A

Primary and Secondary Schools	
Is there a distance requirement for off-premises outlets (i.e., liquor stores)?	No
Is there a distance requirement for on-premises outlets (i.e., restaurants and bars)	Yes, within 300 feet
To which alcohol products does requirement apply?	Beer, wine, spirits
<i>Note:</i> Exception is downtown location	

Dram Shop Liability	
Does a statute create dram shop liability?	Yes
Does the statute limit damages that may be recovered?	Yes (\$350,000 limit for all claims per occurrence; medical care and treatment costs excluded from limit)
Does the statute limit who may be sued?	No
Does the statute limit elements or standards of proof?	No
Does common law dram shop liability exist?	No
<i>Note:</i> Maine law includes a responsible beverage service defense.	

Social Host Liability	
Does a statute create social host liability?	Yes
Does the statute limit damages that may be recovered?	Yes (\$350,000 limit for all claims per occurrence; medical care and treatment costs excluded from limit)
Does the statute limit who may be sued?	No
Does the statute limit elements or standards of proof?	No
Does common law social host liability exist?	No

Prohibitions Against Hosting Underage Drinking Parties	
Does a statute prohibit hosting underage drinking parties?	Yes
Is the statute specific to underage parties, or a general prohibition against permitting underage drinking on the property?	General
What action by underage guest triggers a violation?	Possession/Consumption
Property type covered by the law?	Residential/Outdoor/Other
What level of knowledge by the host is required?	Knowledge: Host must have actual knowledge of party
Does host's preventive action protect him/her from being held liable?	No
Are there any exceptions for underage guests?	Yes – Family members

Retailer Interstate Shipments of Alcohol	
Are out-of-state retailers prohibited from sending interstate shipments to in-state consumers?	
Beer	Yes
Wine	Yes
Spirits	Yes

Direct Shipments/Sales	
May alcohol producers ship directly to consumers?	Yes
What alcohol types may be shipped?	Wine

Must purchaser make mandatory trip to producer before delivery is authorized?	No
Age verification requirements	
Must the producer/shipper verify purchaser's age before sale?	No
Must the common carrier (deliverer) verify age of recipients?	Yes
State approval/permit requirements	
Must the producer/manufacture obtain state license or permit?	Yes
Must the common carrier (deliverer) be approved by a state agency?	Yes
Recording/reporting requirements	
Must the producer/manufacture record/report purchaser's name?	Yes
Must the common carrier (deliverer) record/report recipient's name?	No
Shipping label requirements	
Must the label state "Package contains alcohol"?	Yes
Must the label state "Recipient must be 21 years old"?	Yes

Keg Registration	
How is a keg defined (in gallons)?	Equal to or more than 7.75
Prohibitions	
Is it illegal to possess an unregistered or unlabeled keg and if so, what is the penalty?	Yes (maximum fine/jail, \$500)
Is it illegal to destroy the label on a keg, and if so, what is the penalty?	Yes (maximum fine/jail, \$1,000/6 months)
What purchaser information is collected?	
Must the retailer collect the name and address?	Yes
Must the retailer collect the ID number, name and address on license or other government information?	No
Must the retailer collect the address at which keg will be consumed?	No
Must warning information be given to purchaser?	Yes – Passive (requires no action by purchaser)
Is a deposit required?	No
Does law cover disposable kegs?	No

Home Delivery	
Is home delivery of alcohol permitted?	
Beer	No law
Wine	No law
Spirits	No law

High-Proof Grain Alcohol Beverages	
Are there restrictions on the sale of high-proof grain alcohol beverages?	No. However, Maine is a control state, and control states may impose additional restrictions on the sale of products that are not reflected in statute or regulation.
Are restrictions based on Alcohol by Volume (ABV)?	N/A
Are there exceptions to restrictions?	N/A

Laws Affecting Alcohol Pricing

Alcohol Taxes	
Beer	
Control system for beer?	No
Specific excise tax per gallon for 5% alcohol beer	\$0.35
Ad valorem excise tax (for on-premises sales) on total receipts for 5% alcohol beer	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	8%
If retail tax rate applies, is there an exemption from general sales tax?	Yes
• General sales tax rate	5.50%
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	2.50%
Ad valorem excise tax (for off-premises sales) on total receipts for 5% alcohol beer	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Additional taxes for 3.2–6% alcohol beer (if applicable)	
Wine	
Control system for wine?	Yes
Specific excise tax per gallon for 12% alcohol wine	
Ad valorem excise tax (for on-premises sales) on total receipts for 12% alcohol wine	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Ad valorem excise tax (for off-premises sales) on total receipts for 12% alcohol wine	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Additional taxes for 6–14% alcohol wine (if applicable)	
Spirits	
Control system for spirits?	Yes
Specific excise tax per gallon for 40% alcohol spirits	
Ad valorem excise tax (for on-premises sales) on total receipts for 40% alcohol spirits	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No

• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Ad valorem excise tax (for off-premises sales) on total receipts for 40% alcohol spirits	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Additional taxes for 15–50% alcohol spirits (if applicable)	

Low-Price, High-Volume Drink Specials	
What types of drink specials are prohibited by on-premises retailers?	
Free beverages	Yes
Multiple servings at one time	No
Multiple servings for same price as single serving	No
Reduced price for a specified day or time (i.e., happy hours)	No
Unlimited beverages for fixed price	Yes
Increased volume without increase in price	No

Wholesaler Pricing Restrictions	
Beer	
Are volume discounts to retailers allowed?	No
Must wholesalers establish a minimum markup or maximum discount for each product sold to retailers?	No law
Must wholesalers publicly post and hold (i.e., not reduce) prices for a set period of time?	Post and hold (30 days)
Is wholesaler permitted to extend credit to retailer and if so, what is the maximum time period?	No
Wine	Control System
Are volume discounts to retailers allowed?	N/A
Must wholesalers establish a minimum markup or maximum discount for each product sold to retailers?	N/A
Must wholesalers publicly post and hold (i.e., not reduce) prices for a set period of time?	N/A
Is wholesaler permitted to extend credit to retailer and if so, what is the maximum time period?	N/A

Spirits	Control System
Are volume discounts to retailers allowed?	N/A
Must wholesalers establish a minimum markup or maximum discount for each product sold to retailers?	N/A
Must wholesalers publicly post and hold (i.e., not reduce) prices for a set period of time?	N/A
Is wholesaler permitted to extend credit to retailer and if so, what is the maximum time period?	N/A

Maine State Survey Responses

State Agency Information

Agency with primary responsibility for enforcing underage drinking laws:

No one state agency has primary responsibility. The Maine Department of Public Safety's State Police, as well as county and local law enforcement agencies, are responsible for civil and criminal law violations (i.e., illegal possession, illegal transportation, social host, furnishing). The Bureau of Alcoholic Beverages and Lottery Operations' Liquor Licensing Division enforces administrative violations at liquor licensees (sales/service).

Enforcement Strategies

State law enforcement agencies use:

Cops in Shops	No
Shoulder Tap Operations	No
Party Patrol Operations or Programs	Yes
Underage Alcohol-Related Fatality Investigations	Yes

Local law enforcement agencies use:

Cops in Shops	No
Shoulder Tap Operations	Yes
Party Patrol Operations or Programs	Yes
Underage Alcohol-Related Fatality Investigations	Yes

State has a program to investigate and enforce direct sales/shipment laws

No

Primary state agency responsible for enforcing laws addressing direct sales/shipments of alcohol to minors

Not applicable

Such laws are also enforced by local law enforcement agencies

Not applicable

Enforcement Statistics

State collects data on the number of minors found in possession

Yes

Number of minors found in possession by state law enforcement agencies

Data not readily accessible

Number pertains to the 12 months ending

Not applicable

Data include arrests/citations issued by local law enforcement agencies

Not applicable

State conducts underage compliance checks/decoy operations² to determine if alcohol retailers are complying with laws prohibiting sales to minors

Yes

Data are collected on these activities

Yes

Number of retail licensees in state³

4,000

Number of licensees checked for compliance by state agencies

800

(including random checks)

Number of licensees that failed state compliance checks

75

Numbers pertain to the 12 months ending

9/30/2014

Compliance checks/decoy operations conducted at on-sale, off-sale, or both retail establishments

Off-sale establishments only

*State conducts **random** underage compliance checks/decoy operations*

Yes

Number of licensees subject to **random** state compliance checks/decoy operations

800

Number of licensees that failed **random** state compliance checks

75

Local agencies conduct underage compliance checks/decoy operations to determine if alcohol retailers are complying with laws prohibiting sales to minors

Yes

Data are collected on these activities

Yes

Number of licensees checked for compliance by local agencies

1,469

Number of licensees that failed local compliance checks

145

Numbers pertain to the 12 months ending

12/31/2014

Sanctions

State collects data on fines imposed on retail establishments that furnish minors

Yes

Number of fines imposed by the state⁴

No data

Total amount in fines across all licensees	No data
Smallest fine imposed	No data
Largest fine imposed	No data
Numbers pertain to the 12 months ending	No data
<i>State collects data on license suspensions imposed on retail establishments specifically for furnishing minors</i>	
	Yes
Number of suspensions imposed by the state ⁵	No data
Total days of suspensions across all licensees	No data
Shortest period of suspension imposed (in days)	No data
Longest period of suspension imposed (in days)	No data
Numbers pertain to the 12 months ending	No data
<i>State collects data on license revocations imposed on retail establishments specifically for furnishing minors</i>	
	Yes
Number of license revocations imposed ⁶	No data
Numbers pertain to the 12 months ending	No data

Additional Clarification

No data

¹ Or having consumed or purchased per state statutes.

² Underage compliance checks/decoy operations to determine whether alcohol retailers are complying with laws prohibiting sales to minors.

³ Excluding special licenses such as temporary, seasonal, and common carrier licenses.

⁴ Does not include fines imposed by local agencies.

⁵ Does not include suspensions imposed by local agencies.

⁶ Does not include revocations imposed by local agencies.

Underage Drinking Prevention Programs Operated or Funded by the State

Maine's Enforcing the Underage Drinking Laws Program

Program serves specific or general population	General population
Number of youth served	Not applicable
Number of parents served	Not applicable
Number of caregivers served	Not applicable
Program has been evaluated	Yes
Evaluation report is available	Yes
URL for evaluation report: http://www.maine.gov/dhhs/samhs/osa/prevention/lawenforcement/EUDL%20Grantees%20Web/ASPII%20Grant.htm	
URL for more program information: http://www.maine.gov/dhhs/samhs/osa/prevention/lawenforcement/EUDL%20Grantees%20Web/index.htm	

Program Description: This program supports efforts to reduce youth access to alcohol in communities through training, TA, resource development, and funding to each public health district in Maine. Specific types of activities include enforcement, media advocacy, public awareness and education, and environmental management strategies to reduce illegal youth access to alcohol and/or attitudes and norms that play a role in underage drinking and youth access to alcohol or places to consume illegally.

***Healthy Maine Partnerships (HMPs)—
Underage Drinking Prevention Initiatives***

Program serves specific or general population	General population
Number of youth served	Not applicable
Number of parents served	Not applicable
Number of caregivers served	Not applicable
Program has been evaluated	Yes
Evaluation report is available	No
URL for evaluation report:	Not applicable

URL for more program information:

http://www.healthymainepartnerships.org/Local_Partnerships.aspx

Program Description: Twenty-six HMPs blanket the state with environmental management strategies to reduce underage drinking by enhancing community stakeholders' engagement, capacity, and readiness. Strategies include improving policies and their enforcement, addressing attitudes/norms that contribute to underage drinking, addressing sales/pricing/promotions of alcohol, education and training to support responsible alcohol sales/service, and supporting early detection and evidence-based intervention in underage drinking behaviors.

Maine's Higher Education Alcohol Prevention Partnership (HEAPP)

Program serves specific or general population

General population

Number of youth served

Not applicable

Number of parents served

Not applicable

Number of caregivers served

Not applicable

Program has been evaluated

No

Evaluation report is available

Not applicable

URL for evaluation report:

<http://www.maine.gov/dhhs/samhs/osa/prevention/schoolcollege/heapp/index.htm>

URL for more program information:

No data

Program Description: Begun in 2003, HEAPP is a program collaboratively developed between the Maine Office of Substance Abuse and Mental Health Services and many of Maine's colleges and universities to bring about long-term, systemic change in how high-risk drinking and other substance abuse issues among Maine college/university students are addressed at the state and local levels. In order to address these multiple levels of the environment, HEAPP's program plan includes strategies and tactics for both the local level and the state level. Strategies and activities of the statewide initiative aim to engage all colleges and universities in Maine that are interested in addressing high-risk student drinking so that the non-campus-specific environmental factors and capacity for evidence-based prevention may be improved. The Partnership's part-time staff person coordinates statewide trainings, provides technical assistance, and disseminates information and materials for college students, parents, faculty/staff, and local law enforcement statewide.

Find Out More, Do More

Program serves specific or general population

Specific population

Number of youth served

No data

Number of parents served

No data

Number of caregivers served

No data

Program has been evaluated

Yes

Evaluation report is available

No

URL for evaluation report:

Not applicable

URL for more program information:

<http://maineparents.net/index.html>

Program Description: This education and awareness campaign aims to improve adults' knowledge, skills, and behavioral intentions around addressing underage drinking. The campaign specifically targets parents but is applicable to other adults with youth in their lives. Information is disseminated through the web, social media, radio, and print materials. The campaign addresses data on underage drinking behaviors/perceptions/attitudes, signs of underage drinking, things parents can do to prevent underage drinking, and parent modeling and monitoring behaviors that relate to underage alcohol use.

Student Intervention and Reintegration Program (SIRP)

Program serves specific or general population

Specific population

Number of youth served

No data

Number of parents served

No data

Number of caregivers served

No data

Program has been evaluated

Yes

Evaluation report is available

Yes

URL for evaluation report:

<http://sirp.adcareme.org>

URL for more program information:

<http://sirp.adcareme.org>

Program Description: SIRP is an education-based program for youth experimenting with alcohol or other drugs. The program empowers youth to make healthy decisions and reduce risk. A community champion conducts an informational meeting with parents and follows up with families to encourage success. It is based on the Prime For Life program (listed on NREPP) and is used to intervene primarily with students who violated school alcohol and other drug policies, but is also used sometimes with youth referred by self or parent or law enforcement/court/juvenile justice systems because of concerning choices around alcohol use.

Additional Underage Drinking Prevention Programs Operated or Funded by the State

Program description: No data

Additional Clarification

Maine's comprehensive and collaborative approach to reducing underage drinking statewide makes it challenging to attribute reduction in underage drinking rates specifically to one of the numerous programs the state coordinates and/or funds. As a result, program evaluation results are typically more focused on output and process measures specific to one program and how those changes may have contributed to some of the factors related to underage drinking. Maine's surveillance data, specifically youth self-report survey data, have shown reductions in underage drinking. More information on Maine's alcohol and other drug use and related factor trends may be found at <http://www.maine.gov/dhhs/samhs/osa/data/index.htm>

Additional Information Related to Underage Drinking Prevention Programs

<i>State collaborates with federally recognized tribal governments in the prevention of underage drinking</i>	Yes
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Description of collaboration: The Wabanaki Public Health District implements health and safety promotion and underage drinking prevention efforts that they feel are most needed and most fitting to the district and Maine's tribes. Maine's Office of Substance Abuse and Mental Health Services (SAMHS) and its Enforcing the Underage Drinking Laws (EUDL) program provide funding and other support to the district to support them as they increase their capacity, readiness, and engagement in underage drinking prevention efforts. SAMHS offers information, tools/materials, training, and technical assistance to the district contacts relevant to underage drinking that they may access when needed. Tribal public health and prevention contacts participate in numerous statewide coordinating or planning groups so that they may help ensure that tribal perspective and needs are taken into consideration at all stages of program development and implementation. Tribal law enforcement has its own Enforcing the Underage Drinking Laws district task force supported by Maine's EUDL program.

<i>State has programs to measure and/or reduce youth exposure to alcohol advertising and marketing</i>	No
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Description of program:	Not applicable
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<i>State has adopted or developed best practice standards for underage drinking prevention programs</i>	Yes
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Agencies/organizations that established best practices standards:

Federal agency(ies): Surgeon General's Report, SAMHSA/CSAP's CAPT, OJJDP's EUDL Program/DETC, U.S. Dept. of Ed. Office of Safe and Drug Free Schools, NIAAA's Taskforce on College Drinking	Yes
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Agency(ies) within your state: Maine's Substance Abuse and Mental Health Services, Maine's EUDL program, Maine's state-level Underage Drinking Enforcement Taskforce, Maine's Bureau of Alcoholic Beverages and Lottery Operations, Maine's Criminal Justice Academy, and Maine Chiefs of Police Association	Yes
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Nongovernmental agency(ies): IOM Report on Underage Drinking, CADCA	Yes
Other:	No

Best practice standards description: Best practice standards align with research and evidence-based practices so that efforts must:

- Be based on programs or practices with documented evidence of effectiveness based on published research and/or theory and/or rigorous program evaluation and/or included on NREPP
- Align with published best practices or approaches such as those documented in federal reports

- Integrate Strategic Prevention Framework to ensure data-driven assessment and planning support implementation that is appropriate based on capacity, culturally competent, sustainable, and monitored for impact and ongoing improvement.

Additional Clarification

Maine's approach to underage drinking efforts aims to have a comprehensive web of evidence-based and data-driven efforts implemented at the state, regional, community, and organizational levels.

State Interagency Collaboration

A state-level interagency governmental body/committee exists to coordinate or address underage drinking prevention activities Yes

Committee contact information:

Name: Becky Ireland

Email: Rebecca.Ireland@maine.gov

Address: SAMHS, SHS #11, 41 Anthony Ave., Augusta, ME 04333-0011

Phone: 207-287-6479

Agencies/organizations represented on the committee:

Maine Department of Health and Human Services,

Office of Substance Abuse and Mental Health Services

Maine Department of Transportation

Maine Bureau of Highway Safety

Maine Department of Education

Maine Secretary of State's Bureau of Motor Vehicles

Maine Bureau of Alcoholic Beverages and Lottery Operations

Maine Department of Correction's Juvenile Justice Advisory Group

Liquor/Alcohol-related industry representatives (restaurant association, grocers' association, beer and wine distributors, associations, liquor licensees)

State/county/local law enforcement agency reps

Community coalition reps from Drug Free Community Coalitions and Healthy Maine Partnerships

Maine Criminal Justice Academy

Maine Chiefs of Police Association

Maine Sheriffs Association

Maine Alliance to Prevent Substance Abuse

Training and professional development providers for prevention, law enforcement, and liquor licensees

A website or other public source exists to describe committee activities Yes

URL or other means of access:

<http://www.maine.gov/dhhs/samhs/osa/prevention/lawenforcement/EUDL%20Grantees%20Web/UADETF.htm>

Underage Drinking Reports

State has prepared a plan for preventing underage drinking in the last 3 years Yes

Prepared by: Maine's Underage Drinking Enforcement Taskforce, lead by Maine's Office of Substance Abuse and Mental Health Services' Prevention Services Team and its Enforcing the Underage Drinking Laws Program with expert input from SAMHSA's CSAP and CAPT and OJJDP's EUDL program

Plan can be accessed via: <http://www.maine.gov/dhhs/samhs/osa/pubs/prev/2012/StrategicPrevPlan.pdf>;

<http://www.maine.gov/dhhs/samhs/osa/prevention/lawenforcement/EUDL%20Grantees%20Web/UADETF.htm>

State has prepared a report on preventing underage drinking in the last 3 years Not sure

Prepared by:

Not applicable

Plan can be accessed via:

Not applicable

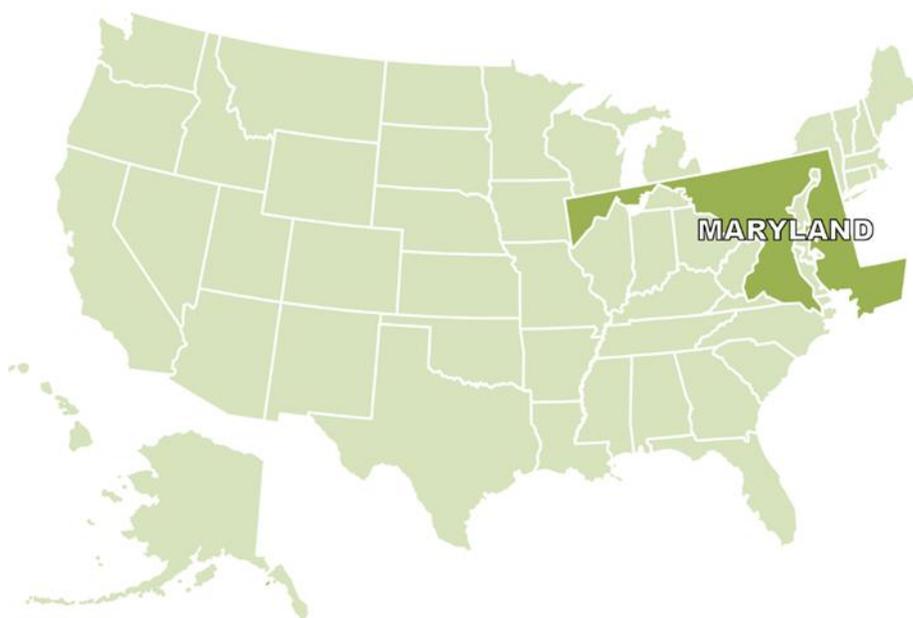
Additional Clarification

Maine has integrated underage drinking into numerous plans and reports report to underage drinking; they may be found through the Maine Office of Substance Abuse and Mental Health Services' website at:

<http://www.maine.gov/dhhs/samhs/osa>

State Expenditures for the Prevention of Underage Drinking	
<i>Compliance checks in retail outlets:</i>	
Estimate of state funds expended	Data not available
Estimate based on the 12 months ending	12/31/2014
<i>Checkpoints and saturation patrols:</i>	
Estimate of state funds expended	Data not available
Estimate based on the 12 months ending	12/31/2014
<i>Community-based programs to prevent underage drinking:</i>	
Estimate of state funds expended	\$57,000
Estimate based on the 12 months ending	6/30/2014
<i>K–12 school-based programs to prevent underage drinking:</i>	
Estimate of state funds expended	\$50,000
Estimate based on the 12 months ending	6/30/2014
<i>Programs targeted to institutes of higher learning:</i>	
Estimate of state funds expended	\$60,000
Estimate based on the 12 months ending	6/30/2014
<i>Programs that target youth in the juvenile justice system:</i>	
Estimate of state funds expended	No data
Estimate based on the 12 months ending	No data
<i>Programs that target youth in the child welfare system:</i>	
Estimate of state funds expended	No data
Estimate based on the 12 months ending	No data
<i>Other programs:</i>	
Programs or strategies included: Underage drinking—statewide media-based awareness campaign for web, radio, print	
Estimate of state funds expended	\$75,000
Estimate based on the 12 months ending	6/30/2014

Funds Dedicated to Underage Drinking	
<i>State derives funds dedicated to underage drinking from the following revenue streams:</i>	
Taxes	Yes
Fines	No data
Fees	No data
Other Fund for Healthy Maine	Yes
<i>Description of funding streams and how they are used:</i>	
Some limited state general funds and funds from The Fund for Healthy Maine (a tobacco-settlement–funded source that supports programs that aim to protect the health of Maine citizens) are put into contracts for underage drinking prevention service implementation for statewide programs/initiatives. Specifically, they support underage drinking enforcement and youth alcohol access prevention efforts, a statewide underage drinking media campaign (web, radio, print), and an evidence-based educational intervention program for youth who violate school substance use or possession policies, with alcohol being the predominate substance of violation.	
Additional Clarification	
No data	



Maryland

State Population: 5,976,407

Population Ages 12–20: 663,000

	Percentage	Number
Ages 12–20		
Past-Month Alcohol Use	23.7	157,000
Past-Month Binge Alcohol Use	13.4	89,000
Ages 12–14		
Past-Month Alcohol Use	3.0	6,000
Past-Month Binge Alcohol Use	1.1	2,000
Ages 15–17		
Past-Month Alcohol Use	23.9	59,000
Past-Month Binge Alcohol Use	12.9	32,000
Ages 18–20		
Past-Month Alcohol Use	44.7	92,000
Past-Month Binge Alcohol Use	26.8	55,000
Alcohol-Attributable Deaths (under 21)		86
Years of Potential Life Lost (under 21)		5,174
	Percentage of All Traffic Fatalities	Number
Traffic Fatalities, 15- to 20-Year-Old Drivers with BAC > 0.01	17	7

Laws Addressing Minors in Possession of Alcohol

Underage Possession	
Is underage possession of alcoholic beverages prohibited?	Yes
Are there exceptions based on family relationships?	
• Is possession allowed if parent or guardian is present or consents?	Yes in specified locations – See below
• Is possession allowed if spouse is present or consents?	Yes in specified locations – See below
Is there an exception based on location?	Yes, in private residence if parent/guardian/spouse is present or consents
<i>Note:</i> Maryland's exception includes members of an individual's "immediate family" when the alcoholic beverage is furnished and possessed at a private residence. For purposes of this report, the phrase "immediate family" is interpreted as including a spouse.	

Underage Consumption	
Is underage consumption of alcoholic beverages prohibited?	Yes
Are there exceptions based on family relationships?	
• Is consumption allowed if the parent or guardian is present or consents?	Yes in specified locations – See below
• Is consumption allowed if the spouse is present or consents?	Yes in specified locations – See below
Is there an exception based on location?	Yes, in private residence if parent/guardian/spouse is present or consents
<i>Note:</i> Maryland's exception includes members of an individual's "immediate family" when the alcoholic beverage is furnished and consumed at a private residence. For purposes of this report, the phrase "immediate family" is interpreted as including a spouse.	

Underage Internal Possession	
Is underage internal possession of alcoholic beverages prohibited?	No law
Are there exceptions based on family relationships?	
• Is internal possession allowed if the parent or guardian is present or consents?	N/A
• Is internal possession allowed if the spouse is present or consents?	N/A
Is there an exception based on location?	N/A

Underage Purchase and Attempted Purchase	
Is the purchase of alcoholic beverages prohibited?	Yes
May youth purchase for law enforcement purposes?	No

False Identification for Obtaining Alcohol	
Provisions Targeting Minors	
Is the use of false identification (ID) prohibited?	Yes
Does the use of a false ID result in minor's driver's license suspension?	Yes, through a judicial process
Provisions Targeting Suppliers	
Is the lending or transferring or selling of a false ID prohibited?	No

Is the production of a false ID in the context of underage alcohol sales specifically prohibited?	No
Retailer Support Provisions	
Is there an incentive for the retailer to use electronic scanners for information digitally encoded on valid IDs?	No
Are state driver's licenses for persons under 21 easily distinguishable from licenses for persons 21 and over?	Yes
May retailers seize apparently false IDs without fear of prosecution even if the ID is ultimately deemed valid?	No
Does an affirmative defense exist for the retailer?	Yes
<ul style="list-style-type: none"> Is it a specific affirmative defense (retailer reasonably believed ID was valid after examining it)? 	Yes
<ul style="list-style-type: none"> Is it a general affirmative defense (retailer reasonably believed purchaser was over 21)? 	No
Does the retailer have the right to sue the minor for use of a false ID?	No
May a retailer detain a minor who used a false ID?	No

Laws Targeting Underage Drinking and Driving

Youth Blood Alcohol Concentration Limits (Underage Operators of Noncommercial Motor Vehicles)	
What is the maximum blood alcohol concentration (BAC) limit for an underage driver of a motor vehicle?	0
Does a BAC level in excess of limit automatically establish a violation (per se violation)?	Yes
What is the minimum age to which the limit applies?	0
What is the maximum age to which the limit applies?	21

Loss of Driving Privileges for Alcohol Violations by Minors ("Use/Lose" Laws)	
Is there a "use/lose" law that suspends or revokes a minor's driving privileges for alcohol violations?	Yes
What types of violation lead to license suspension or revocation?	
<ul style="list-style-type: none"> Purchase of alcohol 	No
<ul style="list-style-type: none"> Possession of alcohol 	Yes
<ul style="list-style-type: none"> Consumption of alcohol 	Yes
The law applies to people under what age?	18
Is suspension or revocation mandatory or discretionary?	Discretionary
What is the length of suspension/revocation?	
Minimum number of days	30
Maximum number of days	90

Graduated Driver's Licenses	
Learner Stage	
What is the minimum age for permit to drive with parents, guardians or other adults (other than instructors)?	15 years, 9 months
What is the minimum number of months driver must hold learner permit before advancing to intermediate stage?	9

What is the minimum number of hours of driving with parents, guardians, or adults before advancing to intermediate stage?	60 (10 of which must be at night)
Intermediate Stage	
What is the minimum age for driving without adult supervision?	16 years, 6 months
For night driving, when does adult supervision requirement begin?	12 am
Can law enforcement stop a driver for night-driving violation as a primary offense?	Yes - Officer may stop driver for night-driving violation
Are there restrictions on passengers?	Yes – No passengers under 18 who are not immediate family members, or relatives living with driver, unless accompanied by licensed driver over 21.
Can law enforcement stop driver for violation of passenger restrictions as a primary offense?	No – Officer must stop driver for another offense to cite for passenger restriction violation
License Stage	
What is the minimum age for full license privileges and lifting of restrictions?	18 years (passenger restrictions expire 151 days after issuance of intermediate license)

Laws Targeting Alcohol Suppliers

Furnishing Alcohol to Minors	
Is furnishing of alcoholic beverages to minors prohibited?	Yes
Are there exceptions based on family relationships?	
<ul style="list-style-type: none"> Is furnishing allowed if the parent or guardian supplies the alcohol? 	Yes in specified locations
<ul style="list-style-type: none"> Is furnishing allowed if the spouse supplies the alcohol? 	Yes in specified locations
Is there an exception based on location?	Yes, in any private residence if parent/guardian/spouse supplies alcohol
Affirmative Defense for Sellers and Licensees	
Does law require seller/licensee to be exonerated of furnishing to a minor if the minor has not been charged?	No
<p><i>Note:</i> Maryland’s exception allows furnishing of alcohol to minors by members of their “immediate family” when the alcoholic beverage is furnished and consumed at a private residence. For the purpose of this report, the phrase “immediate family” is interpreted as including a spouse.</p>	

Compliance Check Protocols	
Does the state have a written protocol for when an underage decoy is used in compliance checks?	No data
What is the minimum age a decoy may be to participate in a compliance check?	N/A
What is the maximum age a decoy may be to participate in a compliance check?	N/A
What are the decoy’s appearance requirements?	N/A
Does decoy carry ID during compliance check?	N/A
May decoy verbally exaggerate his or her actual age?	N/A
Is decoy training mandated, recommended, prohibited, or not specified?	N/A

Penalty Guidelines for Sales to Minors	
Are there written guidelines for penalties imposed on retailers for furnishing to a minor?	No data
What is the time period for defining second, third, and subsequent offenses?	N/A
What is the penalty for the first offense?	N/A
What is the penalty for the second offense?	N/A
What is the penalty for the third offense?	N/A
What is the penalty for the fourth offense?	N/A

Responsible Beverage Service (RBS)	
Is there a state law pertaining to beverage service training?	Yes – Mandatory
If training is mandatory, who must participate?	Licensees, managers
If training is voluntary, which of the following incentives are offered?	
• Defense in dram shop liability lawsuits	N/A
• Discounts in dram shop liability insurance, license fees, or other	N/A
• Mitigation of fines or other administrative penalties for sales to minors or intoxicated persons	N/A
• Protection against license revocation for sales to minors or sales to intoxicated persons	N/A
Does the RBS law apply to on-premises establishments (such as bars and restaurants) or off-premises establishments (such as liquor stores)?	Both
Does the RBS law apply to new or existing licensees?	Both

Minimum Age for Sellers of Alcohol – Off-Premises (i.e., Liquor Stores)	
What is the minimum age requirement for off-premises retail establishments?	
Beer	18
Wine	18
Spirits	21
Does a manager or supervisor have to be present?	No
<i>Note:</i> Maryland statutes allow for exceptions by specific localities within Maryland that may have more or less restrictive laws on the age to sell or serve alcoholic beverages. Such “local options” are not addressed by this report.	

Minimum Age for Alcohol Servers and Bartenders – On-Premises (i.e., Restaurants and Bars)	
What is the minimum age requirement for servers in on-premises establishments?	
Beer	18
Wine	18
Spirits	18
What is the minimum age requirement for bartenders in on-premises establishments?	
Beer	18
Wine	18
Spirits	21
Does a manager or supervisor have to be present?	No
<i>Note:</i> Maryland statutes allow for exceptions by specific localities within Maryland that may have more or less restrictive laws on the age to sell or serve alcoholic beverages. Such “local options” are not addressed by this report.	

Alcohol Outlet Siting Near Schools and Universities	
Colleges and Universities	
Is there a distance requirement for off-premises outlets (i.e., liquor stores)?	No
Is there a distance requirement for on-premises outlets (i.e., restaurants and bars)?	No
To which alcohol products does requirement apply?	N/A
Primary and Secondary Schools	
Is there a distance requirement for off-premises outlets (i.e., liquor stores)?	Yes, distance restrictions vary by county and municipality.
Is there a distance requirement for on-premises outlets (i.e., restaurants and bars)?	Yes, distance restrictions vary by county and municipality.
To which alcohol products does requirement apply?	Beer, wine, spirits (product restrictions vary by county and municipality)
<i>Note:</i> Exceptions vary by county and municipality.	

Dram Shop Liability	
Does a statute create dram shop liability?	No
Does the statute limit damages that may be recovered?	N/A
Does the statute limit who may be sued?	N/A
Does the statute limit elements or standards of proof?	N/A
Does common law dram shop liability exist?	No

Social Host Liability	
Does a statute create social host liability?	No
Does the statute limit damages that may be recovered?	N/A
Does the statute limit who may be sued?	N/A
Does the statute limit elements or standards of proof?	N/A
Does common law social host liability exist?	No

Prohibitions Against Hosting Underage Drinking Parties	
Does a statute prohibit hosting underage drinking parties?	Yes
Is the statute specific to underage parties, or a general prohibition against permitting underage drinking on the property?	General
What action by underage guest triggers a violation?	Possession/Consumption
Property type covered by the law?	Residential/Outdoor/Other
What level of knowledge by the host is required?	Knowledge: Host must have actual knowledge of party
Does host’s preventive action protect him/her from being held liable?	No
Are there any exceptions for underage guests?	Yes – Family members

Retailer Interstate Shipments of Alcohol	
Are out-of-state retailers prohibited from sending interstate shipments to in-state consumers?	
Beer	Yes
Wine	Yes
Spirits	Yes

Direct Shipments/Sales	
May alcohol producers ship directly to consumers?	Yes
What alcohol types may be shipped?	Wine
Must purchaser make mandatory trip to producer before delivery is authorized?	No
Age verification requirements	
Must the producer/shipper verify purchaser's age before sale?	No
Must the common carrier (deliverer) verify age of recipients?	Yes
State approval/permit requirements	
Must the producer/manufacture obtain state license or permit?	Yes
Must the common carrier (deliverer) be approved by a state agency?	Yes
Recording/reporting requirements	
Must the producer/manufacture record/report purchaser's name?	Yes
Must the common carrier (deliverer) record/report recipient's name?	Yes
Shipping label requirements	
Must the label state "Package contains alcohol"?	Yes
Must the label state "Recipient must be 21 years old"?	Yes

Keg Registration	
How is a keg defined (in gallons)?	Equal to or more than 4.00
Prohibitions	
Is it illegal to possess an unregistered or unlabeled keg and if so, what is the penalty?	Yes (maximum fine/jail, \$500 [or maximum fine/jail, \$1,000 if repeat violation])
Is it illegal to destroy the label on a keg, and if so, what is the penalty?	Yes (maximum fine/jail, \$500 [or maximum fine/jail, \$1,000 if repeat violation])
What purchaser information is collected?	
Must the retailer collect the name and address?	Yes
Must the retailer collect the ID number, name and address on license or other government information?	Yes
Must the retailer collect the address at which keg will be consumed?	No
Must warning information be given to purchaser?	Not required
Is a deposit required?	No
Does law cover disposable kegs?	Yes
<i>Note:</i> Although Maryland does not require a retailer to record the number of a keg purchaser's ID, it does require that the purchaser's name and address be recorded as they appear on the purchaser's ID.	

Home Delivery	
Is home delivery of alcohol permitted?	
Beer	Yes (written approval from the county or city required)
Wine	Yes (written approval from the county or city required)
Spirits	Yes (written approval from the county or city required)

High-Proof Grain Alcohol Beverages	
Are there restrictions on the sale of high-proof grain alcohol beverages?	Yes
Are restrictions based on Alcohol by Volume (ABV)?	Yes (95% or more)
Are there exceptions to restrictions?	No

Laws Affecting Alcohol Pricing

Alcohol Taxes	
Beer	
Control system for beer?	No
Specific excise tax per gallon for 5% alcohol beer	\$0.09
Ad valorem excise tax (for on-premises sales) on total receipts for 5% alcohol beer	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	9%
If retail tax rate applies, is there an exemption from general sales tax?	Yes
• General sales tax rate	6%
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	3%
Ad valorem excise tax (for off-premises sales) on total receipts for 5% alcohol beer	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	9%
If retail tax rate applies, is there an exemption from general sales tax?	Yes
• General sales tax rate	6%
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	3%
Additional taxes for 3.2 –6% alcohol beer (if applicable)	
Wine	
Control system for wine?	No
Specific excise tax per gallon for 12% alcohol wine	\$0.40
Ad valorem excise tax (for on-premises sales) on total receipts for 12% alcohol wine	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	9%
If retail tax rate applies, is there an exemption from general sales tax?	Yes
• General sales tax rate	6%
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	3%
Ad valorem excise tax (for off-premises sales) on total receipts for 12% alcohol wine	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	9%
If retail tax rate applies, is there an exemption from general sales tax?	Yes
• General sales tax rate	6%
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	3%
Additional taxes for 6–14% alcohol wine (if applicable)	

Spirits	
Control system for spirits?	No
Specific excise tax per gallon for 40% alcohol spirits	\$1.50
Ad valorem excise tax (for on-premises sales) on total receipts for 40% alcohol spirits	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	9%
If retail tax rate applies, is there an exemption from general sales tax?	Yes
• General sales tax rate	6%
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	3%
Ad valorem excise tax (for off-premises sales) on total receipts for 40% alcohol spirits	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	9%
If retail tax rate applies, is there an exemption from general sales tax?	Yes
• General sales tax rate	6%
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	3%
Additional taxes for 15–50% alcohol spirits (if applicable)	

Low-Price, High-Volume Drink Specials	
What types of drink specials are prohibited by on-premises retailers?	
Free beverages	No
Multiple servings at one time	No
Multiple servings for same price as single serving	No
Reduced price for a specified day or time (i.e., happy hours)	No
Unlimited beverages for fixed price	No
Increased volume without increase in price	No

Wholesaler Pricing Restrictions	
Beer	
Are volume discounts to retailers allowed?	No law
Must wholesalers establish a minimum markup or maximum discount for each product sold to retailers?	No law
Must wholesalers publicly post and hold (i.e., not reduce) prices for a set period of time?	No law
Is wholesaler permitted to extend credit to retailer and if so, what is the maximum time period?	No. All counties require payment on delivery except Worcester County, where 10 days of credit may be extended.
Wine	
Are volume discounts to retailers allowed?	Uncertain due to case law
Must wholesalers establish a minimum markup or maximum discount for each product sold to retailers?	No law

Must wholesalers publicly post and hold (i.e., not reduce) prices for a set period of time?	Uncertain due to case law
Is wholesaler permitted to extend credit to retailer and if so, what is the maximum time period?	Unrestricted. The Alcohol and Tobacco Tax (MATT) Regulatory Division posts a list of purchase periods and due dates that is accessible only to Maryland wholesalers and retail licensees.
Spirits	
Are volume discounts to retailers allowed?	Uncertain due to case law
Must wholesalers establish a minimum markup or maximum discount for each product sold to retailers?	No law
Must wholesalers publicly post and hold (i.e., not reduce) prices for a set period of time?	Uncertain due to case law
Is wholesaler permitted to extend credit to retailer and if so, what is the maximum time period?	Unrestricted. The Alcohol and Tobacco Tax (MATT) Regulatory Division posts a list of purchase periods and due dates that is accessible only to Maryland wholesalers and retail licensees.
<p><i>Note:</i> The U.S. Court of Appeals for the 4th Circuit held that Maryland’s wholesaler volume discounting and post-and-hold provisions, considered together, violate the Sherman Act’s ban on price fixing and are not protected by the 21st Amendment. The court did not rule on whether either provision, if enacted separately, violated federal law.</p>	

Maryland State Survey Responses

State Agency Information

Agency with primary responsibility for enforcing underage drinking laws:

None

Enforcement Strategies

State law enforcement agencies use:

Cops in Shops	No
Shoulder Tap Operations	No
Party Patrol Operations or Programs	No
Underage Alcohol-Related Fatality Investigations	No

Local law enforcement agencies use:

Cops in Shops	Yes
Shoulder Tap Operations	Yes
Party Patrol Operations or Programs	Yes
Underage Alcohol-Related Fatality Investigations	Yes

State has a program to investigate and enforce direct sales/shipment laws	Don't know
Primary state agency responsible for enforcing laws addressing direct sales/shipments of alcohol to minors	Not applicable
Such laws are also enforced by local law enforcement agencies	Not applicable

Enforcement Statistics

State collects data on the number of minors found in possession	No
Number of minors found in possession by state law enforcement agencies	Not applicable
Number pertains to the 12 months ending	Not applicable
Data include arrests/citations issued by local law enforcement agencies	Not applicable

State conducts underage compliance checks/decoy operations ² to determine if alcohol retailers are complying with laws prohibiting sales to minors	No
Data are collected on these activities	No
Number of retail licensees in state ³	No data
Number of licensees checked for compliance by state agencies (including random checks)	Not applicable
Number of licensees that failed state compliance checks	Not applicable
Numbers pertain to the 12 months ending	Not applicable
Compliance checks/decoy operations conducted at on-sale, off-sale, or both retail establishments	Not applicable

State conducts random underage compliance checks/decoy operations	Not applicable
Number of licensees subject to random state compliance checks/decoy operations	Not applicable
Number of licensees that failed random state compliance checks	Not applicable

Local agencies conduct underage compliance checks/decoy operations to determine if alcohol retailers are complying with laws prohibiting sales to minors	Yes
Data are collected on these activities	No
Number of licensees checked for compliance by local agencies	Not applicable
Number of licensees that failed local compliance checks	Not applicable
Numbers pertain to the 12 months ending	Not applicable

Sanctions

State collects data on fines imposed on retail establishments that furnish minors	Yes
Number of fines imposed by the state ⁴	No data
Total amount in fines across all licensees	No data
Smallest fine imposed	No data
Largest fine imposed	No data
Numbers pertain to the 12 months ending	No data

<i>State collects data on license suspensions imposed on retail establishments specifically for furnishing minors</i>	Yes
Number of suspensions imposed by the state ⁵	No data
Total days of suspensions across all licensees	No data
Shortest period of suspension imposed (in days)	No data
Longest period of suspension imposed (in days)	No data
Numbers pertain to the 12 months ending	No data
<i>State collects data on license revocations imposed on retail establishments specifically for furnishing minors</i>	Yes
Number of license revocations imposed ⁶	No data
Numbers pertain to the 12 months ending	No data

Additional Clarification

No data

¹ Or having consumed or purchased per state statutes.

² Underage compliance checks/decoy operations to determine whether alcohol retailers are complying with laws prohibiting sales to minors.

³ Excluding special licenses such as temporary, seasonal, and common carrier licenses.

⁴ Does not include fines imposed by local agencies.

⁵ Does not include suspensions imposed by local agencies.

⁶ Does not include revocations imposed by local agencies.

Underage Drinking Prevention Programs Operated or Funded by the State

Maryland Strategic Prevention Framework (MSPF) Initiative

Program serves specific or general population	General population
Number of youth served	Not applicable
Number of parents served	Not applicable
Number of caregivers served	Not applicable
Program has been evaluated	Yes
Evaluation report is available	Yes
URL for evaluation report: Email: fpradel@rx.umaryland.edu	
URL for more program information:	http://dhmh.maryland.gov/adaa/mspf

Program Description: MSPF has provided funding to Maryland’s 24 local jurisdictions to implement evidence-based programs and strategies that will assist in reducing the misuse of alcohol by youth and young adults as measured by the following indicators:

1. Reduced number of youth ages 12–20 reporting past-month alcohol use
2. Reduced number of young persons ages 18–25 reporting past-month binge drinking
3. Reduced number of alcohol-related crashes involving youth ages 16–25

To receive MSPF funding, Maryland’s jurisdictions were required to implement the five-step SPF process (assessment; capacity building; planning; implementation of evidence-based programs; evaluation of effectiveness). In FY 2015, 21 Maryland jurisdictions have formed their SPF coalitions, completed their MSPF Strategic Plans, and are implementing evidence-based youth alcohol prevention strategies in their MSPF communities. Three jurisdictions had not finished their needs assessment process when the program ended on June 30, 2015.

Intensive training has been provided throughout the 5+ years of the initiative to approximately 600 local community coalition members to assist them in this process. The initiative serves a general population of youth, young adults, and parents. The initiative primarily provides environmental prevention strategies to address retail availability, social availability, enforcement of underage and high-risk drinking laws, perception of harm and risk of drinking, and community and social norms regarding youth drinking. It is impossible to accurately determine the number of youth reached through these environmental approaches across so many jurisdictions. Process evaluation activities began in FY 2012, and FY 2013 and FY 2014 MSPF Evaluation Reports have been completed by our evaluator, the University of Maryland School of Pharmacy. They are available by contacting Dr. Francoise

Pradel, Lead Evaluator, at fpradel@rx.umaryland.edu. The FY 2015 Evaluation Report is currently being completed and will be available in December 2015. Dr. Pradel can also be contacted for that report.

Maryland Alcohol and Drug Abuse Administration (ADAA)—Maryland Prevention Block Grant Program

Program serves specific or general population	General population
Number of youth served	356,421
Number of parents served	45,310
Number of caregivers served	No data
Program has been evaluated	No
Evaluation report is available	Not applicable
URL for evaluation report:	Not applicable
URL for more program information:	http://bha.dhmh.maryland.gov

Program Description: The Maryland ADAA provides grant funding to Maryland's 24 local jurisdictions for a comprehensive range of AOD prevention services for youth. These prevention activities primarily target alcohol, marijuana, and prescription drugs, but include approaches that address risk and resiliency factors associated with misuse of all substances. All jurisdictions provide alcohol prevention activities, the state prevention priority as established through its most recent statewide needs assessment.

Activities funded through this grant program fall under each of the six CSAP Prevention Strategies: Information Dissemination, Prevention Education, Alternative Activities, Community Based Processes, Environmental Approaches, and Problem Identification and Referral. Our grant program guidance has prioritized provision of environmental and community-based processes in FY 2014, two approaches that we believe are best suited for reducing youth alcohol use and consequences at the population level, but for which it is difficult to do more than approximate specific numbers served.

Maryland ADAA—College ATOD Prevention Centers

Program serves specific or general population	Specific population
Number of youth served	21,235
Number of parents served	No data
Number of caregivers served	Not applicable
Program has been evaluated	No
Evaluation report is available	Not applicable
URL for evaluation report:	Not applicable
URL for more program information:	http://bha.dhmh.maryland.gov

Program Description: ADAA provides funding to four Maryland universities to develop and maintain programs/activities that prevent and reduce substance use and risk-taking behaviors associated with use of alcohol, tobacco, and drugs. Alcohol, Tobacco, and Drug Prevention Centers have been established at Frostburg State University, Towson University, Bowie State University, and the University of Maryland Eastern Shore. The centers promote and assist in design and implementation of campus policies, evidence-based practices, and prevention/wellness education programs for their institutions. They also collaborate with agencies and organizations in communities surrounding the campuses. Center directors have working relationships with local health department prevention coordinators, local drug and alcohol councils, and other colleges/universities in the region.

Maryland Collaborative to Reduce College Drinking and Related Problems

Program serves specific or general population	Specific, population
Number of youth served	Not applicable
Number of parents served	Not applicable
Number of caregivers served	Not applicable
Program has been evaluated	No
Evaluation report is available	Not applicable
URL for evaluation report:	Not applicable
URL for more program information:	http://marylandcollaborative.org

Program Description: ADAA provides funding to the University of Maryland College Park and Johns Hopkins University to bring together state colleges and universities to (1) reduce the current level of excessive alcohol use and related harm on college campuses in Maryland and (2) mobilize and sustain the commitment of campus and community leaders to reducing excessive alcohol use and related harm on the state’s campuses. These goals will be attained through an initial assessment of current challenges to campuses and surrounding communities with respect to college drinking problems; forming a collaboration of committed colleges and universities; instituting a common data collection system; and providing training and technical assistance to the participants in understanding and implementing evidence-based best practices. Several documents have been produced by the Collaborative, including the Report on College Drinking in Maryland, Guide to best Practices to Reduce Underage Drinking, and Results of 1st Annual Maryland College Alcohol Survey.

Washington Regional Alcohol Program (WRAP) Outreach and Education Program

Program serves specific or general population	General population
Number of youth served	5,019
Number of parents served	No data
Number of caregivers served	No data
Program has been evaluated	Yes
Evaluation report is available	No
URL for evaluation report:	Not applicable
URL for more program information:	Not applicable

Program Description: WRAP completed its 32nd year fighting drunk driving and underage drinking in the Washington, DC, metropolitan area. WRAP’s Alcohol Awareness for Students program educated teens and young adults about the dangers and consequences of underage drinking and drunk driving with multimedia-based, in-school presentations. In FFY 2014, 144 presentations were conducted by WRAP’s staff, reaching 5,019 Maryland students in Prince George’s and Montgomery counties. The number of students reached exceeded the goal of 3,000 students as set forth in the grant proposal by 67%.

Additional Underage Drinking Prevention Programs Operated or Funded by the State

Program description: No data

Additional Clarification

No data

Additional Information Related to Underage Drinking Prevention Programs

State collaborates with federally recognized tribal governments in the prevention of underage drinking No

Description of collaboration: Not applicable

State has programs to measure and/or reduce youth exposure to alcohol advertising and marketing No

Description of program: Not applicable

State has adopted or developed best practice standards for underage drinking prevention programs Yes

Agencies/organizations that established best practices standards:

Federal agency(ies): No data Yes

Agency(ies) within your state: Maryland Alcohol and Drug Abuse Administration Yes

Nongovernmental agency(ies): No

Other: No

Best practice standards description: Recipients of ADAA's MSPF grants must follow the structured Maryland Strategic Prevention Framework process as described in our written guidance documents in order to receive funding. This includes the requirement that all programs implemented to reduce underage and problem youth drinking be evidence based. A set of approved evidence-based strategies and best practices is included in our written guidance documents and on our website.

Recipients of our SAPT Block Grant funds that implement direct services programs are required to implement at least one evidence-based (NREPP) program. Recipients that implement environmental strategies must implement strategies from the list of evidence-based strategies included in our written guidance documents and on our website. We are incrementally requiring SAPT Block grantees to infuse the five-step SPF process in their program planning and implementation.

Additional Clarification

No data

State Interagency Collaboration

A state-level interagency governmental body/committee exists to coordinate or address underage drinking prevention activities Yes

Committee contact information:

Name: Larry Dawson
 Email: larry.dawson@maryland.gov
 Address: 55 Wade Avenue, Catonsville, MD 21228
 Phone: 410-402-8622

Agencies/organizations represented on the committee:

University of Maryland School of Pharmacy
 MD Alcohol and Drug Abuse Administration
 Governor's Office of Crime Control & Prevention
 Maryland State Department of Education
 MD Department of Juvenile Services
 College of Southern Maryland
 MD State Highway Administration
 Montgomery County Dept. of Liquor Control
 MD Dept. of Public Safety & Corrections
 MD State's Attorney's Office
 Talbot Partnership
 Wicomico County Health Dept.
 Dorchester County Health Dept.
 Substance Abuse Prevention offices in: Charles County, Allegany County, Wicomico County, Cecil County, Queen Anne's County, Caroline County, Dorchester County, Carroll County, Garrett County, St. Mary's County, Kent County, Prince George's County, Frederick County, and Harford County
 Committee currently on hiatus while being re-formed and restructured based on the merger of the Maryland Alcohol and Drug Abuse Administration and the Mental Health Administration into the Behavioral Health Administration. Re-formed committee will begin its activities in late 2015.

A website or other public source exists to describe committee activities No
 URL or other means of access: Not applicable

Underage Drinking Reports

State has prepared a plan for preventing underage drinking in the last 3 years No
 Prepared by: Not applicable
 Plan can be accessed via: Not applicable

State has prepared a report on preventing underage drinking in the last 3 years No
 Prepared by: Not applicable
 Plan can be accessed via: Not applicable

Additional Clarification

The state underage drinking plan was developed 6 years ago for Maryland's Strategic Prevention Framework application. The plan has been implemented since then through the ADAA-funded Maryland Strategic Prevention Framework (MSPF) grant program and the ADAA-funded SAPT Block Grant program.

State Expenditures for the Prevention of Underage Drinking

<i>Compliance checks in retail outlets:</i>	
Estimate of state funds expended	Data not available
Estimate based on the 12 months ending	Data not available
<i>Checkpoints and saturation patrols:</i>	
Estimate of state funds expended	Data not available
Estimate based on the 12 months ending	Data not available
<i>Community-based programs to prevent underage drinking:</i>	
Estimate of state funds expended	Data not available
Estimate based on the 12 months ending	Data not available
<i>K-12 school-based programs to prevent underage drinking:</i>	
Estimate of state funds expended	Data not available
Estimate based on the 12 months ending	Data not available
<i>Programs targeted to institutes of higher learning:</i>	
Estimate of state funds expended	Data not available
Estimate based on the 12 months ending	Data not available
<i>Programs that target youth in the juvenile justice system:</i>	
Estimate of state funds expended	Data not available
Estimate based on the 12 months ending	Data not available
<i>Programs that target youth in the child welfare system:</i>	
Estimate of state funds expended	Data not available
Estimate based on the 12 months ending	Data not available
<i>Other programs:</i>	
Programs or strategies included:	Data not available
Estimate of state funds expended:	Data not available
Estimate based on the 12 months ending:	Data not available

Funds Dedicated to Underage Drinking

<i>State derives funds dedicated to underage drinking from the following revenue streams:</i>	
Taxes	No
Fines	No
Fees	No
Other: Not applicable	No
<i>Description of funding streams and how they are used:</i>	
Not applicable	

Additional Clarification

No data



Massachusetts

State Population: 6,745,408

Population Ages 12–20: 792,000

	Percentage	Number
Ages 12–20		
Past-Month Alcohol Use	31.6	250,000
Past-Month Binge Alcohol Use	18.9	150,000
Ages 12–14		
Past-Month Alcohol Use	2.8	6,000
Past-Month Binge Alcohol Use	1	2,000
Ages 15–17		
Past-Month Alcohol Use	24.8	65,000
Past-Month Binge Alcohol Use	15.2	40,000
Ages 18–20		
Past-Month Alcohol Use	59.4	179,000
Past-Month Binge Alcohol Use	35.8	108,000
Alcohol-Attributable Deaths (under 21)		54
Years of Potential Life Lost (under 21)		3,244
	Percentage of All Traffic Fatalities	Number
Traffic Fatalities, 15- to 20-Year-Old Drivers with BAC > 0.01	49	13

Laws Addressing Minors in Possession of Alcohol

Underage Possession	
Is underage possession of alcoholic beverages prohibited?	Yes
Are there exceptions based on family relationships?	
• Is possession allowed if parent or guardian is present or consents?	Yes
• Is possession allowed if spouse is present or consents?	No
Is there an exception based on location?	No

Underage Consumption	
Is underage consumption of alcoholic beverages prohibited?	No law
Are there exceptions based on family relationships?	
• Is consumption allowed if the parent or guardian is present or consents?	N/A
• Is consumption allowed if the spouse is present or consents?	N/A
Is there an exception based on location?	N/A

Underage Internal Possession	
Is underage internal possession of alcoholic beverages prohibited?	No law
Are there exceptions based on family relationships?	
• Is internal possession allowed if the parent or guardian is present or consents?	N/A
• Is internal possession allowed if the spouse is present or consents?	N/A
Is there an exception based on location?	N/A

Underage Purchase and Attempted Purchase	
Is the purchase of alcoholic beverages prohibited?	Yes
May youth purchase for law enforcement purposes?	No

False Identification for Obtaining Alcohol	
Provisions Targeting Minors	
Is the use of false identification (ID) prohibited?	Yes
Does the use of a false ID result in minor’s driver’s license suspension?	Yes, through a judicial process
Provisions Targeting Suppliers	
Is the lending or transferring or selling of a false ID prohibited?	Yes
Is the production of a false ID in the context of underage alcohol sales specifically prohibited?	Yes
Retailer Support Provisions	
Is there an incentive for the retailer to use electronic scanners for information digitally encoded on valid IDs?	No
Are state driver’s licenses for persons under 21 easily distinguishable from licenses for persons 21 and over?	Yes
May retailers seize apparently false IDs without fear of prosecution even if the ID is ultimately deemed valid?	No
Does an affirmative defense exist for the retailer?	Yes
• Is it a specific affirmative defense (retailer reasonably believed ID was valid after examining it)?	Yes

• Is it a general affirmative defense (retailer reasonably believed purchaser was over 21)?	No
Does the retailer have the right to sue the minor for use of a false ID?	No
May a retailer detain a minor who used a false ID?	No

Laws Targeting Underage Drinking and Driving

Youth Blood Alcohol Concentration Limits (Underage Operators of Noncommercial Motor Vehicles)	
What is the maximum blood alcohol concentration (BAC) limit for an underage driver of a motor vehicle?	0.02
Does a BAC level in excess of limit automatically establish a violation (per se violation)?	Yes
What is the minimum age to which the limit applies?	0
What is the maximum age to which the limit applies?	21

Loss of Driving Privileges for Alcohol Violations by Minors (“Use/Lose” Laws) – For Possession	
Is there a “use/lose” law that suspends or revokes a minor’s driving privileges for alcohol violations?	Yes
What types of violation lead to license suspension or revocation?	
• Purchase of alcohol	No
• Possession of alcohol	Yes
• Consumption of alcohol	No
The law applies to people under what age?	21
Is suspension or revocation mandatory or discretionary?	Mandatory
What is the length of suspension/revocation?	
Minimum number of days	90
Maximum number of days	90

Loss of Driving Privileges for Alcohol Violations by Minors (“Use/Lose” Laws) – For Purchase	
Is there a “use/lose” law that suspends or revokes a minor’s driving privileges for alcohol violations?	Yes
What types of violation lead to license suspension or revocation?	
• Purchase of alcohol	Yes
• Possession of alcohol	No
• Consumption of alcohol	No
The law applies to people under what age?	21
Is suspension or revocation mandatory or discretionary?	Mandatory
What is the length of suspension/revocation?	
Minimum number of days	180
Maximum number of days	180

Graduated Driver’s Licenses	
Learner Stage	
What is the minimum age for permit to drive with parents, guardians or other adults (other than instructors)?	16
What is the minimum number of months driver must hold learner permit before advancing to intermediate stage?	6

What is the minimum number of hours of driving with parents, guardians,, or adults before advancing to intermediate stage?	40 (30 hours of supervised driving if applicant completes driver skills program)
Intermediate Stage	
What is the minimum age for driving without adult supervision?	16 years, 6 months
For night driving, when does adult supervision requirement begin?	12:30 am
Can law enforcement stop a driver for night-driving violation as a primary offense?	Yes (exception: secondary enforcement 12:30–1 am and 4–5 am)
Are there restrictions on passengers?	Yes – No passengers under 18 who are not immediate family members, unless accompanied by licensed driver over 21
Can law enforcement stop driver for violation of passenger restrictions as a primary offense?	Yes – Officer may stop driver for passenger restrictions violation
License Stage	
What is the minimum age for full license privileges and lifting of restrictions?	18 (passenger restrictions expire 6 months after issuance of intermediate license; unsupervised night-driving restrictions remain until full licensure)

Laws Targeting Alcohol Suppliers

Furnishing Alcohol to Minors	
Is furnishing of alcoholic beverages to minors prohibited?	Yes
Are there exceptions based on family relationships?	
• Is furnishing allowed if the parent or guardian supplies the alcohol?	Yes
• Is furnishing allowed if the spouse supplies the alcohol?	Yes
Is there an exception based on location?	No
Affirmative Defense for Sellers and Licensees	
Does law require seller/licensee to be exonerated of furnishing to a minor if the minor has not been charged?	No

Compliance Check Protocols	
Does the state have a written protocol for when an underage decoy is used in compliance checks?	Yes
What is the minimum age a decoy may be to participate in a compliance check?	Not specified
What is the maximum age a decoy may be to participate in a compliance check?	Not specified
What are the decoy's appearance requirements?	Age-appropriate appearance
Does decoy carry ID during compliance check?	Prohibited
May decoy verbally exaggerate his or her actual age?	Prohibited
Is decoy training mandated, recommended, prohibited, or not specified?	Not specified

Penalty Guidelines for Sales to Minors	
Are there written guidelines for penalties imposed on retailers for furnishing to a minor?	No
What is the time period for defining second, third, and subsequent offenses?	N/A

What is the penalty for the first offense?	N/A
What is the penalty for the second offense?	N/A
What is the penalty for the third offense?	N/A
What is the penalty for the fourth offense?	N/A

Responsible Beverage Service (RBS)	
Is there a state law pertaining to beverage service training?	No law
If training is mandatory, who must participate?	N/A
If training is voluntary, which of the following incentives are offered?	
• Defense in dram shop liability lawsuits	N/A
• Discounts in dram shop liability insurance, license fees, or other	N/A
• Mitigation of fines or other administrative penalties for sales to minors or intoxicated persons	N/A
• Protection against license revocation for sales to minors or sales to intoxicated persons	N/A
Does the RBS law apply to on-premises establishments (such as bars and restaurants) or off-premises establishments (such as liquor stores)?	N/A
Does the RBS law apply to new or existing licensees?	N/A

Minimum Age for Sellers of Alcohol – Off-Premises (i.e., Liquor Stores)	
What is the minimum age requirement for off-premises retail establishments?	
Beer	18
Wine	18
Spirits	18
Does a manager or supervisor have to be present?	No

Minimum Age for Alcohol Servers and Bartenders – On-Premises (i.e., Restaurants and Bars)	
What is the minimum age requirement for servers in on-premises establishments?	
Beer	18
Wine	18
Spirits	18
What is the minimum age requirement for bartenders in on-premises establishments?	
Beer	18
Wine	18
Spirits	18
Does a manager or supervisor have to be present?	No

Alcohol Outlet Siting Near Schools and Universities	
Colleges and Universities	
Is there a distance requirement for off-premises outlets (i.e., liquor stores)?	No
Is there a distance requirement for on-premises outlets (i.e., restaurants and bars)?	No
To which alcohol products does requirement apply?	N/A

Primary and Secondary Schools	
Is there a distance requirement for off-premises outlets (i.e., liquor stores)?	Yes, within 500 feet. Local government has authority to override state restrictions.
Is there a distance requirement for on-premises outlets (i.e., restaurants and bars)?	Yes, within 500 feet. Local government has authority to override state restrictions.
To which alcohol products does requirement apply?	Beer, wine, spirits
<i>Note:</i> Exceptions are (1) inns and parts of buildings located 10 or more floors above street level and (2) extension of licensed premises that do not exceed 50 feet.	

Dram Shop Liability	
Does a statute create dram shop liability?	No
Does the statute limit damages that may be recovered?	N/A
Does the statute limit who may be sued?	N/A
Does the statute limit elements or standards of proof?	N/A
Does common law dram shop liability exist?	Yes

Social Host Liability	
Does a statute create social host liability?	No
Does the statute limit damages that may be recovered?	N/A
Does the statute limit who may be sued?	N/A
Does the statute limit elements or standards of proof?	N/A
Does common law social host liability exist?	Yes

Prohibitions Against Hosting Underage Drinking Parties	
Does a statute prohibit hosting underage drinking parties?	Yes
Is the statute specific to underage parties, or a general prohibition against permitting underage drinking on the property?	General
What action by underage guest triggers a violation?	Possession
Property type covered by the law?	Residential/Outdoor/Other
What level of knowledge by the host is required?	Knowledge: Host must have actual knowledge of party
Does host's preventive action protect him/her from being held liable?	No
Are there any exceptions for underage guests?	Yes – Family members

Retailer Interstate Shipments of Alcohol	
Are out-of-state retailers prohibited from sending interstate shipments to in-state consumers?	
Beer	Yes
Wine	Yes
Spirits	Yes

Direct Shipments/Sales	
May alcohol producers ship directly to consumers?	Yes
What alcohol types may be shipped?	Wine
Must purchaser make mandatory trip to producer before delivery is authorized?	No

Age verification requirements	
Must the producer/shipper verify purchaser's age before sale?	No
Must the common carrier (deliverer) verify age of recipients?	Yes
State approval/permit requirements	
Must the producer/manufacture obtain state license or permit?	Yes
Must the common carrier (deliverer) be approved by a state agency?	Yes
Recording/reporting requirements	
Must the producer/manufacture record/report purchaser's name?	Yes
Must the common carrier (deliverer) record/report recipient's name?	No
Shipping label requirements	
Must the label state "Package contains alcohol"?	Yes
Must the label state "Recipient must be 21 years old"?	Yes

Keg Registration	
How is a keg defined (in gallons)?	More than 2.00
Prohibitions	
Is it illegal to possess an unregistered or unlabeled keg and if so, what is the penalty?	No
Is it illegal to destroy the label on a keg, and if so, what is the penalty?	No
What purchaser information is collected?	
Must the retailer collect the name and address?	Yes
Must the retailer collect the ID number, name and address on license or other government information?	No
Must the retailer collect the address at which keg will be consumed?	No
Must warning information be given to purchaser?	Yes, active (requires an action by purchaser)
Is a deposit required?	Yes, \$5
Does law cover disposable kegs?	No
<p><i>Note:</i> Deposit provisions in Massachusetts require a purchaser to pay: (1) a container fee of no less than \$10 for each keg with a capacity of 6 or more gallons and of no less than \$1 for each keg with a capacity of less than 6 gallons; and (2) a registration fee of \$10 for each keg with a capacity of 6 or more gallons and of \$4 for each keg with a capacity of less than 6 gallons. \$5 is the minimum required amount.</p>	

Home Delivery	
Is home delivery of alcohol permitted?	
Beer	Yes (each vehicle used for transportation and delivery must be covered by a permit issued by the commission)
Wine	Yes (each vehicle used for transportation and delivery must be covered by a permit issued by the commission)
Spirits	Yes (each vehicle used for transportation and delivery must be covered by a permit issued by the commission)

High-Proof Grain Alcohol Beverages	
Are there restrictions on the sale of high-proof grain alcohol beverages?	No
Are restrictions based on Alcohol by Volume (ABV)?	N/A
Are there exceptions to restrictions?	N/A

Laws Affecting Alcohol Pricing

Alcohol Taxes	
Beer	
Control system for beer?	No
Specific excise tax per gallon for 5% alcohol beer	\$0.11
Ad valorem excise tax (for on-premises sales) on total receipts for 5% alcohol beer	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Ad valorem excise tax (for off-premises sales) on total receipts for 5% alcohol beer	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Additional taxes for 3.2–6% alcohol beer (if applicable)	
Wine	
Control system for wine?	No
Specific excise tax per gallon for 12% alcohol wine	\$0.55
Ad valorem excise tax (for on-premises sales) on total receipts for 12% alcohol wine	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Ad valorem excise tax (for off-premises sales) on total receipts for 12% alcohol wine	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Additional taxes for 6–14% alcohol wine (if applicable)	

Spirits	
Control system for spirits?	No
Specific excise tax per gallon for 40% alcohol spirits	\$4.05
Ad valorem excise tax (for on-premises sales) on total receipts for 40% alcohol spirits	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Ad valorem excise tax (for off-premises sales) on total receipts for 40% alcohol spirits	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Additional taxes for 15–50% alcohol spirits (if applicable)	

Low-Price, High-Volume Drink Specials	
What types of drink specials are prohibited by on-premises retailers?	
Free beverages	Yes
Multiple servings at one time	No
Multiple servings for same price as single serving	No
Reduced price for a specified day or time (i.e., happy hours)	Yes
Unlimited beverages for fixed price	Yes
Increased volume without increase in price	Yes

Wholesaler Pricing Restrictions	
Beer	
Are volume discounts to retailers allowed?	No law
Must wholesalers establish a minimum markup or maximum discount for each product sold to retailers?	No law
Must wholesalers publicly post and hold (i.e., not reduce) prices for a set period of time?	Post and hold (30 days)
Is wholesaler permitted to extend credit to retailer and if so, what is the maximum time period?	Yes (60 days)
Wine	
Are volume discounts to retailers allowed?	No law
Must wholesalers establish a minimum markup or maximum discount for each product sold to retailers?	No law
Must wholesalers publicly post and hold (i.e., not reduce) prices for a set period of time?	Post and hold (30 days)
Is wholesaler permitted to extend credit to retailer and if so, what is the maximum time period?	Yes (60 days)

Spirits	
Are volume discounts to retailers allowed?	No law
Must wholesalers establish a minimum markup or maximum discount for each product sold to retailers?	No law
Must wholesalers publicly post and hold (i.e., not reduce) prices for a set period of time?	Post and hold (30 days)
Is wholesaler permitted to extend credit to retailer and if so, what is the maximum time period?	Yes (60 days)

Massachusetts State Survey Responses

State Agency Information

Agency with primary responsibility for enforcing underage drinking laws:

Massachusetts Alcoholic Beverages Control Commission (ABCC)

Enforcement Strategies

State law enforcement agencies use:

Cops in Shops	Yes
Shoulder Tap Operations	No
Party Patrol Operations or Programs	Yes
Underage Alcohol-Related Fatality Investigations	Yes

Local law enforcement agencies use:

Cops in Shops	No
Shoulder Tap Operations	No
Party Patrol Operations or Programs	No
Underage Alcohol-Related Fatality Investigations	No

State has a program to investigate and enforce direct sales/shipment laws Yes

Primary state agency responsible for enforcing laws addressing direct sales/shipments of alcohol to minors Massachusetts ABCC

Such laws are also enforced by local law enforcement agencies No

Enforcement Statistics

State collects data on the number of minors found in possession Yes

Number of minors found in possession by state law enforcement agencies 791

Number pertains to the 12 months ending 12/31/2014

Data include arrests/citations issued by local law enforcement agencies No

State conducts underage compliance checks/decoy operations² to determine if alcohol retailers are complying with laws prohibiting sales to minors Yes

Data are collected on these activities Yes

Number of retail licensees in state³ 11,400

Number of licensees checked for compliance by state agencies (including random checks) 2,178

Number of licensees that failed state compliance checks 63

Numbers pertain to the 12 months ending 12/31/2014

Compliance checks/decoy operations conducted at on-sale, off-sale, or both retail establishments Both on- and off-sale establishments

State conducts **random** underage compliance checks/decoy operations Yes

Number of licensees subject to **random** state compliance checks/decoy operations 2,178

Number of licensees that failed **random** state compliance checks 63

Local agencies conduct underage compliance checks/decoy operations to determine if alcohol retailers are complying with laws prohibiting sales to minors Yes

Data are collected on these activities No

Number of licensees checked for compliance by local agencies Not applicable

Number of licensees that failed local compliance checks Not applicable

Numbers pertain to the 12 months ending 12/31/2014

Sanctions

State collects data on fines imposed on retail establishments that furnish minors Yes

Number of fines imposed by the state⁴ 21

Total amount in fines across all licensees \$117,385

Smallest fine imposed \$54

Largest fine imposed \$68,323

Numbers pertain to the 12 months ending	12/31/2014
<i>State collects data on license suspensions imposed on retail establishments specifically for furnishing minors</i>	Yes
Number of suspensions imposed by the state ⁵	114
Total days of suspensions across all licensees	Data not available
Shortest period of suspension imposed (in days)	Data not available
Longest period of suspension imposed (in days)	Data not available
Numbers pertain to the 12 months ending	12/31/2014
<i>State collects data on license revocations imposed on retail establishments specifically for furnishing minors</i>	Yes
Number of license revocations imposed ⁶	0
Numbers pertain to the 12 months ending	12/31/2014

Additional Clarification

In 2014, the Massachusetts ABCC Investigation and Enforcement Division conducted compliance checks in 230 municipalities in the commonwealth. There were 2,178 licensed establishments checked, of which 63 failed (3%). Of these licensees, 897 off-premise licensees were checked and 39 failed (4%), and 1,281 on-premise licensees checked of which 24 failed (2%). Licensees found in violation of selling or furnishing alcohol to underage individuals are brought before an adjudicatory hearing before the Alcoholic Beverages Control Commission. If found guilty, they are issued a penalty, which can range from a warning to a license suspension. Most are allowed to pay a fine in lieu of suspension, which is statutorily based on their alcohol sales.

Massachusetts has one of the lowest ratios of enforcement agents to licensees in the country. Accordingly, the Division has developed Enhanced Liquor Enforcement Programs that are scheduled to address specific geographic and seasonal challenges relating to underage drinking and impaired driving. The primary objective is to prevent procurement of alcoholic beverages by and for underage individuals as well the sale or delivery of alcoholic beverages to intoxicated individuals and potential impaired drivers.

Operation Safe Campus is conducted at bars and liquor stores in college communities over a 6-week period at the beginning of each school year. Operation Safe Prom and Graduation is conducted at liquor stores throughout the commonwealth over an 8-week period during May and June. Operation Safe Summer is conducted at bars and liquor stores in summer communities over a 6-week period during July and August. Operation Safe Holidays is conducted at bars that have been identified in the highest number of 24J reports, from Thanksgiving through December 31.

To encourage family involvement and intervention in addressing the problem of underage drinking, the Division has implemented a parent notification program to inform parents, at the time of the incident, of the situation in which their child is involved. Investigators have found this intervention to be very effective.

In 2014, these programs produced the following results: 721 minors in possession or transporting alcoholic beverages; 176 adults procuring alcohol for minors; 29 individuals in possession of false identification; and 382 cases of beer and 342 bottles of alcohol confiscated by Investigators, preventing delivery to approximately 4,948 underage individuals. Since 2005, these programs have resulted in the following cumulative results: 5,704 minors in possession or transporting alcoholic beverages; 2,557 adults procuring alcohol for minors; 598 individuals in possession of false identification; and 3,133 cases of beer and 2,305 bottles of alcohol confiscated by investigators, preventing delivery to approximately 40,234 underage individuals.

¹Or having consumed or purchased per state statutes.

²Underage compliance checks/decoy operations to determine whether alcohol retailers are complying with laws prohibiting sales to minors.

³Excluding special licenses such as temporary, seasonal, and common carrier licenses.

⁴Does not include fines imposed by local agencies.

⁵Does not include suspensions imposed by local agencies.

⁶Does not include revocations imposed by local agencies.

Underage Drinking Prevention Programs Operated or Funded by the State

Bureau of Substance Abuse Services (BSAS) Underage Drinking Prevention Programs; Statewide Technical Assistance Center

Program serves specific or general population	General population
Number of youth served	Not applicable
Number of parents served	Not applicable
Number of caregivers served	Not applicable
Program has been evaluated	Yes
Evaluation report is available	No
URL for evaluation report:	Not applicable
URL for more program information:	No data

Program Description: This project involves 31 underage drinking prevention programs in collaboration with the Massachusetts Technical Assistance Partnership for Prevention (MasTAPP), our statewide technical assistance provider. The programs are coalition/community focused; require city/town participation; use the SAMHSA Strategic Prevention Framework (SPF); and are required to use evidence-based environmental strategies that relate directly to assessment-identified problems.

Additional Underage Drinking Prevention Programs Operated or Funded by the State

Program description: No data

Additional Clarification

No data

Additional Information Related to Underage Drinking Prevention Programs

State collaborates with federally recognized Tribal governments in the prevention of underage drinking Yes

Description of collaboration: BSAS shared Native American data from the Youth Health Survey with representatives who collaborated with us on a prevention of substance abuse project. Native American outreach included the Wampanoag of Mashpee and Martha’s Vineyard, as well as all other Tribal Councils and Inter-Tribal Councils that we could identify. We worked with the UMASS Boston Institute for New England Native American Studies to identify representatives to collaborate with us on the prevention of substance abuse. Together we co-ran four Discussion Groups and created “Coming Home,” a culturally specific guide for parents that can be found here: <http://massclearinghouse.ehs.state.ma.us/BSASYTH/SA3528.html>.

In FY 2015, BSAS continued to distribute “Coming Home” and discuss how it could be used in communities. The well-received guide was distributed at pow-wows, tribal gatherings, art shows, health centers, and other venues. The four Roundtable groups identified the need for an effective prevention curriculum to use with youth.

Consultants from various tribes recommended that we create a locally based, yet effective, curriculum. Native American adults were invited to an evidenced-based training on prevention of substance abuse in FY 2015 (2/28/15). Prior to the training, native Culture Keepers and elders were invited to meet with the trainer and offer input. Twenty-six Native Americans were trained in the curriculum. A subset of that group is now advising BSAS on a cultural adaptation during weekly conference calls. We are seeking to incorporate the best information from other Native curricula, as well as local culture, stories, and illustrations. We are working with the developers of “Life Skills Training” to ensure that the cultural adaptation remains highly effective in preventing substance abuse. We are now beginning to meet with youth for concept testing of the draft curriculum. When it is complete, the plan is that tribal members will offer the curriculum to groups of middle school youth and BSAS will assist in the dissemination. The adapted curriculum will also be shared with other youth-serving professionals. The BSAS representative and members of our team will attend a 2-day Wampanoag Nation strategic planning session co-sponsored by the federal Tribal Training and TA Center of SAMHSA.

Our Treatment Unit invited tribal members to the 5-day Recovery Coach Training. Two Wampanoag tribe-specific trainings are planned for this fiscal year. Adaptations to the curriculum will be made to ensure that it is culturally sensitive. Experts will be available to provide TA throughout the coming years. Recovery coaches will be invited to

attend the 2-day training, Ethical Considerations for Recovery Coaches. Tribal members will continue to be offered scholarships to a range of general prevention and treatment trainings throughout the year.

State has programs to measure and/or reduce youth exposure to alcohol advertising and marketing No

Description of program: Not applicable

State has adopted or developed best practice standards for underage drinking prevention programs Yes

Agencies/organizations that established best practices standards:

Federal agency(ies): SAMHSA/CSAP Yes

Agency(ies) within your state: Massachusetts Department of Public Health/Bureau of Substance Abuse Services Yes

Nongovernmental agency(ies): No

Other: No

Best practice standards description: BSAS implements best practices through (1) a competitive request-for-response (RFR) process, (2) strategy meetings, and (3) regular site visits. The RFR requires the selection of an evidence-based model. Regular meetings provide technical assistance to ensure implementation of Strategic Prevention Framework (SPF) sustainability as well as cultural competence. The community’s logic model, action plan, accomplishments, and challenges are reviewed throughout the year

Additional Clarification

No data

State Interagency Collaboration

A state-level interagency governmental body/committee exists to coordinate or address underage drinking prevention activities Yes

Committee contact information:

Name: Lydie Ultimo (other primary person)

Email: lydie.ultimo@state.ma.us

Address: 250 Washington Street, Boston, MA 02108

Phone: 617-624-5151

Agencies/organizations represented on the committee:

Massachusetts Department of Children and Families

Massachusetts Department of Mental Health

Massachusetts Department of Transitional Services

Massachusetts Department of Elementary and Secondary Education

Massachusetts Department of Corrections

Massachusetts Health Care Finance and Policy

Massachusetts Department of Youth Services

Massachusetts Health and Human Services

Massachusetts Department of Public Health

Massachusetts District Court

A website or other public source exists to describe committee activities Yes

URL or other means of access: <http://appointments.state.ma.us/BoardDetail.aspx?brdid=160194>

Underage Drinking Reports

State has prepared a plan for preventing underage drinking in the last 3 years Yes

Prepared by: Massachusetts Department of Public Health/Bureau of Substance Abuse Services

Plan can be accessed via: <http://www.mass.gov/eohhs/docs/dph/substance-abuse/bsas-spe-strategic-plan.pdf>

<i>State has prepared a report on preventing underage drinking in the last 3 years</i>	No
Prepared by: Not applicable	
Plan can be accessed via: Not applicable	

Additional Clarification

The Massachusetts Interagency Council is currently undergoing some changes. Will Luzier, who was the Executive Director of this council, recently retired from state services and this position has been vacant. The Commonwealth will be reactivating this council soon, and we will be able to provide an update about it soon.

State Expenditures for the Prevention of Underage Drinking

<i>Compliance checks in retail outlets:</i>	
Estimate of state funds expended	No data
Estimate based on the 12 months ending	No data
<i>Checkpoints and saturation patrols:</i>	
Estimate of state funds expended	No data
Estimate based on the 12 months ending	No data
<i>Community-based programs to prevent underage drinking:</i>	
Estimate of state funds expended	\$4,000,000
Estimate based on the 12 months ending	6/30/2015
<i>K-12 school-based programs to prevent underage drinking:</i>	
Estimate of state funds expended	Data not available
Estimate based on the 12 months ending	Data not available
<i>Programs targeted to institutes of higher learning:</i>	
Estimate of state funds expended	Data not available
Estimate based on the 12 months ending	Data not available
<i>Programs that target youth in the juvenile justice system:</i>	
Estimate of state funds expended	Data not available
Estimate based on the 12 months ending	Data not available
<i>Programs that target youth in the child welfare system:</i>	
Estimate of state funds expended	Data not available
Estimate based on the 12 months ending	Data not available
<i>Other programs:</i>	
Programs or strategies included:	Data not available
Estimate of state funds expended:	Data not available
Estimate based on the 12 months ending:	Data not available

Funds Dedicated to Underage Drinking

<i>State derives funds dedicated to underage drinking from the following revenue streams:</i>	
Taxes	No
Fines	No
Fees	No
Other: Not applicable	No
<i>Description of funding streams and how they are used:</i>	
Not applicable	

Additional Clarification

No data



Michigan

State Population: 9,909,877
Population Ages 12–20: 1,241,000

	Percentage	Number
Ages 12–20		
Past-Month Alcohol Use	24.5	304,000
Past-Month Binge Alcohol Use	15.7	195,000
Ages 12–14		
Past-Month Alcohol Use	3.6	14,000
Past-Month Binge Alcohol Use	1.2	5,000
Ages 15–17		
Past-Month Alcohol Use	20.1	84,000
Past-Month Binge Alcohol Use	11.8	49,000
Ages 18–20		
Past-Month Alcohol Use	47.3	206,000
Past-Month Binge Alcohol Use	32.4	141,000
Alcohol-Attributable Deaths (under 21)		144
Years of Potential Life Lost (under 21)		8,752
	Percentage of All Traffic Fatalities	Number
Traffic Fatalities, 15- to 20-Year-Old Drivers with BAC > 0.01	20	25

Laws Addressing Minors in Possession of Alcohol

Underage Possession	
Is underage possession of alcoholic beverages prohibited?	Yes
Are there exceptions based on family relationships?	
• Is possession allowed if parent or guardian is present or consents?	No
• Is possession allowed if spouse is present or consents?	No
Is there an exception based on location?	No

Underage Consumption	
Is underage consumption of alcoholic beverages prohibited?	Yes
Are there exceptions based on family relationships?	
• Is consumption allowed if the parent or guardian is present or consents?	No
• Is consumption allowed if the spouse is present or consents?	No
Is there an exception based on location?	No

Underage Internal Possession	
Is underage internal possession of alcoholic beverages prohibited?	Yes
Are there exceptions based on family relationships?	
• Is internal possession allowed if the parent or guardian is present or consents?	No
• Is internal possession allowed if the spouse is present or consents?	No
Is there an exception based on location?	No

Underage Purchase and Attempted Purchase	
Is the purchase of alcoholic beverages prohibited?	Yes
May youth purchase for law enforcement purposes?	Yes

False Identification for Obtaining Alcohol	
Provisions Targeting Minors	
Is the use of false identification (ID) prohibited?	Yes
Does the use of a false ID result in minor's driver's license suspension?	Yes, through a judicial process
Provisions Targeting Suppliers	
Is the lending or transferring or selling of a false ID prohibited?	Yes
Is the production of a false ID in the context of underage alcohol sales specifically prohibited?	No
Retailer Support Provisions	
Is there an incentive for the retailer to use electronic scanners for information digitally encoded on valid IDs?	No
Are state driver's licenses for persons under 21 easily distinguishable from licenses for persons 21 and over?	Yes
May retailers seize apparently false IDs without fear of prosecution even if the ID is ultimately deemed valid?	No
Does an affirmative defense exist for the retailer?	Yes
• Is it a specific affirmative defense (retailer reasonably believed ID was valid after examining it)?	Yes

• Is it a general affirmative defense (retailer reasonably believed purchaser was over 21)?	No
Does the retailer have the right to sue the minor for use of a false ID?	No
May a retailer detain a minor who used a false ID?	No

Laws Targeting Underage Drinking and Driving

Youth Blood Alcohol Concentration Limits (Underage Operators of Noncommercial Motor Vehicles)	
What is the maximum blood alcohol concentration (BAC) limit for an underage driver of a motor vehicle?	0
Does a BAC level in excess of limit automatically establish a violation (per se violation)?	Yes
What is the minimum age to which the limit applies?	0
What is the maximum age to which the limit applies?	21

Loss of Driving Privileges for Alcohol Violations by Minors (“Use/Lose” Laws)	
Is there a “use/lose” law that suspends or revokes a minor’s driving privileges for alcohol violations?	No
What types of violation lead to license suspension or revocation?	
• Purchase of alcohol	N/A
• Possession of alcohol	N/A
• Consumption of alcohol	N/A
The law applies to people under what age?	N/A
Is suspension or revocation mandatory or discretionary?	N/A
What is the length of suspension/revocation?	
Minimum number of days	N/A
Maximum number of days	N/A

Graduated Driver’s Licenses	
Learner Stage	
What is the minimum age for permit to drive with parents, guardians or other adults (other than instructors)?	14 years, 9 months
What is the minimum number of months driver must hold learner permit before advancing to intermediate stage?	6
What is the minimum number of hours of driving with parents, guardians, or adults before advancing to intermediate stage?	50 (10 of which must be at night)
Intermediate Stage	
What is the minimum age for driving without adult supervision?	16
For night driving, when does adult supervision requirement begin?	10 pm
Can law enforcement stop a driver for night-driving violation as a primary offense?	Yes – Officer may stop driver for night-driving violation
Are there restrictions on passengers?	Yes - No more than one passenger under age 21 who is not an immediate family member unless accompanied by driver's parent or designated adult 21 or older

Can law enforcement stop driver for violation of passenger restrictions as a primary offense?	Yes – Officer may stop driver for passenger restrictions violation
License Stage	
What is the minimum age for full license privileges and lifting of restrictions?	17

Laws Targeting Alcohol Suppliers

Furnishing Alcohol to Minors	
Is furnishing of alcoholic beverages to minors prohibited?	Yes
Are there exceptions based on family relationships?	
• Is furnishing allowed if the parent or guardian supplies the alcohol?	No
• Is furnishing allowed if the spouse supplies the alcohol?	No
Is there an exception based on location?	No
Affirmative Defense for Sellers and Licensees	
Does law require seller/licensee to be exonerated of furnishing to a minor if the minor has not been charged?	Yes

Compliance Check Protocols	
Does the state have a written protocol for when an underage decoy is used in compliance checks?	Yes
What is the minimum age a decoy may be to participate in a compliance check?	18
What is the maximum age a decoy may be to participate in a compliance check?	19
What are the decoy's appearance requirements?	Not specified
Does decoy carry ID during compliance check?	Not specified
May decoy verbally exaggerate his or her actual age?	Not specified
Is decoy training mandated, recommended, prohibited, or not specified?	Not specified

Penalty Guidelines for Sales to Minors	
Are there written guidelines for penalties imposed on retailers for furnishing to a minor?	Yes
What is the time period for defining second, third, and subsequent offenses?	2 years
What is the penalty for the first offense?	Not more than \$1,000
What is the penalty for the second offense?	Not more than \$1,000
What is the penalty for the third offense?	Not more than \$1,000 and license suspension or revocation
What is the penalty for the fourth offense?	Not specified

Responsible Beverage Service (RBS)–Mandatory	
Is there a state law pertaining to beverage service training?	Yes – Mandatory
If training is mandatory, who must participate?	Managers, servers/sellers
If training is voluntary, which of the following incentives are offered?	
• Defense in dram shop liability lawsuits	N/A
• Discounts in dram shop liability insurance, license fees, or other	N/A
• Mitigation of fines or other administrative penalties for sales to minors or intoxicated persons	N/A

<ul style="list-style-type: none"> • Protection against license revocation for sales to minors or sales to intoxicated persons 	N/A
Does the RBS law apply to on-premises establishments (such as bars and restaurants) or off-premises establishments (such as liquor stores)?	On-premises
Does the RBS law apply to new or existing licensees?	New
<i>Note:</i> Michigan provides for a liability insurance discount as an incentive for retailers to implement beverage service training.	

Responsible Beverage Service (RBS) – Voluntary	
Is there a state law pertaining to beverage service training?	Yes – Voluntary
If training is mandatory, who must participate?	N/A
If training is voluntary, which of the following incentives are offered?	
<ul style="list-style-type: none"> • Defense in dram shop liability lawsuits 	Yes
<ul style="list-style-type: none"> • Discounts in dram shop liability insurance, license fees, or other 	Yes
<ul style="list-style-type: none"> • Mitigation of fines or other administrative penalties for sales to minors or intoxicated persons 	No
<ul style="list-style-type: none"> • Protection against license revocation for sales to minors or sales to intoxicated persons 	No
Does the RBS law apply to on-premises establishments (such as bars and restaurants) or off-premises establishments (such as liquor stores)?	On-premises
Does the RBS law apply to new or existing licensees?	Existing

Minimum Age for Sellers of Alcohol – Off-Premises (i.e., Liquor Stores)	
What is the minimum age requirement for off-premises retail establishments?	
Beer	18
Wine	18
Spirits	18
Does a manager or supervisor have to be present?	No

Minimum Age for Alcohol Servers and Bartenders – On-Premises (i.e., Restaurants and Bars)	
What is the minimum age requirement for servers in on-premises establishments?	
Beer	18
Wine	18
Spirits	18
What is the minimum age requirement for bartenders in on-premises establishments?	
Beer	18
Wine	18
Spirits	18
Does a manager or supervisor have to be present?	No

Alcohol Outlet Siting Near Schools and Universities	
Colleges and Universities	
Is there a distance requirement for off-premises outlets (i.e., liquor stores)?	No
Is there a distance requirement for on-premises outlets (i.e., restaurants and bars)?	No
To which alcohol products does requirement apply?	N/A

Primary and Secondary Schools	
Is there a distance requirement for off-premises outlets (i.e., liquor stores)?	No
Is there a distance requirement for on-premises outlets (i.e., restaurants and bars)	No
To which alcohol products does requirement apply?	N/A

Dram Shop Liability	
Does a statute create dram shop liability?	Yes
Does the statute limit damages that may be recovered?	No
Does the statute limit who may be sued?	No
Does the statute limit elements or standards of proof?	No
Does common law dram shop liability exist?	No
<i>Note:</i> Michigan law includes a responsible beverage service defense.	

Social Host Liability	
Does a statute create social host liability?	No
Does the statute limit damages that may be recovered?	N/A
Does the statute limit who may be sued?	N/A
Does the statute limit elements or standards of proof?	N/A
Does common law social host liability exist?	Yes

Prohibitions Against Hosting Underage Drinking Parties	
Does a statute prohibit hosting underage drinking parties?	Yes
Is the statute specific to underage parties, or a general prohibition against permitting underage drinking on the property?	Specific
What action by underage guest triggers a violation?	Possession/Consumption
Property type covered by the law?	Residential/Outdoor/Other
What level of knowledge by the host is required?	Knowledge: Host must have actual knowledge of party
Does host's preventive action protect him/her from being held liable?	Yes
Are there any exceptions for underage guests?	Yes – Family members and residents of household
<i>Note:</i> Michigan's social host statute does not apply if all individuals attending the social gathering are members of the same household or immediate family, or if a minor's use, consumption, or possession of an alcoholic beverage is for religious purposes. The "preventive action" provision in Michigan allows the prosecution to establish guilt by proving that the host failed to take preventive action.	

Retailer Interstate Shipments of Alcohol	
Are out-of-state retailers prohibited from sending interstate shipments to in-state consumers?	
Beer	Permitted
Wine	Permitted
Spirits	Prohibited
<i>Note:</i> The beer or wine must be delivered by the retailer's employee and not by an agent or third-party delivery service. A retailer that holds a specially designated merchant license or an out-of-state retailer that holds its state's substantial equivalent license may use a third party that provides delivery service to Michigan municipalities surrounded by water and inaccessible by motor vehicle.	

Direct Shipments/Sales	
May alcohol producers ship directly to consumers?	Yes
What alcohol types may be shipped?	Wine
Must purchaser make mandatory trip to producer before delivery is authorized?	No
Age verification requirements	
Must the producer/shipper verify purchaser's age before sale?	Yes
Must the common carrier (deliverer) verify age of recipients?	Yes
State approval/permit requirements	
Must the producer/manufacture obtain state license or permit?	Yes
Must the common carrier (deliverer) be approved by a state agency?	No
Recording/reporting requirements	
Must the producer/manufacture record/report purchaser's name?	Yes
Must the common carrier (deliverer) record/report recipient's name?	No
Shipping label requirements	
Must the label state "Package contains alcohol"?	Yes
Must the label state "Recipient must be 21 years old"?	Yes

Keg Registration	
How is a keg defined (in gallons)?	Equal to or more than 5.00
Prohibitions	
Is it illegal to possess an unregistered or unlabeled keg and if so, what is the penalty?	No
Is it illegal to destroy the label on a keg, and if so, what is the penalty?	Yes (maximum fine/jail, \$500/93 days)
What purchaser information is collected?	
Must the retailer collect the name and address?	Yes
Must the retailer collect the ID number, name and address on license or other government information?	Yes
Must the retailer collect the address at which keg will be consumed?	No
Must warning information be given to purchaser?	Yes, active (requires an action by purchaser)
Is a deposit required?	Yes, \$30
Does law cover disposable kegs?	No

Home Delivery	
Is home delivery of alcohol permitted?	
Beer	Yes
Wine	Yes
Spirits	No

High-Proof Grain Alcohol Beverages	
Are there restrictions on the sale of high-proof grain alcohol beverages?	No. However, Michigan is a control state, and control states may impose additional restrictions on the sale of products that are not reflected in statute or regulation.
Are restrictions based on Alcohol by Volume (ABV)?	N/A
Are there exceptions to restrictions?	N/A

Laws Affecting Alcohol Pricing

Alcohol Taxes	
Beer	
Control system for beer?	No
Specific excise tax per gallon for 5% alcohol beer	\$0.20
Ad valorem excise tax (for on-premises sales) on total receipts for 5% alcohol beer	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Ad valorem excise tax (for off-premises sales) on total receipts for 5% alcohol beer	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Additional taxes for 3.2–6% alcohol beer (if applicable)	
Wine	
Control system for wine?	No
Specific excise tax per gallon for 12% alcohol wine	\$0.51
Ad valorem excise tax (for on-premises sales) on total receipts for 12% alcohol wine	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Ad valorem excise tax (for off-premises sales) on total receipts for 12% alcohol wine	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	

If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Additional taxes for 6–14% alcohol wine (if applicable)	
Spirits	
Control system for spirits?	Yes
Specific excise tax per gallon for 40% alcohol spirits	
Ad valorem excise tax (for on-premises sales) on total receipts for 40% alcohol spirits	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Ad valorem excise tax (for off-premises sales) on total receipts for 40% alcohol spirits	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Additional taxes for 15–50% alcohol spirits (if applicable)	

Low-Price, High-Volume Drink Specials	
What types of drink specials are prohibited by on-premises retailers?	
Free beverages	Yes
Multiple servings at one time	No
Multiple servings for same price as single serving	Yes
Reduced price for a specified day or time (i.e., happy hours)	No
Unlimited beverages for fixed price	Yes
Increased volume without increase in price	No

Wholesaler Pricing Restrictions	
Beer	
Are volume discounts to retailers allowed?	Banned
Must wholesalers establish a minimum markup or maximum discount for each product sold to retailers?	No law
Must wholesalers publicly post and hold (i.e., not reduce) prices for a set period of time?	Post and hold (180 days)
Is wholesaler permitted to extend credit to retailer and if so, what is the maximum time period?	Yes (30 days)

Wine	
Are volume discounts to retailers allowed?	Banned
Must wholesalers establish a minimum markup or maximum discount for each product sold to retailers?	No law
Must wholesalers publicly post and hold (i.e., not reduce) prices for a set period of time?	Post and hold (90 days)
Is wholesaler permitted to extend credit to retailer and if so, what is the maximum time period?	Yes (30 days)
Spirits	
Are volume discounts to retailers allowed?	N/A
Must wholesalers establish a minimum markup or maximum discount for each product sold to retailers?	N/A
Must wholesalers publicly post and hold (i.e., not reduce) prices for a set period of time?	N/A
Is wholesaler permitted to extend credit to retailer and if so, what is the maximum time period?	N/A
<p><i>Note:</i> With respect to beer, prices may be decreased during the 180-day minimum hold period to meet a competing wholesaler's price. The price reduction must not exceed the competition's price and must continue for the balance of the 180 days filed by the competition. Credit may be extended for a maximum of 30 days for on-sale retailers; no credit may be extended to off-sale retailers. With respect to wine, prices filed shall not be changed during a quarterly period unless by written order of the commission. Approval for a price change shall not be granted for periods of less than 14 days. Credit may be extended for a maximum of 30 days for on-sale retailers; no credit may be extended to off-sale retailers.</p>	

Michigan State Survey Responses

State Agency Information	
<i>Agency with primary responsibility for enforcing underage drinking laws:</i>	
Michigan Liquor Control Commission (MLCC)	
Enforcement Strategies	
<i>State law enforcement agencies use:</i>	
Cops in Shops	No
Shoulder Tap Operations	No
Party Patrol Operations or Programs	Yes
Underage Alcohol-Related Fatality Investigations	No
<i>Local law enforcement agencies use:</i>	
Cops in Shops	No
Shoulder Tap Operations	No
Party Patrol Operations or Programs	Yes
Underage Alcohol-Related Fatality Investigations	No
<i>State has a program to investigate and enforce direct sales/shipment laws</i>	
Primary state agency responsible for enforcing laws addressing direct sales/shipments of alcohol to minors	MLCC
Such laws are also enforced by local law enforcement agencies	Don't know
Enforcement Statistics	
<i>State collects data on the number of minors found in possession</i>	
Number of minors found in possession by state law enforcement agencies	Not applicable
Number pertains to the 12 months ending	Not applicable
Data include arrests/citations issued by local law enforcement agencies	Not applicable
<i>State conducts underage compliance checks/decoy operations² to determine if alcohol retailers are complying with laws prohibiting sales to minors</i>	
Data are collected on these activities	Yes
Number of retail licensees in state ³	Approx. 17,000 licensees that hold approx. 22,000 licenses
Number of licensees checked for compliance by state agencies (including random checks)	2,526
Number of licensees that failed state compliance checks	360
Numbers pertain to the 12 months ending	12/31/2014
Compliance checks/decoy operations conducted at on-sale, off-sale, or both retail establishments	Both on- and off-sale establishments
<i>State conducts random underage compliance checks/decoy operations</i>	
Number of licensees subject to random state compliance checks/decoy operations	Data not available; not maintained separately
Number of licensees that failed random state compliance checks	Data not available; not maintained separately
<i>Local agencies conduct underage compliance checks/decoy operations to determine if alcohol retailers are complying with laws prohibiting sales to minors</i>	
Data are collected on these activities	Yes
Number of licensees checked for compliance by local agencies	Data submitted to MLCC voluntarily only; full data not available
Number of licensees that failed local compliance checks	238
Numbers pertain to the 12 months ending	12/31/2014

Sanctions

<i>State collects data on fines imposed on retail establishments that furnish minors</i>	Yes
Number of fines imposed by the state ⁴	631
Total amount in fines across all licensees	\$379,702
Smallest fine imposed	\$0; waived
Largest fine imposed	\$3,250
Numbers pertain to the 12 months ending	12/31/2014
<i>State collects data on license suspensions imposed on retail establishments specifically for furnishing minors</i>	Yes
Number of suspensions imposed by the state ⁵	7
Total days of suspensions across all licensees	12
Shortest period of suspension imposed (in days)	0; waived
Longest period of suspension imposed (in days)	3
Numbers pertain to the 12 months ending	12/31/2014
<i>State collects data on license revocations imposed on retail establishments specifically for furnishing minors</i>	Yes
Number of license revocations imposed ⁶	0
Numbers pertain to the 12 months ending	12/31/2014

Additional Clarification

No data

¹ Or having consumed or purchased per state statutes.

² Underage compliance checks/decoy operations to determine whether alcohol retailers are complying with laws prohibiting sales to minors.

³ Excluding special licenses such as temporary, seasonal, and common carrier licenses.

⁴ Does not include fines imposed by local agencies.

⁵ Does not include suspensions imposed by local agencies.

⁶ Does not include revocations imposed by local agencies.

Underage Drinking Prevention Programs Operated or Funded by the State**Michigan Coalition to Reduce Underage Drinking (MCRUD)**

Program serves specific or general population	General population
Number of youth served	Not applicable
Number of parents served	Not applicable
Number of caregivers served	Not applicable
Program has been evaluated	Yes
Evaluation report is available	No
URL for evaluation report:	Not applicable
URL for more program information:	http://www.mcrud.org

Program Description: MCRUD provides training, technical assistance, and networking opportunities for local volunteer and professional groups working to address specific issues related to reducing underage drinking at the local level. Constituents include other statewide organizations, local professional prevention agencies, local public health departments, hospital staff, local teen centers, and volunteer groups (e.g., high school leadership groups, parent groups, and community coalitions).

Office of Recovery Oriented Systems of Care (OROSC)

Program serves specific or general population	General population
Number of youth served	Not applicable
Number of parents served	Not applicable
Number of caregivers served	Not applicable
Program has been evaluated	No data
Evaluation report is available	No data
URL for evaluation report:	http://www.michigan.gov/bhrecovery
URL for more program information:	No data

Program Description: The Michigan Department of Health and Human Services (MDHHS) OROSC currently allocates Substance Abuse Prevention and Treatment (SAPT) Block Grant funding and other state general fund dollars to 10 Prepaid Inpatient Health Plans (PIHPs) substate regional entities. The PIHPs are responsible for planning, administering, funding, and maintaining the provision of substance abuse recovery, treatment, and prevention services for 83 counties in Michigan in accordance with MDHHS and OROSC priorities. A current OROSC priority is reducing underage drinking, and each PIHP employs a Prevention Coordinator. Programs are based on regional need, and are a mix of targeted programs aimed at specific populations (selective and indicated) as well as those aimed at the general population (universal).

Prevention Network (PN) and Parenting Awareness Michigan (PAM)

Program serves specific or general population	General population
Number of youth served	Not applicable
Number of parents served	Not applicable
Number of caregivers served	Not applicable
Program has been evaluated	Yes
Evaluation report is available	No
URL for evaluation report:	Not applicable
URL for more program information:	http://www.preventionnetwork.org

Program Description: PN is a private, nonprofit partner funded in part by OROSC involved in the established statewide infrastructure that works to coordinate and allocate funding to high-need communities. PN provides support, training, and technical assistance to grassroots community groups addressing underage drinking to offer a full continuum of substance abuse prevention services. As part of PN, PAM assists professionals, volunteers, and communities with local initiatives focused on effective parenting as a key factor in the prevention of underage drinking and other risk behaviors in children and youth.

Additional Underage Drinking Prevention Programs Operated or Funded by the State

Program description: No data

Additional Clarification

No data

Additional Information Related to Underage Drinking Prevention Programs

State collaborates with federally recognized tribal governments in the prevention of underage drinking Yes

Description of collaboration: At the state level, OROSC collaborates with both the Grand Traverse Band of Ottawa and Chippewa Indians (GTB) and the Little Traverse Bay Band of Odawa Indians by offering technical assistance as appropriate or requested. Both tribes have been members of the State Epidemiology Outcomes Workgroup (SEOW) in the past, and there is also a partnership with the Inter-Tribal Council. In addition, sub-state regional Prepaid Inpatient Health Plan (PIHP) entities may partner with these same or other tribes in the geographic area.

State has programs to measure and/or reduce youth exposure to alcohol advertising and marketing No

Description of program: Not applicable

State has adopted or developed best practice standards for underage drinking prevention programs Yes

Agencies/organizations that established best practices standards:

Federal agency(ies): SAMHSA National Registry of Effective Prevention Programs (NREPP) Yes

Agency(ies) within your state: Michigan Department of Health and Human Services/ Office of Recovery-Oriented Systems of Care (MDHHS/OROSC) Yes

Nongovernmental agency(ies): No

Other: No

Best practice standards description: MDHHS/OROSC has adopted overarching principles of effective prevention based on the SAMHSA NREPP, as well as the *Surgeon General's Call to Action to Prevent and Reduce Underage Drinking* (2007). OROSC requires that at least 90% of prevention programming within a sub-state

PIHP region is evidence based. In addition, specific guidelines for safe prom and graduation initiatives have been adopted and promoted through Prevention Network (PN), Michigan Coalition to Reduce Underage Drinking (MCRUD), and other avenues at the local level.

Additional Clarification

No data

State Interagency Collaboration

A state-level interagency governmental body/committee exists to coordinate or address underage drinking prevention activities Yes

Committee contact information:

Name: Mike Tobias

Email: mike@preventionnetwork.org

Address: PO Box 4458, East Lansing, MI 48826-4458

Phone: 517-393-6890

Agencies/organizations represented on the committee:

Berrien County Health Department

CARE of Southeastern Michigan

Cass Alcohol Safety Solutions/Woodlands Behavioral Health

Catholic Charities of Genesee and Shiawassee Counties

Genesee Health Systems

Huron County Health Department

Little Traverse Bay Band of Odawa Indians

Marquette County Health Department

Michigan Council on Alcohol Problems

Michigan Department of Health and Human Services

Prevention Network

Royal Oak Community Coalition

Sacred Heart Rehabilitation (Bay County)

St. Clair County Community Mental Health

St. Joseph Substance Abuse Task Force

YOUTHINK Montcalm

A website or other public source exists to describe committee activities Yes

URL or other means of access: <http://www.mcrud.org>

Underage Drinking Reports

State has prepared a plan for preventing underage drinking in the last 3 years Yes

Prepared by: OROSC as part of overall strategic plan. In addition, via work plan contract with Prevention Network, a more detailed UAD-specific plan is in the final stages of development and will be available via the website below once completed and approved for distribution.

Plan can be accessed via: <http://www.michigan.gov/bhrecovery>

State has prepared a report on preventing underage drinking in the last 3 years Yes

Prepared by: As part of the State Epidemiology Profile, completed on annual basis.

Plan can be accessed via: <http://www.michigan.gov/bhrecovery>

Additional Clarification

No data

State Expenditures for the Prevention of Underage Drinking

Compliance checks in retail outlets:

Estimate of state funds expended	Approx. \$130,000
Estimate based on the 12 months ending	12/31/2014

Checkpoints and saturation patrols:

Estimate of state funds expended	\$0; not conducted in Michigan
Estimate based on the 12 months ending	12/31/2014

Community-based programs to prevent underage drinking:

Estimate of state funds expended	\$676,354
Estimate based on the 12 months ending	9/30/2014

K-12 school-based programs to prevent underage drinking:

Estimate of state funds expended	\$1,847,649
Estimate based on the 12 months ending	9/30/2014

Programs targeted to institutes of higher learning:

Estimate of state funds expended	\$195,058
Estimate based on the 12 months ending	9/30/2014

Programs that target youth in the juvenile justice system:

Estimate of state funds expended	\$86,457
Estimate based on the 12 months ending	9/30/2014

Programs that target youth in the child welfare system:

Estimate of state funds expended	Data not available
Estimate based on the 12 months ending	Data not available

Other programs:

Programs or strategies included: Compliance checks in retail outlets (\$101,564), problem identification and referral (\$24,677), and vendor education (\$10,390)

Estimate of state funds expended	\$136,631
Estimate based on the 12 months ending	9/30/2014

Funds Dedicated to Underage Drinking

State derives funds dedicated to underage drinking from the following revenue streams:

Taxes	Yes
Fines	Yes
Fees	Yes
Other	Not applicable

Description of funding streams and how they are used:

Fines for violations as well as license and renewal fees are used to fund controlled buy operations through the MLCC. Taxes are also used in this manner. In addition, a portion of Public Act 2 tax dollars are returned to counties to fund substance abuse prevention and treatment.

Additional Clarification

No data



Minnesota

State Population: 5,457,173

Population Ages 12–20: 632,000

	Percentage	Number
Ages 12–20		
Past-Month Alcohol Use	22.1	140,000
Past-Month Binge Alcohol Use	13.8	87,000
Ages 12–14		
Past-Month Alcohol Use	2.6	5,000
Past-Month Binge Alcohol Use	0.7	1,000
Ages 15–17		
Past-Month Alcohol Use	17.6	39,000
Past-Month Binge Alcohol Use	9.5	21,000
Ages 18–20		
Past-Month Alcohol Use	46.2	96,000
Past-Month Binge Alcohol Use	31.4	65,000
Alcohol-Attributable Deaths (under 21)		50
Years of Potential Life Lost (under 21)		3,037
	Percentage of All Traffic Fatalities	Number
Traffic Fatalities, 15- to 20-Year-Old Drivers with BAC > 0.01	16	7

Laws Addressing Minors in Possession of Alcohol

Underage Possession	
Is underage possession of alcoholic beverages prohibited?	Yes
Are there exceptions based on family relationships?	
• Is possession allowed if parent or guardian is present or consents?	No
• Is possession allowed if spouse is present or consents?	No
Is there an exception based on location?	Yes, in parent/guardian's home only

Underage Consumption	
Is underage consumption of alcoholic beverages prohibited?	Yes
Are there exceptions based on family relationships?	
• Is consumption allowed if the parent or guardian is present or consents?	Yes in specified locations – see below
• Is consumption allowed if the spouse is present or consents?	No
Is there an exception based on location?	Yes, in parent/guardian's home only if parent/guardian is present or consents

Underage Internal Possession	
Is underage internal possession of alcoholic beverages prohibited?	No law
Are there exceptions based on family relationships?	
• Is internal possession allowed if the parent or guardian is present or consents?	N/A
• Is internal possession allowed if the spouse is present or consents?	N/A
Is there an exception based on location?	N/A
<p><i>Note:</i> Although Minnesota does not prohibit internal possession as defined in this report, it has a statutory provision that makes it unlawful "[f]or any person under the age of 21 years to consume any alcoholic beverages" and further defines "consume" to "[include] the ingestion of an alcoholic beverage and the physical condition of having ingested an alcoholic beverage." Laws that prohibit minors from having alcohol in their bodies, but do so without reference to a blood, breath, or urine test, are not considered as prohibiting internal possession for purposes of this report.</p>	

Underage Purchase and Attempted Purchase	
Is the purchase of alcoholic beverages prohibited?	Yes
May youth purchase for law enforcement purposes?	No

False Identification for Obtaining Alcohol	
Provisions Targeting Minors	
Is the use of false identification (ID) prohibited?	Yes
Does the use of a false ID result in minor's driver's license suspension?	Yes, through a judicial process
Provisions Targeting Suppliers	
Is the lending or transferring or selling of a false ID prohibited?	Yes
Is the production of a false ID in the context of underage alcohol sales specifically prohibited?	No

Retailer Support Provisions	
Is there an incentive for the retailer to use electronic scanners for information digitally encoded on valid IDs?	No
Are state driver's licenses for persons under 21 easily distinguishable from licenses for persons 21 and over?	Yes
May retailers seize apparently false IDs without fear of prosecution even if the ID is ultimately deemed valid?	Yes
Does an affirmative defense exist for the retailer?	Yes
<ul style="list-style-type: none"> Is it a specific affirmative defense (retailer reasonably believed ID was valid after examining it)? 	Yes
<ul style="list-style-type: none"> Is it a general affirmative defense (retailer reasonably believed purchaser was over 21)? 	No
Does the retailer have the right to sue the minor for use of a false ID?	No
May a retailer detain a minor who used a false ID?	No

Laws Targeting Underage Drinking and Driving

Youth Blood Alcohol Concentration Limits (Underage Operators of Noncommercial Motor Vehicles)	
What is the maximum blood alcohol concentration (BAC) limit for an underage driver of a motor vehicle?	0
Does a BAC level in excess of limit automatically establish a violation (per se violation)?	Yes
What is the minimum age to which the limit applies?	0
What is the maximum age to which the limit applies?	21

Loss of Driving Privileges for Alcohol Violations by Minors ("Use/Lose" Laws)	
Is there a "use/lose" law that suspends or revokes a minor's driving privileges for alcohol violations?	No
What types of violation lead to license suspension or revocation?	
<ul style="list-style-type: none"> Purchase of alcohol 	N/A
<ul style="list-style-type: none"> Possession of alcohol 	N/A
<ul style="list-style-type: none"> Consumption of alcohol 	N/A
The law applies to people under what age?	N/A
Is suspension or revocation mandatory or discretionary?	N/A
What is the length of suspension/revocation?	
Minimum number of days	N/A
Maximum number of days	N/A

Graduated Driver's Licenses	
Learner Stage	
What is the minimum age for permit to drive with parents, guardian, or other adults (other than instructors)?	15
What is the minimum number of months driver must hold learner permit before advancing to intermediate stage?	6
What is the minimum number of hours of driving with parents, guardians,, or adults before advancing to intermediate stage?	40 (15 of which must be at night)

Intermediate Stage	
What is the minimum age for driving without adult supervision?	16
For night driving, when does adult supervision requirement begin?	12 am
Can law enforcement stop a driver for night-driving violation as a primary offense?	Yes – Officer may stop driver for night-driving violation
Are there restrictions on passengers?	Yes – First 6 months, no more than one passenger under 20 who is not an immediate family member, unless accompanied by driver's parent or guardian. Second 6 months, no more than three passengers under 20, unless accompanied by driver's parent or guardian.
Can law enforcement stop driver for violation of passenger restrictions as a primary offense?	Yes – Officer may stop driver for passenger restrictions violation
License Stage	
What is the minimum age for full license privileges and lifting of restrictions?	17 (passenger restrictions expire 12 months after obtaining intermediate license; unsupervised night-driving restrictions expire 6 months after issuance of intermediate license)

Laws Targeting Alcohol Suppliers

Furnishing Alcohol to Minors	
Is furnishing of alcoholic beverages to minors prohibited?	Yes
Are there exceptions based on family relationships?	
• Is furnishing allowed if the parent or guardian supplies the alcohol?	Yes in specified locations
• Is furnishing allowed if the spouse supplies the alcohol?	No
Is there an exception based on location?	Yes, in parent/guardian's home only if parent/guardian supplies alcohol
Affirmative Defense for Sellers and Licensees	
Does law require seller/licensee to be exonerated of furnishing to a minor if the minor has not been charged?	No

Compliance Check Protocols	
Does the state have a written protocol for when an underage decoy is used in compliance checks?	Yes
What is the minimum age a decoy may be to participate in a compliance check?	Not specified
What is the maximum age a decoy may be to participate in a compliance check?	20
What are the decoy's appearance requirements?	Dress normally; no disguises or special makeup

Does decoy carry ID during compliance check?	Prohibited
May decoy verbally exaggerate his or her actual age?	Permitted
Is decoy training mandated, recommended, prohibited, or not specified?	Not specified

Penalty Guidelines for Sales to Minors	
Are there written guidelines for penalties imposed on retailers for furnishing to a minor?	No
What is the time period for defining second, third, and subsequent offenses?	N/A
What is the penalty for the first offense?	N/A
What is the penalty for the second offense?	N/A
What is the penalty for the third offense?	N/A
What is the penalty for the fourth offense?	N/A

Responsible Beverage Service (RBS)	
Is there a state law pertaining to beverage service training?	Yes – Voluntary
If training is mandatory, who must participate?	N/A
If training is voluntary, which of the following incentives are offered?	
• Defense in dram shop liability lawsuits	No
• Discounts in dram shop liability insurance, license fees, or other	Yes
• Mitigation of fines or other administrative penalties for sales to minors or intoxicated persons	No
• Protection against license revocation for sales to minors or sales to intoxicated persons	No
Does the RBS law apply to on-premises establishments (such as bars and restaurants) or off-premises establishments (such as liquor stores)?	Unspecified
Does the RBS law apply to new or existing licensees?	Unspecified
<i>Note:</i> Minnesota provides for a reduced license fee as an incentive for retailers to implement beverage service training, among other programs.	

Minimum Age for Sellers of Alcohol – Off-Premises (i.e., Liquor Stores)	
What is the minimum age requirement for off-premises retail establishments?	
Beer	18
Wine	18
Spirits	18
Does a manager or supervisor have to be present?	No
<i>Note:</i> In Minnesota, the minimum permitted age to sell 3.2% malt liquors for off-premises consumption is not specified.	

Minimum Age for Alcohol Servers and Bartenders – On-Premises (i.e., Restaurants and Bars)	
What is the minimum age requirement for servers in on-premises establishments?	
Beer	18
Wine	18
Spirits	18
What is the minimum age requirement for bartenders in on-premises establishments?	
Beer	18
Wine	18

Spirits	18
Does a manager or supervisor have to be present?	No

Alcohol Outlet Siting Near Schools and Universities	
Colleges and Universities	
Is there a distance requirement for off-premises outlets (i.e., liquor stores)?	No
Is there a distance requirement for on-premises outlets (i.e., restaurants and bars)?	No
To which alcohol products does requirement apply?	N/A
Primary and Secondary Schools	
Is there a distance requirement for off-premises outlets (i.e., liquor stores)?	Yes, within 1,500 feet of a public school, if not within a city
Is there a distance requirement for on-premises outlets (i.e., restaurants and bars)?	Yes, within 1,500 feet of a public school, if not within a city
To which alcohol products does requirement apply?	Beer, wine, spirits

Dram Shop Liability	
Does a statute create dram shop liability?	Yes
Does the statute limit damages that may be recovered?	No
Does the statute limit who may be sued?	No
Does the statute limit elements or standards of proof?	No
Does common law dram shop liability exist?	No
<p><i>Note:</i> Minn. Stat. § 340A.801(6) states that nothing in Chapter 340A, Minnesota's alcohol beverage control law, "precludes common law tort claims against any person 21 years old or older who knowingly provides or furnishes alcoholic beverages to a person under the age of 21 years." The age limitation applied to the furnisher and the "knowingly" evidentiary requirement results in a "no" coding for dram shop common law liability.</p>	

Social Host Liability	
Does a statute create social host liability?	Yes
Does the statute limit damages that may be recovered?	No
Does the statute limit who may be sued?	Yes (social host must be 21 or older)
Does the statute limit elements or standards of proof?	Yes (knowingly or recklessly furnishing alcohol to a minor or permitting consumption by a minor)
Does common law social host liability exist?	No
<p><i>Note:</i> Minnesota law states that nothing in Minnesota's alcohol beverage control law precludes common law tort claims against any person age 21 or older who knowingly provides or furnishes alcoholic beverages to a person under 21. The age limitation applied to the furnisher and the "knowingly" evidentiary requirement results in a "no" coding for social host common law liability.</p>	

Prohibitions Against Hosting Underage Drinking Parties	
Does a statute prohibit hosting underage drinking parties?	No

Is the statute specific to underage parties, or a general prohibition against permitting underage drinking on the property?	N/A
What action by underage guest triggers a violation?	N/A
Property type covered by the law?	N/A
What level of knowledge by the host is required?	N/A
Does host's preventive action protect him/her from being held liable?	N/A
Are there any exceptions for underage guests?	N/A

Retailer Interstate Shipments of Alcohol

Are out-of-state retailers prohibited from sending interstate shipments to in-state consumers?	
Beer	Yes
Wine	Yes
Spirits	Yes

Direct Shipments/Sales

May alcohol producers ship directly to consumers?	Yes
What alcohol types may be shipped?	Wine
Must purchaser make mandatory trip to producer before delivery is authorized?	No
Age verification requirements	
Must the producer/shipper verify purchaser's age before sale?	No
Must the common carrier (deliverer) verify age of recipients?	No
State approval/permit requirements	
Must the producer/manufacture obtain state license or permit?	No
Must the common carrier (deliverer) be approved by a state agency?	No
Recording/reporting requirements	
Must the producer/manufacture record/report purchaser's name?	No
Must the common carrier (deliverer) record/report recipient's name?	No
Shipping label requirements	
Must the label state "Package contains alcohol"?	Yes
Must the label state "Recipient must be 21 years old"?	Yes

Keg Registration

How is a keg defined (in gallons)?	Equal to or more than 7.00
Prohibitions	
Is it illegal to possess an unregistered or unlabeled keg and if so, what is the penalty?	No
Is it illegal to destroy the label on a keg, and if so, what is the penalty?	Yes (maximum fine/jail, \$1,000/90 days)
What purchaser information is collected?	
Must the retailer collect the name and address?	No
Must the retailer collect the ID number, name and address on license or other government information?	Yes
Must the retailer collect the address at which keg will be consumed?	No
Must warning information be given to purchaser?	Yes, passive (requires no action by purchaser)

Is a deposit required?	No
Does law cover disposable kegs?	No

Home Delivery	
Is home delivery of alcohol permitted?	
Beer	Yes
Wine	Yes
Spirits	Yes

High-Proof Grain Alcohol Beverages	
Are there restrictions on the sale of high-proof grain alcohol beverages?	Yes
Are restrictions based on Alcohol by Volume (ABV)?	Yes (80% or more)
Are there exceptions to restrictions?	Yes (spirits aged in wood casks for no fewer than 2 years)

Laws Affecting Alcohol Pricing

Alcohol Taxes	
Beer	
Control system for beer?	No
Specific excise tax per gallon for 5% alcohol beer	\$0.15
Ad valorem excise tax (for on-premises sales) on total receipts for 5% alcohol beer	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	2.50%
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	2.50%
Ad valorem excise tax (for off-premises sales) on total receipts for 5% alcohol beer	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	2.50%
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	2.50%
Additional taxes for 3.2–6% alcohol beer (if applicable)	\$0.08 per gallon for beverages containing an alcohol content of 4% or less
<i>Note: For malt liquor containing 4% alcohol or less, the 2.5% retail tax is applied only when sold at an on-sale or off-sale municipal liquor store or other establishment licensed to sell any type of intoxicating liquor.</i>	

Wine	
Control system for wine?	No
Specific excise tax per gallon for 12% alcohol wine	\$0.30
Ad valorem excise tax (for on-premises sales) on total receipts for 12% alcohol wine	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	2.50%
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	2.50%
Ad valorem excise tax (for off-premises sales) on total receipts for 12% alcohol wine	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	2.50%
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	2.50%
Additional taxes for 6–14% alcohol wine (if applicable)	
Spirits	
Control system for spirits?	No
Specific excise tax per gallon for 40% alcohol spirits	\$5.03
Ad valorem excise tax (for on-premises sales) on total receipts for 40% alcohol spirits	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	2.50%
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	2.50%
Ad valorem excise tax (for off-premises sales) on total receipts for 40% alcohol spirits	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	2.50%
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	2.50%
Additional taxes for 15–50% alcohol spirits (if applicable)	

Low-Price, High-Volume Drink Specials	
What types of drink specials are prohibited by on-premises retailers?	
Free beverages	No
Multiple servings at one time	No
Multiple servings for same price as single serving	No

Reduced price for a specified day or time (i.e., happy hours)	No
Unlimited beverages for fixed price	No
Increased volume without increase in price	No

Wholesaler Pricing Restrictions	
Beer	
Are volume discounts to retailers allowed?	No law
Must wholesalers establish a minimum markup or maximum discount for each product sold to retailers?	No law
Must wholesalers publicly post and hold (i.e., not reduce) prices for a set period of time?	No law
Is wholesaler permitted to extend credit to retailer and if so, what is the maximum time period?	No
Wine	
Are volume discounts to retailers allowed?	Restricted
Must wholesalers establish a minimum markup or maximum discount for each product sold to retailers?	No law
Must wholesalers publicly post and hold (i.e., not reduce) prices for a set period of time?	No law
Is wholesaler permitted to extend credit to retailer and if so, what is the maximum time period?	Yes (30 days)
Spirits	
Are volume discounts to retailers allowed?	Restricted
Must wholesalers establish a minimum markup or maximum discount for each product sold to retailers?	No law
Must wholesalers publicly post and hold (i.e., not reduce) prices for a set period of time?	No law
Is wholesaler permitted to extend credit to retailer and if so, what is the maximum time period?	Yes (30 days)
<i>Note: For wine, a variable volume price offered by a wholesaler to a retailer may not be for a quantity of more than 25 cases. For spirits, a variable volume price offered by a wholesaler to a retailer may not be for a quantity of more than 25 cases.</i>	

Minnesota State Survey Responses

State Agency Information

Agency with primary responsibility for enforcing underage drinking laws:

Minnesota Department of Public Safety

Enforcement Strategies

State law enforcement agencies use:

Cops in Shops	No
Shoulder Tap Operations	No
Party Patrol Operations or Programs	No
Underage Alcohol-Related Fatality Investigations	Yes

Local law enforcement agencies use:

Cops in Shops	No
Shoulder Tap Operations	No
Party Patrol Operations or Programs	Yes
Underage Alcohol-Related Fatality Investigations	Yes

State has a program to investigate and enforce direct sales/shipment laws No

Primary state agency responsible for enforcing laws addressing direct sales/shipments of alcohol to minors Not applicable

Such laws are also enforced by local law enforcement agencies Not applicable

Enforcement Statistics

State collects data on the number of minors found in possession No

Number of minors found in possession by state law enforcement agencies Not applicable

Number pertains to the 12 months ending Not applicable

Data include arrests/citations issued by local law enforcement agencies Not applicable

State conducts underage compliance checks/decoy operations² to determine if alcohol retailers are complying with laws prohibiting sales to minors No

Data are collected on these activities No

Number of retail licensees in state³ No data

Number of licensees checked for compliance by state agencies (including random checks) Not applicable

Number of licensees that failed state compliance checks Not applicable

Numbers pertain to the 12 months ending Not applicable

Compliance checks/decoy operations conducted at on-sale, off-sale, or both retail establishments Not applicable

State conducts **random** underage compliance checks/decoy operations No

Number of licensees subject to **random** state compliance checks/decoy operations Not applicable

Number of licensees that failed **random** state compliance checks Not applicable

Local agencies conduct underage compliance checks/decoy operations to determine if alcohol retailers are complying with laws prohibiting sales to minors Yes

Data are collected on these activities No

Number of licensees checked for compliance by local agencies Not applicable

Number of licensees that failed local compliance checks Not applicable

Numbers pertain to the 12 months ending Not applicable

Sanctions

State collects data on fines imposed on retail establishments that furnish minors No

Number of fines imposed by the state⁴ Not applicable

Total amount in fines across all licensees Not applicable

Smallest fine imposed Not applicable

Largest fine imposed Not applicable

Numbers pertain to the 12 months ending Not applicable

<i>State collects data on license suspensions imposed on retail establishments specifically for furnishing minors</i>	No
Number of suspensions imposed by the state ⁵	Not applicable
Total days of suspensions across all licensees	Not applicable
Shortest period of suspension imposed (in days)	Not applicable
Longest period of suspension imposed (in days)	Not applicable
Numbers pertain to the 12 months ending	Not applicable
<i>State collects data on license revocations imposed on retail establishments specifically for furnishing minors</i>	No
Number of license revocations imposed ⁶	Not applicable
Numbers pertain to the 12 months ending	Not applicable

Additional Clarification

The Alcohol & Gambling Enforcement Division of the Minnesota Department of Public Safety had a federal grant to administer funds for compliance checks and to maintain records of the outcome of the checks. The funding for the program was directed elsewhere, so the information contained in prior reports is not maintained by our division. Recent bills at the Minnesota legislature specifically targeting funding for underage enforcement left the Alcohol & Gambling Enforcement Division out of the language, meaning we receive no state funding specific to enforcement/compliance issues related to underage access to alcohol.

- ¹ Or having consumed or purchased per state statutes.
- ² Underage compliance checks/decoy operations to determine whether alcohol retailers are complying with laws prohibiting sales to minors.
- ³ Excluding special licenses such as temporary, seasonal, and common carrier licenses.
- ⁴ Does not include fines imposed by local agencies.
- ⁵ Does not include suspensions imposed by local agencies.
- ⁶ Does not include revocations imposed by local agencies.

Underage Drinking Prevention Programs Operated or Funded by the State

**Planning and Implementation Programs (P&I)
(Minnesota Department of Human Services)**

Program serves specific or general population	General population
Number of youth served	Not applicable
Number of parents served	Not applicable
Number of caregivers served	Not applicable
Program has been evaluated	Yes
Evaluation report is available	Yes
URL for evaluation report:	Email: Phyllis.bengtson@state.mn.us
URL for more program information:	Email: Phyllis.bengtson@state.mn.us

Program Description: These programs are funded using SAPT Block Grant prevention setaside dollars. Each P&I program contains the following set of strategies, programs, and services.

1. Community coalitions with a primary focus on reducing youth alcohol use. Each coalition meets monthly and has a vision and mission statement and written by-laws. Each has representation from the following 14 community sectors:
 - a. Youth (18 or younger)
 - b. Parents
 - c. High-risk subpopulations
 - d. Business
 - e. Media
 - f. School
 - g. Youth-serving organization
 - h. Law enforcement
 - i. Justice/Corrections
 - j. Religious or fraternal organization

- k. Civic/volunteer group (i.e., local organizations committed to volunteering; not a coalition member designated as "volunteer")
 - l. Healthcare professional
 - m. State/local/tribal government agency with expertise in substance abuse
 - n. Other organization involved in reducing substance abuse
2. Alcohol compliance checks at every establishment that sells alcoholic beverages within each community's geographic area at least twice annually.
 3. Responsible beverage server training in each community at least twice a year.
 4. Provide Project Northland to all 6th-, 7th-, and 8th-grade students in funded communities.
 5. Provide Class Action in all high schools in the geographic area of the funded communities.
 6. Provide capacity building in the form of specific training and technical assistance around effective coalitions, data collection, use of data, developing strategic plans, evaluation, cultural competency, sustainability, and other prevention topics identified as a need by the community.
 7. Implement environmental strategies within each funded community, such as passing social host ordinances, having alcohol compliance checks routinely conducted by law enforcement, banning advertisements for alcohol at local community events.
 8. A Positive Community Norms campaign to provide information and education around the true community norms of alcohol use and related behaviors and beliefs of underage youth, of the adult community population, and of the parent population.
 9. Work with a group of youth to identify and implement environmental changes chosen by the youth as ones that will reduce youth alcohol use.

Regional Prevention Coordinators (RPCs)

Program serves specific or general population	Specific population
Number of youth served	No data
Number of parents served	No data
Number of caregivers served	No data
Program has been evaluated	Yes
Evaluation report is available	No
URL for evaluation report:	Not applicable
URL for more program information:	Email: Al.fredrickson@state.mn.us

Program Description: Minnesota is divided into seven prevention regions. Each RPC is responsible for providing technical assistance for those who request help in initiating, implementing, and sustaining ATOD prevention efforts in their region. The RPCs are trained in many aspects of community coalition work: evidence-based programming, community assessment, strategic planning, evaluation, and so on. Each RPC also provides at least one regional training on a topic determined by a training assessment survey. RPC programs are funded using SAPT Block Grant prevention funds from the required 20% setaside.

Strategic Prevention Framework State Incentive Grant (SPF SIG)

Program serves specific or general population	General population
Number of youth served	Not applicable
Number of parents served	Not applicable
Number of caregivers served	Not applicable
Program has been evaluated	Yes
Evaluation report is available	No
URL for evaluation report:	Not applicable
URL for more program information:	Not applicable

Program Description: Overview of the SPF SIG program:

- Funding from SAMHSA/CSAP
- Approximately \$2.1 million/year for 5 years (July 2009 through June 2014—85% must go to communities)
- Minnesota's no-cost extension ended on June 30, 2015
- Minnesota is part of Cohort IV nationally
- SPF SIG is a Cooperative Agreement at both state and community levels

National SPF SIG Program Goals:

- Prevent onset and reduce progression of substance abuse, including childhood and underage drinking
- Reduce substance abuse–related problems in communities
- Build prevention capacity and infrastructure at state and community levels

Summary of the No-Cost Extension:

- Continue the implementation of selected strategies
- Strengthen local capacity and prevention infrastructure for sustainability
- Lay the groundwork for the community coalitions to continue past June 30, 2015, and grant funding
- Create the Prevention Request Support Application (PRSA) to build prevention capacity among diverse populations
- Process and outcome evaluation
- Administer data collection activities to compare with baseline data

Strategic Prevention Framework Partnerships for Success Grant (SPF PFS)

Program serves specific or general population	Specific population
Number of youth served	No data
Number of parents served	No data
Number of caregivers served	No data
Program has been evaluated	Yes
Evaluation report is available	No
URL for evaluation report:	Not applicable
URL for more program information:	No data

Program Description: Overview of the SPF PFS Program:

- Funding from SAMHSA/CSAP
- Approximately \$1.6 million/year for 5 years (September 30, 2014, through September 29, 2019)—85% must go to communities
- Seven 2-year and 4-year colleges/universities funded
- Minnesota is part of Cohort IV
- SPF PFS is a Cooperation Agreement at both the state and community levels.

Equally important, the SPF PFS program promotes the alignment and leveraging of prevention resources and priorities at the federal, state, and community levels.

Summary of Phase One Work:

- Assess community readiness, prevention capacity, and local campus data
- Strengthen local capacity and prevention infrastructure
- Lay the groundwork for future prevention efforts
- Analyze campus data to better serve high-risk subpopulations and groups that require culturally specific programming
- Administer baseline data collection activities

MN Prevention Resource Center (MPRC)

Program serves specific or general population	General population
Number of youth served	Not applicable
Number of parents served	Not applicable
Number of caregivers served	Not applicable
Program has been evaluated	Yes
Evaluation report is available	No
URL for evaluation report:	Not applicable
URL for more program information:	http://www.mnprc.org

Program Description: The program is funded using SAPT Block Grant prevention setaside dollars. MPRC provides resources, information, education, support, and technical assistance to Minnesota's prevention network to prevent problems caused by alcohol, tobacco, and other drug use. This is accomplished by:

1. Providing a state-of-the-art website
2. Providing current and accurate prevention research

3. Providing FREE print materials (posters, brochures, DVDs)
4. Providing FREE and easy access to their research library
5. Providing a printed newsletter (IMPACT) twice annually to over 3,000 prevention practitioners
6. Providing an electronic news update (MNPREV) twice monthly to over 400 prevention professionals
7. Coordinating Minnesota's annual prevention conference
8. Coordinating seven Spring Forums annually (one per region) on timely and compelling prevention topics
9. Collaborating with the Alcohol and Drug Abuse Division and other state agencies to promote effective and coordinated prevention services throughout Minnesota

Additional Underage Drinking Prevention Programs Operated or Funded by the State

Program description: No data

Additional Clarification

No data

Additional Information Related to Underage Drinking Prevention Programs

State collaborates with federally recognized tribal governments in the prevention of underage drinking Yes

Description of collaboration: The Minnesota Department of Human Services, Alcohol and Drug Abuse Division, uses state-appropriated dollars to fund prevention programming on the following American Indian Tribal Reservations: Red Lake, White Earth, Leech Lake, Bois Forte, and Fond du Lac. In addition, the Division uses SAPT Block Grant dollars to fund some prevention programming in urban American Indian communities. Funding is funneled through the American Indian Program Section, a subunit within the Division. This unit functions as the conduit to the Indian tribes in Minnesota and local American Indian communities, providing training and technical assistance as requested by the tribes and American Indian Urban Prevention Programs. In addition, the Division's legislation requires it to create and maintain an American Indian Advisory Council consisting of representatives from the 11 federally recognized tribes in Minnesota, as well as Urban Prevention Programs located in Minneapolis, St. Paul, and International Falls. The advisory council advises the Division in matters related to substance abuse and addiction, treatment, and recovery services in the American Indian communities within the tribal reservations as well as local communities.

State has programs to measure and/or reduce youth exposure to alcohol advertising and marketing Yes

Description of program: No data

State has adopted or developed best practice standards for underage drinking prevention programs Yes

Agencies/organizations that established best practices standards:

Federal agency(ies): SAMHSA/CSAP Yes

Agency(ies) within your state: Minnesota Department of Human Services, Alcohol and Drug Abuse Division Yes

Nongovernmental agency(ies): Community organizations Yes

Other: Minnesota Youth Yes

Best practice standards description: Fund programs that use the following:

- Data-driven assessment and decisions
- Evidence -based
- Follow the five-step SPF process
- Include cultural competency and sustainability planning from the beginning
- Comprehensive (multiple settings)
- Localized - Community-based
- Includes a community coalition whose main focus is the reduction of underage alcohol use
- Focuses on environmental strategies
- Includes a Positive Community Norms media campaign, works to change community norms

- Includes working with a youth group to identify from their view what community changes are needed to reduce youth alcohol use and then working with youth to make those changes
- Sustained over time

Additional Clarification

For the purpose of this survey, two primary state agencies provided feedback. The first is the Minnesota Department of Human Services, Alcohol and Drug Abuse Division, which also functions as the Single State Agency (SSA) for the federal Substance Abuse Prevention and Treatment Block Grant Award. This agency reports using best practices developed from information from SAMHSA/CSAP and evaluation results from MN's Cohort-1 P&I grants, whose past 30-day youth alcohol use rate was almost 10% higher than the state average at the start of the 5-year grant, and 2 years after funding ended, were below the state average. The second is the Department of Public Safety, Alcohol and Gambling Enforcement.

State Interagency Collaboration

A state-level interagency governmental body/committee exists to coordinate or address underage drinking prevention activities No data

Committee contact information: No data

Agencies/organizations represented on the committee: No data

A website or other public source exists to describe committee activities No data

URL or other means of access: No data

Underage Drinking Reports

State has prepared a plan for preventing underage drinking in the last 3 years Not sure

Prepared by: Not applicable

Plan can be accessed via: Not applicable

State has prepared a report on preventing underage drinking in the last 3 years Not sure

Prepared by: Not applicable

Plan can be accessed via: Not applicable

Additional Clarification

No data

State Expenditures for the Prevention of Underage Drinking

Compliance checks in retail outlets:

Estimate of state funds expended Data not available

Estimate based on the 12 months ending Data not available

Checkpoints and saturation patrols:

Estimate of state funds expended Data not available

Estimate based on the 12 months ending Data not available

Community-based programs to prevent underage drinking:

Estimate of state funds expended: P&I Grant program funding for community-based programs (\$1,940,000); RPC grant program funding for community-based programs (although it covers alcohol, tobacco, and other drugs, the majority of services are alcohol related (\$715,478); MPRC funding for prevention programming, including community-based, and covers all substances (\$520,000)

Estimate based on the 12 months ending 6/30/2015

K-12 school-based programs to prevent underage drinking:

Estimate of state funds expended Data not available

Estimate based on the 12 months ending Data not available

Programs targeted to institutes of higher learning:

Estimate of state funds expended Data not available

Estimate based on the 12 months ending Data not available

Programs that target youth in the juvenile justice system:

Estimate of state funds expended Data not available

Estimate based on the 12 months ending Data not available

Programs that target youth in the child welfare system:

Estimate of state funds expended Data not available

Estimate based on the 12 months ending

Data not available

Other programs:

Programs or strategies included

No data

Estimate of state funds expended

No data

Estimate based on the 12 months ending

No data

Funds Dedicated to Underage Drinking

State derives funds dedicated to underage drinking from the following revenue streams:

Taxes

No data

Fines

No data

Fees

No data

Other

No data

Description of funding streams and how they are used:

No data

Additional Clarification

No data



Mississippi

State Population: 2,994,079

Population Ages 12–20: 371,000

	Percentage	Number
Ages 12–20		
Past-Month Alcohol Use	23.0	85,000
Past-Month Binge Alcohol Use	13.5	50,000
Ages 12–14		
Past-Month Alcohol Use	5.1	6,000
Past-Month Binge Alcohol Use	1.3	1,000
Ages 15–17		
Past-Month Alcohol Use	19	25,000
Past-Month Binge Alcohol Use	10.9	14,000
Ages 18–20		
Past-Month Alcohol Use	43.8	54,000
Past-Month Binge Alcohol Use	27.7	34,000
Alcohol-Attributable Deaths (under 21)		65
Years of Potential Life Lost (under 21)		3,926
	Percentage of All Traffic Fatalities	Number
Traffic Fatalities, 15- to 20-Year-Old Drivers with BAC > 0.01	17	15

Laws Addressing Minors in Possession of Alcohol

Underage Possession	
Is underage possession of alcoholic beverages prohibited?	Yes
Are there exceptions based on family relationships?	
• Is possession allowed if parent or guardian is present or consents?	Yes
• Is possession allowed if spouse is present or consents?	No
Is there an exception based on location?	Yes, in any private location
<i>Note: Mississippi's parent/guardian exception applies to persons at least age 18 and only for possession of light wine or beer. The location exception is not limited to persons between 18 and 21, and applies only to alcoholic beverages, not including light wine or beer.</i>	

Underage Consumption	
Is underage consumption of alcoholic beverages prohibited?	No law
Are there exceptions based on family relationships?	
• Is consumption allowed if the parent or guardian is present or consents?	N/A
• Is consumption allowed if the spouse is present or consents?	N/A
Is there an exception based on location?	N/A
<i>Note: Mississippi's parent/guardian exception applies to persons at least age 18 and only for consumption of light wine or beer.</i>	

Underage Internal Possession	
Is underage internal possession of alcoholic beverages prohibited?	No law
Are there exceptions based on family relationships?	
• Is internal possession allowed if the parent or guardian is present or consents?	N/A
• Is internal possession allowed if the spouse is present or consents?	N/A
Is there an exception based on location?	N/A

Underage Purchase and Attempted Purchase	
Is the purchase of alcoholic beverages prohibited?	Yes
May youth purchase for law enforcement purposes?	No

False Identification for Obtaining Alcohol	
Provisions Targeting Minors	
Is the use of false identification (ID) prohibited?	Yes
Does the use of a false ID result in minor's driver's license suspension?	Yes, through a judicial process
Provisions Targeting Suppliers	
Is the lending or transferring or selling of a false ID prohibited?	No
Is the production of a false ID in the context of underage alcohol sales specifically prohibited?	No
Retailer Support Provisions	
Is there an incentive for the retailer to use electronic scanners for information digitally encoded on valid IDs?	No
Are state driver's licenses for persons under 21 easily distinguishable from licenses for persons 21 and over?	No

May retailers seize apparently false IDs without fear of prosecution even if the ID is ultimately deemed valid?	No
Does an affirmative defense exist for the retailer?	Yes
<ul style="list-style-type: none"> Is it a specific affirmative defense (retailer reasonably believed ID was valid after examining it)? 	Yes
<ul style="list-style-type: none"> Is it a general affirmative defense (retailer reasonably believed purchaser was over 21)? 	No
Does the retailer have the right to sue the minor for use of a false ID?	No
May a retailer detain a minor who used a false ID?	No
<i>Note:</i> Although it appears the Mississippi Department of Public Safety currently issues distinctive licenses for persons under 21, no codified statute or regulation requiring issuance of such licenses has been found.	

Laws Targeting Underage Drinking and Driving

Youth Blood Alcohol Concentration Limits (Underage Operators of Noncommercial Motor Vehicles)	
What is the maximum blood alcohol concentration (BAC) limit for an underage driver of a motor vehicle?	0.02
Does a BAC level in excess of limit automatically establish a violation (per se violation)?	Yes
What is the minimum age to which the limit applies?	0
What is the maximum age to which the limit applies?	21

MS-Loss of Driving Privileges for Alcohol Violations by Minors (“Use/Lose” Laws)	
Is there a “use/lose” law that suspends or revokes a minor’s driving privileges for alcohol violations?	Yes
What types of violation lead to license suspension or revocation?	
<ul style="list-style-type: none"> Purchase of alcohol 	Yes
<ul style="list-style-type: none"> Possession of alcohol 	Yes
<ul style="list-style-type: none"> Consumption of alcohol 	No
The law applies to people under what age?	21
Is suspension or revocation mandatory or discretionary?	Mandatory
What is the length of suspension/revocation?	
Minimum number of days	Not specified
Maximum number of days	90

Graduated Driver’s Licenses	
Learner Stage	
What is the minimum age for permit to drive with parents, guardians or other adults (other than instructors)?	15
What is the minimum number of months driver must hold learner permit before advancing to intermediate stage?	12
What is the minimum number of hours of driving with parents, guardians, or adults before advancing to intermediate stage?	0
Intermediate Stage	
What is the minimum age for driving without adult supervision?	16 years
For night driving, when does adult supervision requirement begin?	10 pm Sun–Thur; 11:30 pm Fri–Sat

Can law enforcement stop a driver for night-driving violation as a primary offense?	Yes – Officer may stop driver for night-driving violation
Are there restrictions on passengers?	No
Can law enforcement stop driver for violation of passenger restrictions as a primary offense?	No – Officer must stop driver for another offense to cite for passenger restriction violation
License Stage	
What is the minimum age for full license privileges and lifting of restrictions?	16 years, 6 months

Laws Targeting Alcohol Suppliers

Furnishing Alcohol to Minors	
Is furnishing of alcoholic beverages to minors prohibited?	Yes
Are there exceptions based on family relationships?	
• Is furnishing allowed if the parent or guardian supplies the alcohol?	Yes
• Is furnishing allowed if the spouse supplies the alcohol?	Yes
Is there an exception based on location?	No
Affirmative Defense for Sellers and Licensees	
Does law require seller/licensee to be exonerated of furnishing to a minor if the minor has not been charged?	No
<i>Note: Mississippi's parent/guardian and spouse exceptions apply to persons at least age 18 and only for furnishing of light wine or beer.</i>	

Compliance Check Protocols	
Does the state have a written protocol for when an underage decoy is used in compliance checks?	Yes
What is the minimum age a decoy may be to participate in a compliance check?	16
What is the maximum age a decoy may be to participate in a compliance check?	19
What are the decoy's appearance requirements?	Male: No facial hair; youthful looking
Does decoy carry ID during compliance check?	Not specified
May decoy verbally exaggerate his or her actual age?	Prohibited
Is decoy training mandated, recommended, prohibited, or not specified?	Not specified

Penalty Guidelines for Sales to Minors	
Are there written guidelines for penalties imposed on retailers for furnishing to a minor?	Yes
What is the time period for defining second, third, and subsequent offenses?	Not specified
What is the penalty for the first offense?	\$500 to \$1,000 fine
What is the penalty for the second offense?	\$1,000 to \$2,000 fine plus license revocation
What is the penalty for the third offense?	Not specified
What is the penalty for the fourth offense?	Not specified

Responsible Beverage Service (RBS)	
Is there a state law pertaining to beverage service training?	No law
If training is mandatory, who must participate?	N/A
If training is voluntary, which of the following incentives are offered?	
• Defense in dram shop liability lawsuits	N/A
• Discounts in dram shop liability insurance, license fees, or other	N/A
• Mitigation of fines or other administrative penalties for sales to minors or intoxicated persons	N/A
• Protection against license revocation for sales to minors or sales to intoxicated persons	N/A
Does the RBS law apply to on-premises establishments (such as bars and restaurants) or off-premises establishments (such as liquor stores)?	N/A
Does the RBS law apply to new or existing licensees?	N/A

Minimum Age for Sellers of Alcohol – Off-Premises (i.e., Liquor Stores)	
What is the minimum age requirement for off-premises retail establishments?	
Beer	21
Wine	21
Spirits	21
Does a manager or supervisor have to be present?	No

Minimum Age for Alcohol Servers and Bartenders – On-Premises (i.e., Restaurants and Bars)	
What is the minimum age requirement for servers in on-premises establishments?	
Beer	18
Wine	18
Spirits	18
What is the minimum age requirement for bartenders in on-premises establishments?	
Beer	21
Wine	21
Spirits	21
Does a manager or supervisor have to be present?	No

Alcohol Outlet Siting Near Schools and Universities	
Colleges and Universities	
Is there a distance requirement for off-premises outlets (i.e., liquor stores)?	Yes – No permits on campus
Is there a distance requirement for on-premises outlets (i.e., restaurants and bars)?	Yes – No permits on campus
To which alcohol products does requirement apply?	Wine, spirits (“alcoholic beverage” does not include wine containing 6.25% ABV or less)
Primary and Secondary Schools	
Is there a distance requirement for off-premises outlets (i.e., liquor stores)?	Yes, within 400 feet; within 100 feet in areas zoned commercial or industrial
Is there a distance requirement for on-premises outlets (i.e., restaurants and bars)?	Yes, within 400 feet; within 100 feet in areas zoned commercial or industrial

To which alcohol products does requirement apply?	Wine, spirits ("alcoholic beverage" does not include wine containing 6.25% ABV or less)
<i>Note:</i> Exceptions are (1) bed and breakfast inn or historic district listed in the National Register of Historic Places; (2) qualified resort area located in a municipality with population more than 100,000.	

Dram Shop Liability	
Does a statute create dram shop liability?	No
Does the statute limit damages that may be recovered?	N/A
Does the statute limit who may be sued?	N/A
Does the statute limit elements or standards of proof?	N/A
Does common law dram shop liability exist?	Yes

Social Host Liability	
Does a statute create social host liability?	No
Does the statute limit damages that may be recovered?	N/A
Does the statute limit who may be sued?	N/A
Does the statute limit elements or standards of proof?	N/A
Does common law social host liability exist?	No

Prohibitions Against Hosting Underage Drinking Parties	
Does a statute prohibit hosting underage drinking parties?	Yes
Is the statute specific to underage parties, or a general prohibition against permitting underage drinking on the property?	Specific
What action by underage guest triggers a violation?	Possession/Consumption
Property type covered by the law?	Residential/Outdoor/Other
What level of knowledge by the host is required?	Knowledge: Host must have actual knowledge of party
Does host's preventive action protect him/her from being held liable?	No
Are there any exceptions for underage guests?	Yes – Family members

Retailer Interstate Shipments of Alcohol	
Are out-of-state retailers prohibited from sending interstate shipments to in-state consumers?	
Beer	Yes
Wine	Yes
Spirits	Yes

Direct Shipments/Sales	
May alcohol producers ship directly to consumers?	No
What alcohol types may be shipped?	N/A
Must purchaser make mandatory trip to producer before delivery is authorized?	N/A
Age verification requirements	
Must the producer/shipper verify purchaser's age before sale?	N/A
Must the common carrier (deliverer) verify age of recipients?	N/A
State approval/permit requirements	
Must the producer/manufacture obtain state license or permit?	N/A

Must the common carrier (deliverer) be approved by a state agency?	N/A
Recording/reporting requirements	
Must the producer/manufacturer record/report purchaser's name?	N/A
Must the common carrier (deliverer) record/report recipient's name?	N/A
Shipping label requirements	
Must the label state "Package contains alcohol"?	N/A
Must the label state "Recipient must be 21 years old"?	N/A

Keg Registration	
How is a keg defined (in gallons)?	No law
Prohibitions	
Is it illegal to possess an unregistered or unlabeled keg and if so, what is the penalty?	No law
Is it illegal to destroy the label on a keg, and if so, what is the penalty?	No law
What purchaser information is collected?	
Must the retailer collect the name and address?	No law
Must the retailer collect the ID number, name and address on license or other government information?	No law
Must the retailer collect the address at which keg will be consumed?	No law
Must warning information be given to purchaser?	No law
Is a deposit required?	No law
Does law cover disposable kegs?	No law

Home Delivery	
Is home delivery of alcohol permitted?	
Beer	No law
Wine	No law
Spirits	No law

High-Proof Grain Alcohol Beverages	
Are there restrictions on the sale of high-proof grain alcohol beverages?	No. However, Mississippi is a control state, and control states may impose additional restrictions on the sale of products that are not reflected in statute or regulation.
Are restrictions based on Alcohol by Volume (ABV)?	N/A
Are there exceptions to restrictions?	N/A

Laws Affecting Alcohol Pricing

Alcohol Taxes	
Beer	
Control system for beer?	No
Specific excise tax per gallon for 5% alcohol beer	\$0.43
Ad valorem excise tax (for on-premises sales) on total receipts for 5% alcohol beer	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No

• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Ad valorem excise tax (for off-premises sales) on total receipts for 5% alcohol beer	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Additional taxes for 3.2–6% alcohol beer (if applicable)	
Wine	
Control system for wine?	Yes
Specific excise tax per gallon for 12% alcohol wine	
Ad valorem excise tax (for on-premises sales) on total receipts for 12% alcohol wine	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Ad valorem excise tax (for off-premises sales) on total receipts for 12% alcohol wine	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Additional taxes for 6–14% alcohol wine (if applicable)	
Spirits	
Control system for spirits?	Yes
Specific excise tax per gallon for 40% alcohol spirits	
Ad valorem excise tax (for on-premises sales) on total receipts for 40% alcohol spirits	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Ad valorem excise tax (for off-premises sales) on total receipts for 40% alcohol spirits	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant

• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Additional taxes for 15–50% alcohol spirits (if applicable)	

Low-Price, High-Volume Drink Specials	
What types of drink specials are prohibited by on-premises retailers?	
Free beverages	No
Multiple servings at one time	No
Multiple servings for same price as single serving	No
Reduced price for a specified day or time (i.e., happy hours)	No
Unlimited beverages for fixed price	No
Increased volume without increase in price	No

Wholesaler Pricing Restrictions	
Beer	
Are volume discounts to retailers allowed?	No law
Must wholesalers establish a minimum markup or maximum discount for each product sold to retailers?	No law
Must wholesalers publicly post and hold (i.e., not reduce) prices for a set period of time?	No law
Is wholesaler permitted to extend credit to retailer and if so, what is the maximum time period?	No
Wine	
Are volume discounts to retailers allowed?	N/A
Must wholesalers establish a minimum markup or maximum discount for each product sold to retailers?	N/A
Must wholesalers publicly post and hold (i.e., not reduce) prices for a set period of time?	N/A
Is wholesaler permitted to extend credit to retailer and if so, what is the maximum time period?	N/A
Spirits	
Are volume discounts to retailers allowed?	N/A
Must wholesalers establish a minimum markup or maximum discount for each product sold to retailers?	N/A
Must wholesalers publicly post and hold (i.e., not reduce) prices for a set period of time?	N/A
Is wholesaler permitted to extend credit to retailer and if so, what is the maximum time period?	N/A

Mississippi State Survey Responses

State Agency Information	
<i>Agency with primary responsibility for enforcing underage drinking laws:</i>	
State of Mississippi Department of Revenue, Office of Alcohol Beverage Control Enforcement	
Enforcement Strategies	
<i>State law enforcement agencies use:</i>	
Cops in Shops	Yes
Shoulder Tap Operations	No
Party Patrol Operations or Programs	Yes
Underage Alcohol-Related Fatality Investigations	Yes
<i>Local law enforcement agencies use:</i>	
Cops in Shops	No
Shoulder Tap Operations	No
Party Patrol Operations or Programs	No
Underage Alcohol-Related Fatality Investigations	No
<i>State has a program to investigate and enforce direct sales/shipment laws</i>	Yes
Primary state agency responsible for enforcing laws addressing direct sales/shipments of alcohol to minors	Mississippi Dept. of Revenue, Office of Alcohol Beverage Control Enforcement
Such laws are also enforced by local law enforcement agencies	No
Enforcement Statistics	
<i>State collects data on the number of minors found in possession</i>	No
Number of minors found in possession by state law enforcement agencies	Not applicable
Number pertains to the 12 months ending	Not applicable
Data include arrests/citations issued by local law enforcement agencies	Not applicable
<i>State conducts underage compliance checks/decoy operations² to determine if alcohol retailers are complying with laws prohibiting sales to minors</i>	Yes
Data are collected on these activities	Yes
Number of retail licensees in state ³	6,700 (beer and liquor retailers) approx.
Number of licensees checked for compliance by state agencies (including random checks)	78
Number of licensees that failed state compliance checks	78
Numbers pertain to the 12 months ending	12/31/2014
Compliance checks/decoy operations conducted at on-sale, off-sale, or both retail establishments	Both on- and off-sale establishments
<i>State conducts random underage compliance checks/decoy operations</i>	No
Number of licensees subject to random state compliance checks/decoy operations	Not applicable
Number of licensees that failed random state compliance checks	Not applicable
<i>Local agencies conduct underage compliance checks/decoy operations to determine if alcohol retailers are complying with laws prohibiting sales to minors</i>	Yes
Data are collected on these activities	No
Number of licensees checked for compliance by local agencies	Unknown
Number of licensees that failed local compliance checks	Unknown
Numbers pertain to the 12 months ending	12/31/2014
Sanctions	
<i>State collects data on fines imposed on retail establishments that furnish minors</i>	No
Number of fines imposed by the state ⁴	N/A – Suspensions only 0

Total amount in fines across all licensees	Not applicable
Smallest fine imposed	Not applicable
Largest fine imposed	Not applicable
Numbers pertain to the 12 months ending	12/31/2014
<i>State collects data on license suspensions imposed on retail establishments specifically for furnishing minors</i>	
	Yes
Number of suspensions imposed by the state ⁵	26
Total days of suspensions across all licensees	2
Shortest period of suspension imposed (in days)	7
Longest period of suspension imposed (in days)	7
Numbers pertain to the 12 months ending	12/31/2013
<i>State collects data on license revocations imposed on retail establishments specifically for furnishing minors</i>	
	Yes
Number of license revocations imposed ⁶	0
Numbers pertain to the 12 months ending	12/31/2013

Additional Clarification

No data

¹ Or having consumed or purchased per state statutes.

² Underage compliance checks/decoy operations to determine whether alcohol retailers are complying with laws prohibiting sales to minors.

³ Excluding special licenses such as temporary, seasonal, and common carrier licenses.

⁴ Does not include fines imposed by local agencies.

⁵ Does not include suspensions imposed by local agencies.

⁶ Does not include revocations imposed by local agencies.

Underage Drinking Prevention Programs Operated or Funded by the State

Region 1—Community Mental Health Center (CMHC)

Program serves specific or general population	General population
Number of youth served	850
Number of parents served	200
Number of caregivers served	No data
Program has been evaluated	No
Evaluation report is available	Not applicable
URL for evaluation report:	Not applicable
URL for more program information:	No data

Program Description: The Region 1 CMHC utilizes All Stars, Project Towards No Drug Use, Life Skills, and Project Alert. All of these curriculums focus on motivating nonuse of alcohol and drugs. They also teach refusal and resistance skills.

Region 2—Community Mental Health Center

Program serves specific or general population	Specific population
Number of youth served	341
Number of parents served	47
Number of caregivers served	11
Program has been evaluated	No
Evaluation report is available	Not applicable
URL for evaluation report:	Not applicable
URL for more program information:	
http://www.commuunicarems.org/preventionhome.html	

Program Description: The Region 2 CMHC utilizes PATHS, Class Action, and Too Good For Drugs evidence-based programs. These are all designed to delay the onset of alcohol use, reduce use among youth who have already tried alcohol, and limit the number of alcohol-related problems. They also target major social and psychological factors that provide initiation of substance use and other risky behaviors.

Region 3—Community Mental Health Center

Program serves specific or general population	Specific population
Number of youth served	875
Number of parents served	875
Number of caregivers served	No
Program has been evaluated	No
Evaluation report is available	Not applicable
URL for evaluation report:	Not applicable
URL for more program information:	http://www.lifeskillstraining.com

Program Description: The Region 3 CMHC utilizes Life Skills and Protecting You/Protecting Me evidence-based programs. Life skills is a school-based prevention program for youth grades 7–12 (ages 13–18). This program helps students gain the skills and confidence to make healthy decisions, strengthen relationships with family members and peers, and resist the pressure to use drugs, tobacco, and alcohol. Protecting You/Protecting Me is an alcohol use prevention curriculum for children in grades 1–5 that gives students essential knowledge and skills that increase their non-use attitudes and decisions, increase their intentions not to ride with an impaired driver, and improve their ability to protect themselves when they have no option but to ride with a driver who is not alcohol free.

Region 4—Community Mental Health Center

Program serves specific or general population	Specific population
Number of youth served	335
Number of parents served	Not applicable
Number of caregivers served	Not applicable
Program has been evaluated	No
Evaluation report is available	Not applicable
URL for evaluation report:	Not applicable
URL for more program information:	http://www.lifeskillstraining.com

Program Description: The Region 4 CMHC utilizes the Life Skills training program. This is a school-based prevention program for youth in grades 7–12 (ages 13–18). This program helps students gain the skills and confidence to make healthy decisions, strengthen relationships with family members and peers, and resist the pressure to use alcohol, tobacco, and drugs.

Region 6—Community Mental Health Center

Program serves specific or general population	Specific population
Number of youth served	3,600
Number of parents served	200
Number of caregivers served	60
Program has been evaluated	No
Evaluation report is available	Not applicable
URL for evaluation report:	Not Applicable
URL for more program information:	No data

Program Description: The Region 6 CMHC utilizes the Creating Lasting Family Connections program, a school-based program for youth ages 5–11 and 6–18. It is a family-focused program that aims to build resiliency and reduce the frequency of alcohol and other drug use.

Region 7—Community Mental Health Center

Program serves specific or general population	Specific population
Number of youth served	900
Number of parents served	400
Number of caregivers served	Not applicable
Program has been evaluated	No data
Evaluation report is available	No data
URL for evaluation report:	No data
URL for more program information:	http://www.projectalert.com

Program Description: The Region 7 CMHC utilizes Project Alert, a substance abuse prevention program for middle school students. It address the pro-drug mindset of today's teens and effectively increases the likelihood to remain drug free.

Region 12—Pine Belt Healthcare Resources

Program serves specific or general population	Specific population
Number of youth served	3,000
Number of parents served	1,050
Number of caregivers served	1,050
Program has been evaluated	No
Evaluation report is available	Not applicable
URL for evaluation report:	Not applicable
URL for more program information:	No data

Program Description: Pine Belt Healthcare Resources prevention services utilize Project Alert and Project Northland for their evidence-based curricula. These are both school-based prevention programs designed to delay the age when adolescents begin drinking and reduce alcohol use among those already drinking. They both target middle school youth (grades 6–8).

Region 14—Singing River Services

Program serves specific or general population	General population
Number of youth served	5,500
Number of parents served	600
Number of caregivers served	350
Program has been evaluated	No
Evaluation report is available	Not applicable
URL for evaluation report:	Not applicable
URL for more program information:	No data

Program Description: Region 14 utilizes Project Northland by Hazelden Publishing, a nationally recognized alcohol use prevention program. The curriculum invites participation and experiential learning at home, in the classroom, and in the local community. Parents and caregivers are enlisted to support no-use, alcohol-free messages.

Region 15—Warren Yazoo

Program serves specific or general population	Specific population
Number of youth served	Not applicable
Number of parents served	Not applicable
Number of caregivers served	Not applicable
Program has been evaluated	No
Evaluation report is available	Not applicable
URL for evaluation report:	Not applicable
URL for more program information:	Not applicable

Program Description: Region 15 utilizes the Too Good for Drugs/Too Good for Violence series. Too Good for Drugs is a school-based prevention program for K5–12th grades that builds on students’ resiliency by teaching them how to be socially competent and autonomous problem solvers. Too Good for Violence is a school-based violence prevention and charter education program for students in K5–12th grades. It is designed to enhance pro-social behaviors and skills as well as improve protective factors related to conflict and violence.

Mississippi Band Of Choctaw Indians, Choctaw Health Department

Program serves specific or general population	Specific population
Number of youth served	5,400
Number of parents served	0
Number of caregivers served	0
Program has been evaluated	Yes
Evaluation report is available	No
URL for evaluation report:	Not applicable
URL for more program information:	No data

Program Description: The Mississippi Band of Choctaw Indians utilizes the Reconnecting Youth (RY) Prevention Program. This is a school-based prevention program for youth in grades 9–12 (ages 14–18) who are at risk for school dropout and who may exhibit multiple behavior problems such as substance abuse, aggression, depression, or a higher suicide potential.

Mallory Community Health Center (TOP-Teens/Tots program)

Program serves specific or general population	Specific population
Number of youth served	100
Number of parents served	Not applicable
Number of caregivers served	Not applicable
Program has been evaluated	No
Evaluation report is available	Not applicable
URL for evaluation report:	Not applicable
URL for more program information:	No data

Program Description: The TOP-Teens/Tots (Taking Opportunity in Prevention-Teens/Tots) program is a substance abuse prevention program that targets youth ages 5–18. The program uses evidence-based strategies to impact positive changes in targeted youth and their families. The program promotes constructive lifestyles and norms that discourage alcohol, tobacco, and other drug use.

Dream, Inc., of Jackson

Program serves specific or general population	General population
Number of youth served	Not applicable
Number of parents served	Not applicable
Number of caregivers served	Not applicable
Program has been evaluated	No
Evaluation report is available	Not applicable
URL for evaluation report:	Not applicable
URL for more program information:	Not applicable

Program Description: Drug-Free Resources for Education and Alternatives in Mississippi (Dream, Inc.) of Jackson provides evidenced-based programs (EBPs) in their RADAR Center for prevention specialists to review before purchase. They also host trainings that reference the use of EBPs, but do not provide EBPs to schools.

Alcorn State University Prevention Program (ASAPP)

Program serves specific or general population	Specific population
Number of youth served	100
Number of parents served	Not applicable
Number of caregivers served	Not applicable
Program has been evaluated	No
Evaluation report is available	Not applicable
URL for evaluation report:	Not applicable
URL for more program information:	Not applicable

Program Description: ASAPP currently utilizes both Project Alert and Training for Intervention Procedures (TIPS). Both prevention programs seek to provide skills-based training that is designed to prevent intoxication, underage drinking, and drunk driving.

Dream, Inc., of Hattiesburg

Program serves specific or general population	General population
Number of youth served	Not applicable
Number of parents served	Not applicable
Number of caregivers served	Not applicable
Program has been evaluated	No
Evaluation report is available	Not applicable
URL for evaluation report:	Not applicable
URL for more program information:	No data

Program Description: Dream, Inc., of Hattiesburg provides prevention programs that seek to reduce teen access to alcohol by changing community policies and practices. The programs include Positive Actions, Project Towards No Drugs, Project Northland, Life Skills, Class Action, and Communities Mobilizing for Change on Alcohol (CMCA). CMCA seeks both to limit youths' access to alcohol and to communicate a clear message to the community that underage drinking is inappropriate and unacceptable. It employs a range of social-organizing techniques to address legal, institutional, social, and health issues related to underage drinking. The goals of these organizing efforts are to eliminate illegal alcohol sales to minors, obstruct the provision of alcohol to youth, and ultimately reduce alcohol use by teens

Additional Underage Drinking Prevention Programs Operated or Funded by the State

Program description: No data

Additional Clarification

No data

Additional Information Related to Underage Drinking Prevention Programs

State collaborates with federally recognized tribal governments in the prevention of underage drinking Yes

Description of collaboration: Additional clarification: Mississippians Advocating Against Unhealthy Decisions (MAAUD)

Program Description: MAAUD is a task force designed to improve the health and well-being of youth in Mississippi by preventing and reducing unhealthy/risky behaviors. MAAUD is represented by several agencies/organizations:

- Mississippi Department of Mental Health
- Mississippi Department of Public Safety
- Mississippi Department of Education
- DREAM of Hattiesburg
- DREAM of Jackson
- Mississippi National Guard
- National Council on Alcoholism & Drug Dependence

The Mississippi Department of Mental Health certifies and funds the Mississippi Band of Choctaw Indians to provide prevention services within their community.

State has programs to measure and/or reduce youth exposure to alcohol advertising and marketing Yes

Description of program: The Mississippi Prevention Partnership for Success (MPP) Grant and MAAUD strive to improve the health and well-being of youth in Mississippi by preventing and reducing unhealthy/risky behaviors. Members include representatives from state and local agencies with strong participation from local coalitions and organizations across the state. Both entities strive to reduce unhealthy decisions in Mississippi through social media, community action, public policy, education, and advocacy. The goals include the following:

- Engage youth in local prevention awareness actions
- Work in partnership with businesses in the community
- Cooperate with state government and local enforcement
- Put youth-friendly programs into communities where prevention awareness counts most

State has adopted or developed best practice standards for underage drinking prevention programs Yes

Agencies/organizations that established best practices standards:

- Federal agency: SAMHSA (CSAP; Project Officer, Kevin Chapman) Yes
- Agency within your state: MS Department of Mental Health Yes
- Nongovernmental agencies No
- Other: MAAUD, 14 Community Mental Health Centers, Free-Standing Prevention Programs Yes

Best practice standards description: Mississippi works closely with SAMHSA-CSAP, a massively funded federal agency that promotes the reduction of consumption approach to reduce alcohol problems: "Less Alcohol Is Always Still Too Much." The Mississippi Department of Mental Health administers the public system of alcohol and drug prevention and treatment services in Mississippi through the Bureau of Alcohol & Drug Services. These services

are provided through a statewide network, which includes state-operated facilities, regional community mental health centers, and other nonprofit community-based programs.

Additional Clarification

All necessary information has been reported.

State Interagency Collaboration

A state-level interagency governmental body/committee exists to coordinate or address underage drinking prevention activities Yes

Committee contact information:

Name: Daisy Carter
 Email: daisy@ncaddms.org
 Address: 875 Northpark Drive, Suite 600, Ridgeland, MS 39157
 Phone: 601-899-5880

Agencies/organizations represented on the committee:

Community Striving to Prevent Underage Drinking
 Gateway MAP Coalition
 Gulf Coast Substance Abuse Task Force
 MS Underage Drinking Prevention Coalition of Hinds County
 Make A Promise Coalition for a Drug-Free Warren County
 MS Underage Drinking Prevention Coalition of Madison & Rankin Counties
 MS Southern Coalition
 Warren County Underage Drinking Coalition
 Dream Community Planning Coalition
 Gulf Coast Mental Health
 Jackson County Children's Services Coalition
 MS State Legislature
 MADD
 Metro Jackson CPC
 MS Army National Guard
 National Council on Alcoholism and Drug Dependence

A website or other public source exists to describe committee activities Yes

URL or other means of access: <http://www.maaud.org>

Underage Drinking Reports

State has prepared a plan for preventing underage drinking in the last 3 years Yes

Prepared by: Mississippi Department of Mental Health

Plan can be accessed via: <http://www.dmh.ms.gov>

State has prepared a report on preventing underage drinking in the last 3 years No

Prepared by: Not applicable

Plan can be accessed via: Not applicable

Additional Clarification

No data

State Expenditures for the Prevention of Underage Drinking

Compliance checks in retail outlets:

Estimate of state funds expended No data available

Estimate based on the 12 months ending No data

Checkpoints and saturation patrols:

Estimate of state funds expended Data not available

Estimate based on the 12 months ending Data not available

Community-based programs to prevent underage drinking:

Estimate of state funds expended Mississippi receives no prevention funding from the state.

Estimate based on the 12 months ending 6/30/2014

<i>K-12 school-based programs to prevent underage drinking:</i>	
Estimate of state funds expended	\$0
Estimate based on the 12 months ending	6/30/2014
<i>Programs targeted to institutes of higher learning:</i>	
Estimate of state funds expended	\$0
Estimate based on the 12 months ending	6/30/2014
<i>Programs that target youth in the juvenile justice system:</i>	
Estimate of state funds expended	\$0
Estimate based on the 12 months ending	6/30/2014
<i>Programs that target youth in the child welfare system:</i>	
Estimate of state funds expended	\$0
Estimate based on the 12 months ending	6/30/2014
<i>Other programs:</i>	
Programs or strategies included	Not applicable
Estimate of state funds expended	\$0
Estimate based on the 12 months ending	6/30/2014

Funds Dedicated to Underage Drinking

<i>State derives funds dedicated to underage drinking from the following revenue streams:</i>	
Taxes	No
Fines	No
Fees	No
Other	Not applicable
<i>Description of funding streams and how they are used:</i>	Not applicable

Additional Clarification

No data



Missouri

State Population: 6,063,589

Population Ages 12–20: 706,000

	Percentage	Number
Ages 12–20		
Past-Month Alcohol Use	21.9	155,000
Past-Month Binge Alcohol Use	14.0	99,000
Ages 12–14		
Past-Month Alcohol Use	3.8	9,000
Past-Month Binge Alcohol Use	2.2	5,000
Ages 15–17		
Past-Month Alcohol Use	19.8	50,000
Past-Month Binge Alcohol Use	11.5	29,000
Ages 18–20		
Past-Month Alcohol Use	41.3	96,000
Past-Month Binge Alcohol Use	27.9	65,000
Alcohol-Attributable Deaths (under 21)		116
Years of Potential Life Lost (under 21)		7,008
	Percentage of All Traffic Fatalities	Number
Traffic Fatalities, 15- to 20-Year-Old Drivers with BAC > 0.01	14	16

Laws Addressing Minors in Possession of Alcohol

Underage Possession	
Is underage possession of alcoholic beverages prohibited?	Yes
Are there exceptions based on family relationships?	
• Is possession allowed if parent or guardian is present or consents?	No
• Is possession allowed if spouse is present or consents?	No
Is there an exception based on location?	No

Underage Consumption	
Is underage consumption of alcoholic beverages prohibited?	No law
Are there exceptions based on family relationships?	
• Is consumption allowed if the parent or guardian is present or consents?	N/A
• Is consumption allowed if the spouse is present or consents?	N/A
Is there an exception based on location?	N/A

Underage Internal Possession	
Is underage internal possession of alcoholic beverages prohibited?	Yes
Are there exceptions based on family relationships?	
• Is internal possession allowed if the parent or guardian is present or consents?	No
• Is internal possession allowed if the spouse is present or consents?	No
Is there an exception based on location?	No

Underage Purchase and Attempted Purchase	
Is the purchase of alcoholic beverages prohibited?	Yes
May youth purchase for law enforcement purposes?	Yes

False Identification for Obtaining Alcohol	
Provisions Targeting Minors	
Is the use of false identification (ID) prohibited?	Yes
Does the use of a false ID result in minor’s driver’s license suspension?	Yes, through a judicial process
Provisions Targeting Suppliers	
Is the lending or transferring or selling of a false ID prohibited?	Yes
Is the production of a false ID in the context of underage alcohol sales specifically prohibited?	Yes
Retailer Support Provisions	
Is there an incentive for the retailer to use electronic scanners for information digitally encoded on valid IDs?	No
Are state driver’s licenses for persons under 21 easily distinguishable from licenses for persons 21 and over?	Yes
May retailers seize apparently false IDs without fear of prosecution even if the ID is ultimately deemed valid?	No
Does an affirmative defense exist for the retailer?	Yes
• Is it a specific affirmative defense (retailer reasonably believed ID was valid after examining it)?	Yes

• Is it a general affirmative defense (retailer reasonably believed purchaser was over 21)?	No
Does the retailer have the right to sue the minor for use of a false ID?	No
May a retailer detain a minor who used a false ID?	No

Laws Targeting Underage Drinking and Driving

Youth Blood Alcohol Concentration Limits (Underage Operators of Noncommercial Motor Vehicles)	
What is the maximum blood alcohol concentration (BAC) limit for an underage driver of a motor vehicle?	0.02
Does a BAC level in excess of limit automatically establish a violation (per se violation)?	Yes
What is the minimum age to which the limit applies?	0
What is the maximum age to which the limit applies?	21

Loss of Driving Privileges for Alcohol Violations by Minors (“Use/Lose” Laws)	
Is there a “use/lose” law that suspends or revokes a minor’s driving privileges for alcohol violations?	Yes
What types of violation lead to license suspension or revocation?	
• Purchase of alcohol	Yes
• Possession of alcohol	Yes
• Consumption of alcohol	No
The law applies to people under what age?	21
Is suspension or revocation mandatory or discretionary?	Mandatory
What is the length of suspension/revocation?	
Minimum number of days	30
Maximum number of days	30
<i>Note:</i> Although Missouri does not authorize a use/lose penalty for all underage consumption, the mandatory license sanction is imposed on an underage person who “has a detectable blood alcohol content of more than two-hundredths of one percent or more by weight of alcohol in such person's blood.”	

Graduated Driver’s Licenses	
Learner Stage	
What is the minimum age for permit to drive with parents, guardians or other adults (other than instructors)?	15
What is the minimum number of months driver must hold learner permit before advancing to intermediate stage?	6
What is the minimum number of hours of driving with parents, guardians, or adults before advancing to intermediate stage?	40 (10 of which must be at night)
Intermediate Stage	
What is the minimum age for driving without adult supervision?	16
For night driving, when does adult supervision requirement begin?	1 am
Can law enforcement stop a driver for night-driving violation as a primary offense?	Yes – Officer may stop driver for night-driving violation
Are there restrictions on passengers?	Yes – First 6 months, no more than one passenger under 19 who is not

	an immediate family member. After 6 months, no more than three passengers under 19 who are not immediate family members.
Can law enforcement stop driver for violation of passenger restrictions as a primary offense?	Yes – Officer may stop driver for passenger restrictions violation
License Stage	
What is the minimum age for full license privileges and lifting of restrictions?	17 years, 11 months

Laws Targeting Alcohol Suppliers

Furnishing Alcohol to Minors	
Is furnishing of alcoholic beverages to minors prohibited?	Yes
Are there exceptions based on family relationships?	
• Is furnishing allowed if the parent or guardian supplies the alcohol?	Yes
• Is furnishing allowed if the spouse supplies the alcohol?	No
Is there an exception based on location?	No
Affirmative Defense for Sellers and Licensees	
Does law require seller/licensee to be exonerated of furnishing to a minor if the minor has not been charged?	No

Compliance Check Protocols	
Does the state have a written protocol for when an underage decoy is used in compliance checks?	No data
What is the minimum age a decoy may be to participate in a compliance check?	N/A
What is the maximum age a decoy may be to participate in a compliance check?	N/A
What are the decoy’s appearance requirements?	N/A
Does decoy carry ID during compliance check?	N/A
May decoy verbally exaggerate his or her actual age?	N/A
Is decoy training mandated, recommended, prohibited, or not specified?	N/A

Penalty Guidelines for Sales to Minors	
Are there written guidelines for penalties imposed on retailers for furnishing to a minor?	No data
What is the time period for defining second, third, and subsequent offenses?	N/A
What is the penalty for the first offense?	N/A
What is the penalty for the second offense?	N/A
What is the penalty for the third offense?	N/A
What is the penalty for the fourth offense?	N/A

Responsible Beverage Service (RBS)	
Is there a state law pertaining to beverage service training?	No law
If training is mandatory, who must participate?	N/A
If training is voluntary, which of the following incentives are offered?	
• Defense in dram shop liability lawsuits	N/A
• Discounts in dram shop liability insurance, license fees, or other	N/A

• Mitigation of fines or other administrative penalties for sales to minors or intoxicated persons	N/A
• Protection against license revocation for sales to minors or sales to intoxicated persons	N/A
Does the RBS law apply to on-premises establishments (such as bars and restaurants) or off-premises establishments (such as liquor stores)?	N/A
Does the RBS law apply to new or existing licensees?	N/A

Minimum Age for Sellers of Alcohol – Off-Premises (i.e., Liquor Stores)	
What is the minimum age requirement for off-premises retail establishments?	
Beer	18
Wine	18
Spirits	18
Does a manager or supervisor have to be present?	Yes

Minimum Age for Alcohol Servers and Bartenders – On-Premises (i.e., Restaurants and Bars)	
What is the minimum age requirement for servers in on-premises establishments?	
Beer	18
Wine	18
Spirits	18
What is the minimum age requirement for bartenders in on-premises establishments?	
Beer	21
Wine	21
Spirits	21
Does a manager or supervisor have to be present?	No

Alcohol Outlet Siting Near Schools and Universities	
Colleges and Universities	
Is there a distance requirement for off-premises outlets (i.e., liquor stores)?	No
Is there a distance requirement for on-premises outlets (i.e., restaurants and bars)?	No
To which alcohol products does requirement apply?	N/A
Primary and Secondary Schools	
Is there a distance requirement for off-premises outlets (i.e., liquor stores)?	Yes, within 100 feet. Local government has authority to override state restrictions.
Is there a distance requirement for on-premises outlets (i.e., restaurants and bars)?	Yes, within 100 feet. Local government has authority to override state restrictions.
To which alcohol products does requirement apply?	Beer, wine, spirits
<i>Note:</i> Exceptions include a school that has obtained an exemption from payment of federal taxes.	

Dram Shop Liability	
Does a statute create dram shop liability?	Yes
Does the statute limit damages that may be recovered?	No
Does the statute limit who may be sued?	Yes (retailers that furnish alcohol for off-premises consumption exempt)

Does the statute limit elements or standards of proof?	Yes (clear and convincing evidence required to show that retailer knew or should have known underage status)
Does common law dram shop liability exist?	No

Social Host Liability	
Does a statute create social host liability?	No
Does the statute limit damages that may be recovered?	N/A
Does the statute limit who may be sued?	N/A
Does the statute limit elements or standards of proof?	N/A
Does common law social host liability exist?	No

Prohibitions Against Hosting Underage Drinking Parties	
Does a statute prohibit hosting underage drinking parties?	Yes
Is the statute specific to underage parties, or a general prohibition against permitting underage drinking on the property?	General
What action by underage guest triggers a violation?	Possession/Consumption
Property type covered by the law?	Residential/Outdoor/Other
What level of knowledge by the host is required?	Knowledge: Host must have actual knowledge of party
Does host’s preventive action protect him/her from being held liable?	Yes
Are there any exceptions for underage guests?	Yes – Family members

Retailer Interstate Shipments of Alcohol	
Are out-of-state retailers prohibited from sending interstate shipments to in-state consumers?	
Beer	Prohibited
Wine	Uncertain
Spirits	Prohibited
<i>Note: A holder of a retailer alcoholic beverage license in a state that affords Missouri licensees equal reciprocal shipping privilege may ship, for personal use and not for resale, no more than two cases of wine (no more than 9 liters each case) per year to any adult resident of the state. Delivery of a shipment pursuant to this section shall not be deemed to constitute a sale in Missouri.</i>	

Direct Shipments/Sales	
May alcohol producers ship directly to consumers?	Yes
What alcohol types may be shipped?	Wine
Must purchaser make mandatory trip to producer before delivery is authorized?	No
Age verification requirements	
Must the producer/shipper verify purchaser’s age before sale?	No
Must the common carrier (deliverer) verify age of recipients?	Yes
State approval/permit requirements	
Must the producer/manufacture obtain state license or permit?	Yes
Must the common carrier (deliverer) be approved by a state agency?	Yes
Recording/reporting requirements	
Must the producer/manufacture record/report purchaser’s name?	No

Must the common carrier (deliverer) record/report recipient's name?	Yes
Shipping label requirements	
Must the label state "Package contains alcohol"?	Yes
Must the label state "Recipient must be 21 years old"?	Yes

Keg Registration	
How is a keg defined (in gallons)?	Equal to or more than 4.00
Prohibitions	
Is it illegal to possess an unregistered or unlabeled keg and if so, what is the penalty?	No
Is it illegal to destroy the label on a keg, and if so, what is the penalty?	No
What purchaser information is collected?	
Must the retailer collect the name and address?	Yes
Must the retailer collect the ID number, name and address on license or other government information?	Yes
Must the retailer collect the address at which keg will be consumed?	No
Must warning information be given to purchaser?	Yes, active (requires an action by purchaser)
Is a deposit required?	Yes, \$50
Does law cover disposable kegs?	Yes
<i>Note:</i> Although Missouri does not require a retailer to record the number of a keg purchaser's ID, it does require the retailer to record the form of ID presented by the purchaser, as well as the purchaser's name, address, and date of birth.	

Home Delivery	
Is home delivery of alcohol permitted?	
Beer	No law
Wine	No law
Spirits	No law

High-Proof Grain Alcohol Beverages	
Are there restrictions on the sale of high-proof grain alcohol beverages?	No
Are restrictions based on Alcohol by Volume (ABV)?	N/A
Are there exceptions to restrictions?	N/A

Laws Affecting Alcohol Pricing

Alcohol Taxes	
Beer	
Control system for beer?	No
Specific excise tax per gallon for 5% alcohol beer	\$0.06
Ad valorem excise tax (for on-premises sales) on total receipts for 5% alcohol beer	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant

• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Ad valorem excise tax (for off-premises sales) on total receipts for 5% alcohol beer	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Additional taxes for 3.2–6% alcohol beer (if applicable)	
Wine	
Control system for wine?	No
Specific excise tax per gallon for 12% alcohol wine	\$0.42
Ad valorem excise tax (for on-premises sales) on total receipts for 12% alcohol wine	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Ad valorem excise tax (for off-premises sales) on total receipts for 12% alcohol wine	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Additional taxes for 6–14% alcohol wine (if applicable)	
Spirits	
Control system for spirits?	No
Specific excise tax per gallon for 40% alcohol spirits	\$2.00
Ad valorem excise tax (for on-premises sales) on total receipts for 40% alcohol spirits	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Ad valorem excise tax (for off-premises sales) on total receipts for 40% alcohol spirits	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Additional taxes for 15–50% alcohol spirits (if applicable)	

Low-Price, High-Volume Drink Specials	
What types of drink specials are prohibited by on-premises retailers?	
Free beverages	No
Multiple servings at one time	No
Multiple servings for same price as single serving	No
Reduced price for a specified day or time (i.e., happy hours)	No
Unlimited beverages for fixed price	No
Increased volume without increase in price	No

Wholesaler Pricing Restrictions	
Beer	
Are volume discounts to retailers allowed?	No law
Must wholesalers establish a minimum markup or maximum discount for each product sold to retailers?	Yes
Must wholesalers publicly post and hold (i.e., not reduce) prices for a set period of time?	No law
Is wholesaler permitted to extend credit to retailer and if so, what is the maximum time period?	Yes (30 days)
Wine	
Are volume discounts to retailers allowed?	Restricted
Must wholesalers establish a minimum markup or maximum discount for each product sold to retailers?	Yes
Must wholesalers publicly post and hold (i.e., not reduce) prices for a set period of time?	Post and hold (30 days)
Is wholesaler permitted to extend credit to retailer and if so, what is the maximum time period?	Yes (30 days)
Spirits	
Are volume discounts to retailers allowed?	Restricted
Must wholesalers establish a minimum markup or maximum discount for each product sold to retailers?	Yes
Must wholesalers publicly post and hold (i.e., not reduce) prices for a set period of time?	Post and hold (30 days)
Is wholesaler permitted to extend credit to retailer and if so, what is the maximum time period?	Yes (30 days)
<i>Note: Wholesalers may not sell below cost. For sales of wine and spirits, no discounts in excess of 1% for quantity or 1% for time of payment.</i>	

Missouri State Survey Responses

State Agency Information

Agency with primary responsibility for enforcing underage drinking laws:

Missouri Department of Public Safety, Division of Alcohol and Tobacco Control

Enforcement Strategies

State law enforcement agencies use:

Cops in Shops	No
Shoulder Tap Operations	No
Party Patrol Operations or Programs	No
Underage Alcohol-Related Fatality Investigations	Yes

Local law enforcement agencies use:

Cops in Shops	No
Shoulder Tap Operations	No
Party Patrol Operations or Programs	No
Underage Alcohol-Related Fatality Investigations	No

State has a program to investigate and enforce direct sales/shipment laws Yes

Primary state agency responsible for enforcing laws addressing direct sales/shipments of alcohol to minors Dept. of Public Safety, Div. of Alcohol and Tobacco Control

Such laws are also enforced by local law enforcement agencies No

Enforcement Statistics

State collects data on the number of minors found in possession Yes

Number of minors found in possession by state law enforcement agencies 6,436

Number pertains to the 12 months ending 12/31/2014

Data include arrests/citations issued by local law enforcement agencies Yes

State conducts underage compliance checks/decoy operations² to determine if alcohol retailers are complying with laws prohibiting sales to minors No

Data are collected on these activities No

Number of retail licensees in state³ No data

Number of licensees checked for compliance by state agencies (including random checks) Not applicable

Number of licensees that failed state compliance checks Not applicable

Numbers pertain to the 12 months ending Not applicable

Compliance checks/decoy operations conducted at on-sale, off-sale, or both retail establishments Not applicable

State conducts **random** underage compliance checks/decoy operations No

Number of licensees subject to **random** state compliance checks/decoy operations Not applicable

Number of licensees that failed **random** state compliance checks Not applicable

Local agencies conduct underage compliance checks/decoy operations to determine if alcohol retailers are complying with laws prohibiting sales to minors Yes

Data are collected on these activities Yes

Number of licensees checked for compliance by local agencies 728

Number of licensees that failed local compliance checks 69

Numbers pertain to the 12 months ending 2/28/2015

Sanctions

State collects data on fines imposed on retail establishments that furnish minors Yes

Number of fines imposed by the state⁴ 266

Total amount in fines across all licensees \$64,600

Smallest fine imposed \$200

Largest fine imposed	\$1,000
Numbers pertain to the 12 months ending	6/30/2014
<i>State collects data on license suspensions imposed on retail establishments specifically for furnishing minors</i>	Yes
Number of suspensions imposed by the state ⁵	20
Total days of suspensions across all licensees	37
Shortest period of suspension imposed (in days)	1
Longest period of suspension imposed (in days)	5
Numbers pertain to the 12 months ending	6/30/2014
<i>State collects data on license revocations imposed on retail establishments specifically for furnishing minors</i>	Yes
Number of license revocations imposed ⁶	0
Numbers pertain to the 12 months ending	6/30/2014

Additional Clarification

Part 1, Section A—Underage Persons in Possession: Data reported in this section were taken from the Missouri Uniform Crime Reporting Program (MULES).

Part 1, Section B—Compliance Checks, Local Level: The Enforcing Underage Drinking Laws (EUDL) grant in Missouri provides funds enforcing underage drinking laws through the Department of Public Safety (DPS). DPS also collects and reviews compliance check reports from the subgrantees and refers violations to the Supervisor of Alcohol and Tobacco Control for administrative action if warranted. (The data presented in questions 1.B.2.a-c were taken from the activity reported to EUDL from local law enforcement subgrantees.)

Part 1, Section C—Sanctions: Data reported in this section were taken from the administrative actions imposed by the Supervisor of Alcohol and Tobacco Control on violations referred from the local law enforcement agencies.

¹ Or having consumed or purchased per state statutes.

² Underage compliance checks/decoy operations to determine whether alcohol retailers are complying with laws prohibiting sales to minors.

³ Excluding special licenses such as temporary, seasonal, and common carrier licenses.

⁴ Does not include fines imposed by local agencies.

⁵ Does not include suspensions imposed by local agencies.

⁶ Does not include revocations imposed by local agencies.

Underage Drinking Prevention Programs Operated or Funded by the State

Partners in Prevention (PIP)

Program serves specific or general population	Specific population
Number of youth served	122,000
Number of parents served	30,000
Number of caregivers served	No data
Program has been evaluated	Yes
Evaluation report is available	Yes
URL for evaluation report:	Upon request
URL for more program information:	No data

Program Description: Missouri PIP is an established statewide substance abuse prevention coalition of Missouri universities implementing evidence-based strategies to reduce binge and underage drinking among students at participating institutions. PIP is a consortium of 21 public and private colleges and universities. Since 2001, PIP has effectively reduced binge drinking and underage drinking behavior on campuses throughout the state and has been nationally recognized for its efforts.

Missouri's Youth Adult Alliance (MYAA)

Program serves specific or general population	Specific population
Number of youth served	697
Number of parents served	915
Number of caregivers served	No data
Program has been evaluated	Yes

Evaluation report is available	Yes
URL for evaluation report:	Upon request
URL for more program information:	http://www.actmissouri.org/about-myaa

Program Description: Missouri's MYAA is a statewide coalition that assists local community efforts in addressing underage drinking. Its mission is to encourage advocates to reduce youth access to alcohol by implementing environmental and social change in their communities. Membership in MYAA includes other agencies as well as other adults and youth interested in reducing underage drinking.

Missouri School-based Substance Abuse Prevention Intervention and Resources Initiative (SPIRIT)

Program serves specific or general population	Specific population
Number of youth served	7,855
Number of parents served	7,855
Number of caregivers served	No data
Program has been evaluated	Yes
Evaluation report is available	Yes
URL for evaluation report:	http://dmh.mo.gov/ada/progs/spiritreports.html
URL for more program information:	http://dmh.mo.gov/ada/progs/spirit.html

Program Description: In 2002, the Missouri Department of Mental Health (DMH), Division of Alcohol and Drug Abuse (ADA), launched SPIRIT. This project proposes to delay the onset and decrease the use of substances, improve overall school performance, and reduce incidents of violence. To achieve these goals, prevention agencies are paired with participating school districts to provide technical assistance in implementing evidence-based substance abuse prevention programming and referral and assessment services as needed. The project offers a variety of evidence-based prevention programs selected by the districts.

Regional Support Center (RSC) Network and Community Coalitions

Program serves specific or general population	General population
Number of youth served	Not applicable
Number of parents served	Not applicable
Number of caregivers served	Not applicable
Program has been evaluated	No
Evaluation report is available	Not applicable
URL for evaluation report:	Not applicable
URL for more program information:	No data

Program Description: RSCs are the primary sources of technical assistance support for community coalitions. The RSCs' goal is to facilitate development of teams capable of making changes in substance use patterns in their communities. Each RSC has a prevention specialist who works directly with the teams in his/her area and assists with developing teams and task forces in communities that want them. The coalitions make up a network of volunteer community teams that focus solely on alcohol, tobacco, and drug issues as part of a broad mission and/or array of services. The coalitions were organized and developed in 1987 and are composed of community volunteers from the areas served. Each coalition receives technical assistance and training from the RSC on a variety of topics related to organization, development, and implementation of prevention strategies. The RSC and community coalitions implement various evidence-based strategies and programs.

Direct Prevention Services for High-Risk Youth

Program serves specific or general population	Specific population
Number of youth served	14,801
Number of parents served	No data
Number of caregivers served	No data
Program has been evaluated	No
Evaluation report is available	Not applicable
URL for evaluation report:	Not applicable
URL for more program information:	No data

Program Description: Direct programs/services for high-risk youth are prevention education and early intervention activities provided to designated children, youth, and families. These services involve structured programming or a curriculum, have multiple sessions, include pre- and post-testing, and address identified risk and protective factors. Direct programs/services may also involve a variety of activities, including informational sessions and training and technical assistance activities with groups.

St. Louis ARC Fetal Alcohol Syndrome Prevention Project

Program serves specific or general population	General population
Number of youth served	Not applicable
Number of parents served	Not applicable
Number of caregivers served	Not applicable
Program has been evaluated	No
Evaluation report is available	Not applicable
URL for evaluation report:	Not applicable
URL for more program information:	http://www.slarc.org

Program Description: The St. Louis ARC is a nonprofit, United Way agency that provides support and services to more than 3,000 adults and children with intellectual and developmental disabilities, and their families, throughout the St. Louis metropolitan area.

Drug Abuse Resistance Education (DARE) Officer Training

Program serves specific or general population	General population
Number of youth served	Not applicable
Number of parents served	Not applicable
Number of caregivers served	Not applicable
Program has been evaluated	No
Evaluation report is available	Not applicable
URL for evaluation report:	Not applicable
URL for more program information:	http://www.mopca.com

Program Description: Police officers are trained in the DARE curriculum.

State of Missouri Alcohol Responsibility Training (SMART)

Program

Program serves specific or general population	General population
Number of youth served	Not applicable
Number of parents served	Not applicable
Number of caregivers served	Not applicable
Program has been evaluated	No
Evaluation report is available	Not applicable
URL for evaluation report:	Not applicable
URL for more program information:	No data

Program Description: The SMART program is an interactive, web-based course available free of charge to those who own or work for any Missouri establishment licensed to sell alcohol.

CHEERS to the Designated Driver Program

Program serves specific or general population	General population
Number of youth served	Not applicable
Number of parents served	Not applicable
Number of caregivers served	Not applicable
Program has been evaluated	No
Evaluation report is available	Not applicable
URL for evaluation report:	Not applicable
URL for more program information:	http://wellness.missouri.edu/CHEERS

Program Description: CHEERS was designed to increase the number of designated drivers throughout Missouri. Bars, restaurants, and nightclubs participating in CHEERS provide free nonalcoholic beverages to the acknowledged designated driver in a group of two or more. It's a way of saying thanks for caring about the safety of your friends

and community. Establishment owners across the state have been invited to join CHEERS and play an active role in ensuring the health and safety of their patrons.

Statewide Training and Resource Center (STRC)

Program serves specific or general population	General population
Number of youth served	Not applicable
Number of parents served	Not applicable
Number of caregivers served	Not applicable
Program has been evaluated	No
Evaluation report is available	Not applicable
URL for evaluation report:	Not applicable
URL for more program information:	http://actmissouri.org

Program Description: The STRC contract, currently held by ACT Missouri, conducts a variety of activities and programs on behalf of the Missouri Division of Behavioral Health and the overall state prevention system. The STRC provides resources, training, and technical assistance for the Regional Support Centers and direct prevention providers. The STRC presents a number of statewide workshops throughout the year and also holds a statewide prevention conference. The STRC also operates a consultant resource bank with resources available to the prevention community and administers the Mini-Grant program for community coalitions.

Team Spirit Program

Program serves specific or general population	General population
Number of youth served	Not applicable
Number of parents served	Not applicable
Number of caregivers served	Not applicable
Program has been evaluated	No
Evaluation report is available	Not applicable
URL for evaluation report:	Not applicable
URL for more program information:	http://www.savemolives.com

Program Description: This is a Highway Safety program.

Additional Underage Drinking Prevention Programs Operated or Funded by the State

Program description: No data

Additional Clarification

No data

Additional Information Related to Underage Drinking Prevention Programs

<i>State collaborates with federally recognized tribal governments in the prevention of underage drinking</i>	No
Description of collaboration:	Not applicable
<i>State has programs to measure and/or reduce youth exposure to alcohol advertising and marketing</i>	Yes
Description of program: Missouri has many coalitions around the state that provide training and activities addressing youth exposure to alcohol advertising and marketing.	
<i>State has adopted or developed best practice standards for underage drinking prevention programs</i>	Yes
Agencies/organizations that established best practices standards:	
Federal agency(ies): SAMHSA	Yes
Agency(ies) within your state: Missouri Division of Behavioral Health	Yes
Nongovernmental agency(ies):	No
Other:	No
Best practice standards description: The Division requires providers to use evidence-based programs and environmental strategies. SAMHSA's publication, <i>Identifying and Selecting Evidence-Based Interventions for</i>	

Substance Abuse Prevention, serves as a guide that provides the following definition for evidence-based programs:

- Inclusion in a federal list or registry of evidence-based interventions
- Being reported (with positive effects) in a peer-reviewed journal
- Documentation of effectiveness based on the following guidelines:
 - The intervention is based on a theory of change that is documented in a clear logic or conceptual model.
 - The intervention is similar in content and structure to interventions that appear in registries and/or the peer-reviewed literature.
 - The intervention is supported by documentation that it has been effectively implemented in the past, and multiple times, in a manner attentive to Identifying and selecting evidence-based interventions, scientific standards of evidence, and with results that show a consistent pattern of credible and positive effects.
 - The intervention is reviewed and deemed appropriate by a panel of informed prevention experts that includes well-qualified prevention researchers who are experienced in evaluating prevention interventions similar to those under review, local prevention practitioners, and key community leaders as appropriate (e.g., officials from law enforcement and education sectors or elders within indigenous cultures).

Missouri uses the Strategic Prevention Framework model to implement the four guidelines. The process includes:

- Assessment of the community’s needs and readiness.
- Capacity building to mobilize and address the needs of the community.
- Development of a prevention plan to identify the activities, programs, and strategies necessary to address the needs.
- Implementation of the prevention plan.
- Evaluation of the results to achieve sustainability and cultural competence.

Missouri identifies appropriate strategies based on validated research, empirical evidence of effectiveness, and the use of local, state, and federal key community prevention leaders such as National Prevention Network, Southwest Regional Expert Team, and SAMHSA’s Center for Substance Abuse Prevention.

Additional Clarification

No data

State Interagency Collaboration

A state-level interagency governmental body/committee exists to coordinate or address underage drinking prevention activities Yes

Committee contact information:

Name: Alicia Ozenberger, Deputy Director, ACT Missouri
 Email: aozenberger@actmissouri.org
 Address: 428 E. Capitol, 2nd Floor, Jefferson City, MO 65101
 Phone: 573-635-6669

Agencies/organizations represented on the committee:

Division of Behavioral Health
 Division of Alcohol and Tobacco Control
 ACT Missouri
 Department of Health and Senior Services
 Division of Highway Safety
 Prevention Regional Support Centers across the state
 MO National Guard
 Local coalition leaders

A website or other public source exists to describe committee activities Yes
 URL or other means of access: <http://www.actmissouri.org>

Underage Drinking Reports

State has prepared a plan for preventing underage drinking in the last 3 years Yes
 Prepared by: Missouri Division of Behavioral Health

Plan can be accessed via: <http://www.dmh.mo.gov/docs/ada/prevention/strategicplanforprevention2010.pdf>

State has prepared a report on preventing underage drinking in the last 3 years	Yes
Prepared by: Missouri Institute of Mental Health	
Plan can be accessed via:	No data

Additional Clarification

No data

State Expenditures for the Prevention of Underage Drinking

<i>Compliance checks in retail outlets:</i>	
Estimate of state funds expended	\$0
Estimate based on the 12 months ending	12/31/2014
<i>Checkpoints and saturation patrols:</i>	
Estimate of state funds expended	Data not available
Estimate based on the 12 months ending	Data not available
<i>Community-based programs to prevent underage drinking:</i>	
Estimate of state funds expended	\$617,266
Estimate based on the 12 months ending	6/30/2014
<i>K-12 school-based programs to prevent underage drinking:</i>	
Estimate of state funds expended	\$0
Estimate based on the 12 months ending	6/30/2014
<i>Programs targeted to institutes of higher learning:</i>	
Estimate of state funds expended	\$0
Estimate based on the 12 months ending	6/30/2014
<i>Programs that target youth in the juvenile justice system:</i>	
Estimate of state funds expended	\$0
Estimate based on the 12 months ending	6/30/2014
<i>Programs that target youth in the child welfare system:</i>	
Estimate of state funds expended	\$0
Estimate based on the 12 months ending	6/30/2014
<i>Other programs:</i>	
Programs or strategies included	No data
Estimate of state funds expended	\$0
Estimate based on the 12 months ending	6/30/2014

Funds Dedicated to Underage Drinking

<i>State derives funds dedicated to underage drinking from the following revenue streams:</i>	
Taxes	No
Fines	No
Fees	No
Other	Not applicable
<i>Description of funding streams and how they are used:</i>	Not applicable

Additional Clarification

No data



Montana

State Population: 1,023,579

Population Ages 12–20: 116,000

	Percentage	Number
Ages 12–20		
Past-Month Alcohol Use	27.5	32,000
Past-Month Binge Alcohol Use	18.2	21,000
Ages 12–14		
Past-Month Alcohol Use	4.6	2,000
Past-Month Binge Alcohol Use	1.7	1,000
Ages 15–17		
Past-Month Alcohol Use	24	9,000
Past-Month Binge Alcohol Use	14.4	5,000
Ages 18–20		
Past-Month Alcohol Use	51	22,000
Past-Month Binge Alcohol Use	36.3	15,000
Alcohol-Attributable Deaths (under 21)		17
Years of Potential Life Lost (under 21)		1,050
	Percentage of All Traffic Fatalities	Number
Traffic Fatalities, 15- to 20-Year-Old Drivers with BAC > 0.01	29	8

Laws Addressing Minors in Possession of Alcohol

Underage Possession	
Is underage possession of alcoholic beverages prohibited?	Yes
Are there exceptions based on family relationships?	
• Is possession allowed if parent or guardian is present or consents?	Yes
• Is possession allowed if spouse is present or consents?	No
Is there an exception based on location?	No
<p><i>Note:</i> The parental exception to Montana's possession and consumption statute applies only to alcohol supplied and consumed in a "nonintoxicating quantity." In Montana, "intoxicating quantity" is defined as a quantity "sufficient to produce ... a blood, breath, or urine alcohol concentration in excess of 0.05 ... or substantial or visible mental or physical impairment."</p>	

Underage Consumption	
Is underage consumption of alcoholic beverages prohibited?	Yes
Are there exceptions based on family relationships?	
• Is consumption allowed if the parent or guardian is present or consents?	Yes
• Is consumption allowed if the spouse is present or consents?	No
Is there an exception based on location?	No
<p><i>Note:</i> The parental exception to Montana's possession and consumption statute only applies to alcohol supplied and consumed in a "nonintoxicating quantity." In Montana, "intoxicating quantity" is defined as a quantity "sufficient to produce ... a blood, breath, or urine alcohol concentration in excess of 0.05 ... or substantial or visible mental or physical impairment."</p>	

Underage Internal Possession	
Is underage internal possession of alcoholic beverages prohibited?	No law
Are there exceptions based on family relationships?	
• Is internal possession allowed if the parent or guardian is present or consents?	N/A
• Is internal possession allowed if the spouse is present or consents?	N/A
Is there an exception based on location?	N/A

Underage Purchase and Attempted Purchase	
Is the purchase of alcoholic beverages prohibited?	Yes
May youth purchase for law enforcement purposes?	No

False Identification for Obtaining Alcohol	
Provisions Targeting Minors	
Is the use of false identification (ID) prohibited?	Yes
Does the use of a false ID result in minor's driver's license suspension?	Yes, through a judicial process
Provisions Targeting Suppliers	
Is the lending or transferring or selling of a false ID prohibited?	Yes
Is the production of a false ID in the context of underage alcohol sales specifically prohibited?	Yes

Retailer Support Provisions	
Is there an incentive for the retailer to use electronic scanners for information digitally encoded on valid IDs?	No
Are state driver's licenses for persons under 21 easily distinguishable from licenses for persons 21 and over?	No
May retailers seize apparently false IDs without fear of prosecution even if the ID is ultimately deemed valid?	No
Does an affirmative defense exist for the retailer?	Yes
<ul style="list-style-type: none"> Is it a specific affirmative defense (retailer reasonably believed ID was valid after examining it)? 	Yes
<ul style="list-style-type: none"> Is it a general affirmative defense (retailer reasonably believed purchaser was over 21)? 	No
Does the retailer have the right to sue the minor for use of a false ID?	No
May a retailer detain a minor who used a false ID?	No

Laws Targeting Underage Drinking and Driving

Youth Blood Alcohol Concentration Limits (Underage Operators of Noncommercial Motor Vehicles)	
What is the maximum blood alcohol concentration (BAC) limit for an underage driver of a motor vehicle?	0.02
Does a BAC level in excess of limit automatically establish a violation (per se violation)?	Yes
What is the minimum age to which the limit applies?	0
What is the maximum age to which the limit applies?	21

Loss of Driving Privileges for Alcohol Violations by Minors ("Use/Lose" Laws)	
Is there a "use/lose" law that suspends or revokes a minor's driving privileges for alcohol violations?	Yes
What types of violation lead to license suspension or revocation?	
<ul style="list-style-type: none"> Purchase of alcohol 	No
<ul style="list-style-type: none"> Possession of alcohol 	Yes
<ul style="list-style-type: none"> Consumption of alcohol 	Yes
The law applies to people under what age?	18
Is suspension or revocation mandatory or discretionary?	Mandatory
What is the length of suspension/revocation?	
Minimum number of days	30
Maximum number of days	30

Graduated Driver's Licenses	
Learner Stage	
What is the minimum age for permit to drive with parents, guardians or other adults (other than instructors)?	14 years, 6 months
What is the minimum number of months driver must hold learner permit before advancing to intermediate stage?	6
What is the minimum number of hours of driving with parents, guardians, or adults before advancing to intermediate stage?	50 (10 of which must be at night)

Intermediate Stage	
What is the minimum age for driving without adult supervision?	15
For night driving, when does adult supervision requirement begin?	11 pm
Can law enforcement stop a driver for night-driving violation as a primary offense?	Yes – Officer may stop driver for night-driving violation
Are there restrictions on passengers?	Yes – For first 6 months, no more than one nonfamily passenger under 18 unless accompanied by a driver at least 18; for second 6 months, no more than three nonfamily passengers under 18 unless accompanied by a driver at least 18
Can law enforcement stop driver for violation of passenger restrictions as a primary offense?	Yes – Officer may stop driver for passenger restrictions violation
License Stage	
What is the minimum age for full license privileges and lifting of restrictions?	16

Laws Targeting Alcohol Suppliers

Furnishing Alcohol to Minors	
Is furnishing of alcoholic beverages to minors prohibited?	Yes
Are there exceptions based on family relationships?	
• Is furnishing allowed if the parent or guardian supplies the alcohol?	Yes
• Is furnishing allowed if the spouse supplies the alcohol?	No
Is there an exception based on location?	No
Affirmative Defense for Sellers and Licensees	
Does law require seller/licensee to be exonerated of furnishing to a minor if the minor has not been charged?	No
<i>Note: The parental exception applies to provision of alcohol in a “nonintoxicating quantity.” In Montana, “intoxicating quantity” is defined as a quantity “sufficient to produce ... a blood, breath, or urine alcohol concentration in excess of 0.05 ... or substantial or visible mental or physical impairment.”</i>	

Compliance Check Protocols	
Does the state have a written protocol for when an underage decoy is used in compliance checks?	Yes
What is the minimum age a decoy may be to participate in a compliance check?	17
What is the maximum age a decoy may be to participate in a compliance check?	20
What are the decoy’s appearance requirements?	Males and females: casual, age-appropriate clothing. Females: no makeup or anything else that makes them appear older. Males: no facial hair.
Does decoy carry ID during compliance check?	Not specified

May decoy verbally exaggerate his or her actual age?	Prohibited
Is decoy training mandated, recommended, prohibited, or not specified?	Not specified

Penalty Guidelines for Sales to Minors	
Are there written guidelines for penalties imposed on retailers for furnishing to a minor?	Yes
What is the time period for defining second, third, and subsequent offenses?	3 years
What is the penalty for the first offense?	\$250 fine
What is the penalty for the second offense?	\$1,000 fine
What is the penalty for the third offense?	\$1,500 fine and/or 20-day license suspension
What is the penalty for the fourth offense?	License revocation
<i>Note:</i> List of aggravating and mitigating factors provided.	

Responsible Beverage Service (RBS)	
Is there a state law pertaining to beverage service training?	Yes – Mandatory
If training is mandatory, who must participate?	Managers, servers/sellers
If training is voluntary, which of the following incentives are offered?	
• Defense in dram shop liability lawsuits	N/A
• Discounts in dram shop liability insurance, license fees, or other	N/A
• Mitigation of fines or other administrative penalties for sales to minors or intoxicated persons	N/A
• Protection against license revocation for sales to minors or sales to intoxicated persons	N/A
Does the RBS law apply to on-premises establishments (such as bars and restaurants) or off-premises establishments (such as liquor stores)?	Both
Does the RBS law apply to new or existing licensees?	Both
<i>Note:</i> In addition to managers and servers/sellers, Montana’s “responsible alcohol sales and service act” also applies to licensees or owners who personally engage in the role of selling or serving alcoholic beverages.	

Minimum Age for Sellers of Alcohol – Off-Premises (i.e., Liquor Stores)	
What is the minimum age requirement for off-premises retail establishments?	
Beer	18
Wine	18
Spirits	18
Does a manager or supervisor have to be present?	No

Minimum Age for Alcohol Servers and Bartenders – On-Premises (i.e., Restaurants and Bars)	
What is the minimum age requirement for servers in on-premises establishments?	
Beer	18
Wine	18
Spirits	18

What is the minimum age requirement for bartenders in on-premises establishments?	
Beer	18
Wine	18
Spirits	18
Does a manager or supervisor have to be present?	No

Alcohol Outlet Siting Near Schools and Universities	
Colleges and Universities	
Is there a distance requirement for off-premises outlets (i.e., liquor stores)?	No
Is there a distance requirement for on-premises outlets (i.e., restaurants and bars)?	No
To which alcohol products does requirement apply?	N/A
Primary and Secondary Schools	
Is there a distance requirement for off-premises outlets (i.e., liquor stores)?	No
Is there a distance requirement for on-premises outlets (i.e., restaurants and bars)?	Yes, within 600 feet
To which alcohol products does requirement apply?	Beer, wine, spirits
<i>Note:</i> Exception for commercially operated schools.	

Dram Shop Liability	
Does a statute create dram shop liability?	Yes
Does the statute limit damages that may be recovered?	Yes (\$250,000 noneconomic damages per person and \$250,000 punitive damages per person)
Does the statute limit who may be sued?	No
Does the statute limit elements or standards of proof?	No
Does common law dram shop liability exist?	No

Social Host Liability	
Does a statute create social host liability?	Yes
Does the statute limit damages that may be recovered?	Yes (\$250,000 noneconomic damages per person and \$250,000 punitive damages per person)
Does the statute limit who may be sued?	No
Does the statute limit elements or standards of proof?	No
Does common law social host liability exist?	No

Prohibitions Against Hosting Underage Drinking Parties	
Does a statute prohibit hosting underage drinking parties?	No
Is the statute specific to underage parties, or a general prohibition against permitting underage drinking on the property?	N/A
What action by underage guest triggers a violation?	N/A
Property type covered by the law?	N/A
What level of knowledge by the host is required?	N/A
Does host's preventive action protect him/her from being held liable?	N/A
Are there any exceptions for underage guests?	N/A

Retailer Interstate Shipments of Alcohol	
Are out-of-state retailers prohibited from sending interstate shipments to in-state consumers?	
Beer	Yes
Wine	Yes
Spirits	Yes

Direct Shipments/Sales	
May alcohol producers ship directly to consumers?	Yes
What alcohol types may be shipped?	Wine
Must purchaser make mandatory trip to producer before delivery is authorized?	No
Age verification requirements	
Must the producer/shipper verify purchaser's age before sale?	No
Must the common carrier (deliverer) verify age of recipients?	No
State approval/permit requirements	
Must the producer/manufacture obtain state license or permit?	Yes
Must the common carrier (deliverer) be approved by a state agency?	No
Recording/reporting requirements	
Must the producer/manufacture record/report purchaser's name?	Yes
Must the common carrier (deliverer) record/report recipient's name?	Yes
Shipping label requirements	
Must the label state "Package contains alcohol"?	Yes
Must the label state "Recipient must be 21 years old"?	Yes
<p><i>Note:</i> An out-of-state brewer desiring to ship beer to an individual in Montana shall register with the Montana Department of Revenue. An individual seeking to receive such a shipment for personal consumption must obtain a Connoisseur's License. The licensee must forward to the out-of-state brewer a distinctive address label, provided by the Department, clearly identifying any package that is shipped as a legal direct-shipment package to the holder of a Connoisseur's License.</p>	

Keg Registration	
How is a keg defined (in gallons)?	Equal to or more than 7.00
Prohibitions	
Is it illegal to possess an unregistered or unlabeled keg and if so, what is the penalty?	No
Is it illegal to destroy the label on a keg, and if so, what is the penalty?	Yes (maximum fine/jail, \$500/6 months)
What purchaser information is collected?	
Must the retailer collect the name and address?	Yes
Must the retailer collect the ID number, name and address on license or other government information?	Yes
Must the retailer collect the address at which keg will be consumed?	No
Must warning information be given to purchaser?	Yes, passive (requires no action by purchaser)
Is a deposit required?	No
Does law cover disposable kegs?	No

Home Delivery	
Is home delivery of alcohol permitted?	
Beer	No law
Wine	No law
Spirits	No law

High-Proof Grain Alcohol Beverages	
Are there restrictions on the sale of high-proof grain alcohol beverages?	No. However, Montana is a control state, and control states may impose additional restrictions on the sale of products that are not reflected in statute or regulation.
Are restrictions based on Alcohol by Volume (ABV)?	N/A
Are there exceptions to restrictions?	N/A

Laws Affecting Alcohol Pricing

Alcohol Taxes	
Beer	
Control system for beer?	No
Specific excise tax per gallon for 5% alcohol beer	\$0.14
Ad valorem excise tax (for on-premises sales) on total receipts for 5% alcohol beer	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Ad valorem excise tax (for off-premises sales) on total receipts for 5% alcohol beer	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Additional taxes for 3.2–6% alcohol beer (if applicable)	
<i>Note:</i> Reported tax rate is the rate for brewers who produce more than 20,000 barrels of beer per year.	
Wine	
Control system for wine?	Yes
Specific excise tax per gallon for 12% alcohol wine	
Ad valorem excise tax (for on-premises sales) on total receipts for 12% alcohol wine	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant

• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Ad valorem excise tax (for off-premises sales) on total receipts for 12% alcohol wine	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Additional taxes for 6–14% alcohol wine (if applicable)	
Spirits	
Control system for spirits?	Yes
Specific excise tax per gallon for 40% alcohol spirits	
Ad valorem excise tax (for on-premises sales) on total receipts for 40% alcohol spirits	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Ad valorem excise tax (for off-premises sales) on total receipts for 40% alcohol spirits	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Additional taxes for 15–50% alcohol spirits (if applicable)	

Low-Price, High-Volume Drink Specials	
What types of drink specials are prohibited by on-premises retailers?	
Free beverages	No
Multiple servings at one time	No
Multiple servings for same price as single serving	No
Reduced price for a specified day or time (i.e., happy hours)	No
Unlimited beverages for fixed price	No
Increased volume without increase in price	No

Wholesaler Pricing Restrictions	
Beer	
Are volume discounts to retailers allowed?	No law
Must wholesalers establish a minimum markup or maximum discount for each product sold to retailers?	No law
Must wholesalers publicly post and hold (i.e., not reduce) prices for a set period of time?	No law

Is wholesaler permitted to extend credit to retailer and if so, what is the maximum time period?	Yes (7 days)
Wine	
Are volume discounts to retailers allowed?	No law
Must wholesalers establish a minimum markup or maximum discount for each product sold to retailers?	No law
Must wholesalers publicly post and hold (i.e., not reduce) prices for a set period of time?	No law
Is wholesaler permitted to extend credit to retailer and if so, what is the maximum time period?	Yes (7 days)
Spirits	Control System
Are volume discounts to retailers allowed?	N/A
Must wholesalers establish a minimum markup or maximum discount for each product sold to retailers?	N/A
Must wholesalers publicly post and hold (i.e., not reduce) prices for a set period of time?	N/A
Is wholesaler permitted to extend credit to retailer and if so, what is the maximum time period?	N/A

Montana State Survey Responses

State Agency Information

Agency with primary responsibility for enforcing underage drinking laws:

Responsibilities are at the local level with municipalities and counties. At the state level, there is a limited amount of funding through the Department of Public Health and Human Services, Addictive and Mental Disorders Division/Chemical Dependency Bureau.

Enforcement Strategies

State law enforcement agencies use:

Cops in Shops	No
Shoulder Tap Operations	No
Party Patrol Operations or Programs	No
Underage Alcohol-Related Fatality Investigations	No

Local law enforcement agencies use:

Cops in Shops	Yes
Shoulder Tap Operations	Yes
Party Patrol Operations or Programs	Yes
Underage Alcohol-Related Fatality Investigations	No

State has a program to investigate and enforce direct sales/shipment laws No

Primary state agency responsible for enforcing laws addressing direct sales/shipments of alcohol to minors Not applicable

Such laws are also enforced by local law enforcement agencies Not applicable

Enforcement Statistics

State collects data on the number of minors found in possession Yes

Number of minors found in possession by state law enforcement agencies 1,933

Number pertains to the 12 months ending 12/31/2014

Data include arrests/citations issued by local law enforcement agencies Yes

State conducts underage compliance checks/decoy operations² to determine if alcohol retailers are complying with laws prohibiting sales to minors No

Data are collected on these activities No

Number of retail licensees in state³ 4,700

Number of licensees checked for compliance by state agencies (including random checks) 0

Number of licensees that failed state compliance checks 0

Numbers pertain to the 12 months ending 12/31/2014

Compliance checks/decoy operations conducted at on-sale, off-sale, or both retail establishments Not applicable

State conducts random underage compliance checks/decoy operations No

Number of licensees subject to random state compliance checks/decoy operations Not applicable

Number of licensees that failed random state compliance checks Not applicable

Local agencies conduct underage compliance checks/decoy operations to determine if alcohol retailers are complying with laws prohibiting sales to minors Yes

Data are collected on these activities Yes

Number of licensees checked for compliance by local agencies Data not available

Number of licensees that failed local compliance checks 48

Numbers pertain to the 12 months ending 12/31/2014

Sanctions

State collects data on fines imposed on retail establishments that furnish minors Yes

Number of fines imposed by the state⁴ 48

Total amount in fines across all licensees \$76,999.65

Smallest fine imposed	\$150
Largest fine imposed	\$1,500
Numbers pertain to the 12 months ending	12/31/2014
<i>State collects data on license suspensions imposed on retail establishments specifically for furnishing minors</i>	
	Yes
Number of suspensions imposed by the state ⁵	3
Total days of suspensions across all licensees	32
Shortest period of suspension imposed (in days)	3
Longest period of suspension imposed (in days)	14
Numbers pertain to the 12 months ending	12/31/2014
<i>State collects data on license revocations imposed on retail establishments specifically for furnishing minors</i>	
	Yes
Number of license revocations imposed ⁶	3
Numbers pertain to the 12 months ending	12/31/2014

Additional Clarification

No data

¹ Or having consumed or purchased per state statutes.

² Underage compliance checks/decoy operations to determine whether alcohol retailers are complying with laws prohibiting sales to minors.

³ Excluding special licenses such as temporary, seasonal, and common carrier licenses.

⁴ Does not include fines imposed by local agencies.

⁵ Does not include suspensions imposed by local agencies.

⁶ Does not include revocations imposed by local agencies.

Underage Drinking Prevention Programs Operated or Funded by the State

Office of Public Instruction (OPI) Traffic Education Curriculum

Program serves specific or general population	Specific population
Number of youth served	8,486
Number of parents served	8,000
Number of caregivers served	0
Program has been evaluated	No
Evaluation report is available	Not applicable
URL for evaluation report:	Not applicable
URL for more program information:	http://opi.mt.gov/Programs/DriverEd/Index.htm

Program Description: Montana has redesigned the Traffic Education curriculum in alignment with Montana's Graduated Driver's Licensing requirements. Parent meetings and alcohol and drug prevention education are required in Montana's driver education programs that are provided through public high schools. The curriculum can be found at: <http://opi.mt.gov/Programs/DriverEd/Index.htm>. In April 2015, 160 traffic educators were trained in the updated curriculum at the annual Traffic Educator Association Conference. Graduated Driver Licensing requires 50 hours of supervised driving practice and parent/legal guardian certification that the teen driver has no convictions or pending citation for traffic, alcohol, or drug violations. The Alive at 25 program is offered through the Montana Highway Patrol, <https://dojmt.gov/highwaypatrol/alive-at-25>.

Montana DUI Task Forces

Program serves specific or general population	Specific population
Number of youth served	No data
Number of parents served	No data
Number of caregivers served	No data
Program has been evaluated	No
Evaluation report is available	Not applicable
URL for evaluation report:	Not applicable
URL for more program information:	http://www.mdt.gov/visionzero/plans/dui-taskforces.shtml

Program Description: Through the Montana Department of Transportation, DUI Task Forces are provided funds to coordinate local multifaceted coalitions that invite participation from a cross-section of community representatives to maximize their reach and effectiveness. The task forces operate at the county level to reduce and prevent impaired driving. They may engage the community in a variety of activities such as implementing Responsible Alcohol Sales and Service Training, retail compliance checks, party and keg patrols, overtime traffic patrols, education and media advocacy, public service announcements, victim impact panels, support for prosecution and adjudication of DUI cases, and designated-driver and safe ride home programs. The work is aimed at the general population.

Let's Control It

Program serves specific or general population	General population
Number of youth served	Not applicable
Number of parents served	Not applicable
Number of caregivers served	Not applicable
Program has been evaluated	Yes
Evaluation report is available	No
URL for evaluation report:	Not applicable
URL for more program information:	http://revenue.mt.gov/home/liquor/liquor_education

Program Description: This is a Montana-designed curriculum and program for alcohol sales and service training for those who sell/serve alcoholic beverages. Each year this curriculum is updated with Montana-specific data and any law or administrative rule changes. The primary objective of the curriculum is to train servers on how to keep from overserving obviously intoxicated patrons, how to identify underage patrons, and so forth.

Prevention Resource Center—Montana Department of Public Health and Human Services

Program serves specific or general population	General population
Number of youth served	Not applicable
Number of parents served	Not applicable
Number of caregivers served	Not applicable
Program has been evaluated	No
Evaluation report is available	Not applicable
URL for evaluation report:	Not applicable
URL for more program information:	http://www.prevention.mt.gov and http://www.parentpower.mt.gov

Program Description: The Prevention Resource Center connects state and federal resources to Montana communities in addressing underage drinking, and substance use prevention in general. The Prevention Resource Center maintains two websites and is a clearinghouse for information about programs, services, data, best practices, training, and educational opportunities, on prevention efforts.

Additional Underage Drinking Prevention Programs Operated or Funded by the State

Program description: No data

Additional Clarification

No data

Additional Information Related to Underage Drinking Prevention Programs

State collaborates with federally recognized tribal governments in the prevention of underage drinking Yes

Description of collaboration: Montana has recruited and trained tribal members to become state-certified trainers to teach the Let's Control It alcohol server training program and the MADD (Mothers Against Drunk Driving) Power of Parents curriculum. Tribal law enforcement personnel are also recruited and trained for POST (Peace Officers Standards and Training) liquor law classes. Through the Prevention for Success, Cohort III grant from SAMHSA, all

seven federally recognized tribes are sub-grant recipients. The focus is to curb underage drinking and address prescription drug misuse and abuse for youth ages 12–25.

State has programs to measure and/or reduce youth exposure to alcohol advertising and marketing No

Description of program: Not applicable

State has adopted or developed best practice standards for underage drinking prevention programs Yes

Agencies/organizations that established best practices standards:

Federal agency(ies): National Registry of Evidence-based Programs and Practices (NREPP) Yes

Agency(ies) within your state: Montana Evidence-Based Work Group Yes

Nongovernmental agency(ies): No

Other: No

Best practice standards description: The Montana Evidence-Based Work Group is just forming with the purpose of establishing a set of guidelines to help communities select the most appropriate and "best fit" prevention strategies in their community to achieve the greatest outcomes. The work group will also develop guidelines for using evidence-informed strategies when an evidence-based practice might not be available for rural and frontier areas, or within the diverse cultural or geographic characteristics or community.

Additional Clarification

No data

State Interagency Collaboration

A state-level interagency governmental body/committee exists to coordinate or address underage drinking prevention activities Yes

Committee contact information:

Name: Vicki Turner

Email: vturner@mt.gov

Address: PO Box 4210, Helena, MT 59604-4210

Phone: 406-444-3484

Agencies/organizations represented on the committee:

Department of Public Health and Human Services

Department of Corrections

Department of Labor and Industry

Department of Transportation

Department of Revenue

Montana Board of Crime Control

Montana Children’s Trust Fund

Montana Office of Public Instruction

Montana Attorney General's Office

Governor’s Office of Indian Affairs

Montana Department of Military Affairs

Montana Office of the Commissioner of Higher Education

Two Governor-appointed community members

A website or other public source exists to describe committee activities Yes

URL or other means of access: <http://www.prevention.mt.gov> Click on ICC.

Underage Drinking Reports

State has prepared a plan for preventing underage drinking in the last 3 years Yes

Prepared by: The Montana Interagency Coordinating Council for State Prevention Programs and the Prevention Resource Center.

Plan can be accessed via: <http://prevention.mt.gov/Portals/22/Oct%203%20handout%209132013.pdf> and <http://prevention.mt.gov/Portals/22/Oct%203%20handout%20page%20%209132013.pdf>

State has prepared a report on preventing underage drinking in the last 3 years Yes

Prepared by: The Prevention Resource Center - Montana State of the State on Prevention Update PowerPoint and includes underage drinking prevention information.

Plan can be accessed via: <http://prevention.mt.gov/Portals/22/SOS13.pdf>

Additional Clarification

No data

State Expenditures for the Prevention of Underage Drinking

Compliance checks in retail outlets:

Estimate of state funds expended	\$0
Estimate based on the 12 months ending	12/31/2014

Checkpoints and saturation patrols:

Estimate of state funds expended	\$0
Estimate based on the 12 months ending	12/31/2014

Community-based programs to prevent underage drinking:

Estimate of state funds expended	\$0
Estimate based on the 12 months ending	12/31/2014

K-12 school-based programs to prevent underage drinking:

Estimate of state funds expended	\$0
Estimate based on the 12 months ending	12/31/2014

Programs targeted to institutes of higher learning:

Estimate of state funds expended	\$50,000
Estimate based on the 12 months ending	12/31/2014

Programs that target youth in the juvenile justice system:

Estimate of state funds expended	\$0
Estimate based on the 12 months ending	12/31/2014

Programs that target youth in the child welfare system:

Estimate of state funds expended	\$0
Estimate based on the 12 months ending	12/31/2014

Other programs:

Programs or strategies included	No data
Estimate of state funds expended	\$0
Estimate based on the 12 months ending	12/31/2014

Funds Dedicated to Underage Drinking

State derives funds dedicated to underage drinking from the following revenue streams:

Taxes	No
Fines	No
Fees	No
Other	Not applicable

Description of funding streams and how they are used: Not applicable

Additional Clarification

No data