

APPENDICES

This document is excerpted from:

The September 2016 Report to Congress on the Prevention and Reduction of Underage Drinking

APPENDIX A: ICCPUD Members

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APPENDIX B: Surveys

Information about underage alcohol use, abuse, and consequences primarily comes from three federally funded surveys—the National Survey on Drug Use and Health (NSDUH), Monitoring the Future (MTF; conducted pursuant to federal grants), and the national Youth Risk Behavior Survey (YRBS). Each of these surveys makes a unique contribution to our understanding of the nature of youth alcohol use. NSDUH assesses illicit drug, alcohol, and tobacco use among noninstitutionalized individuals age 12 and older, and serves as the major federal source of nationally representative data on substance use in the general population of the United States. MTF examines attitudes and behaviors of 8th, 10th, and 12th graders with regard to alcohol, drug, and tobacco use and provides important data on substance use and the attitudes and beliefs that may contribute to such behaviors. YRBS examines risk behaviors among high school students and provides vital information on specific behaviors that cause the most significant health problems among American youth.

These surveys sometimes generate different prevalence estimates of youth substance use. To improve federal policymakers' understanding of the influence of methodological differences on those estimates, the Office of the Assistant Secretary for Planning and Evaluation within the Department of Health and Human Services commissioned a group of recognized experts in survey design, sampling techniques, and statistical analysis to examine and compare the methodologies of the surveys. The resulting papers and accompanying federal commentaries appeared in a special issue of *Journal of Drug Issues* (Volume 31, Number 3, Spring 2001). Experts agreed that the overall methodology for each survey is strong and that observed differences are not the result of flaws or serious weaknesses in survey design. In fact, some differences are to be expected—such as those resulting from home- versus school-based settings. From a policy perspective, serious and complex issues such as youth alcohol use and related behavior often require examination and analysis from multiple perspectives. Because no one survey is absolute or perfectly precise, input from multiple sources is not only valuable, but necessary.

National Survey on Drug Use and Health (NSDUH)

NSDUH is the primary source of information on the use of illicit drugs, alcohol, and tobacco in the civilian, noninstitutionalized population of the United States age 12 or older. The survey also collects information on mental health and mental health service utilization among youth ages 12 to 17 and adults age 18 or older. Initiated in 1971 and conducted annually since 1990, questionnaires are administered to individuals who constitute a representative sample of the population through face-to-face, home-based interviews. The Substance Abuse and Mental Health Services Administration (SAMHSA) sponsors the survey, and it is planned and managed by SAMHSA's Center for Behavioral Health Statistics and Quality. RTI International collects data under contract. NSDUH collects information from residents of households and noninstitutional group quarters (e.g., shelters, rooming houses, dormitories), and civilians living on military bases.

Since 1999, NSDUH has been conducted via computer-assisted interviews. Most questions are administered via audio computer-assisted self-interviewing, which provides respondents with a highly private and confidential means of responding to questions. This method increases the

level of honest reporting of illicit drug use and other sensitive behaviors. Less sensitive items are administered using computer-assisted personal interviews.

NSDUH provides estimates for each of the 50 states and the District of Columbia, as well as national estimates. Its design oversamples youth who are 12 to 17 years old and young adults who are 18 to 25 years old. For the 2014 survey, 67,901 interviews were completed for an overall response rate of 58.3 percent. Before 2002, NSDUH was called the National Household Survey on Drug Abuse (NHSDA). Because of improvements in the survey in 2002, the 2002 data constitute a new baseline for tracking trends in substance use. Therefore, SAMHSA recommends that estimates from 2002 forward not be compared with estimates from 2001 and earlier years of NHSDA.

Monitoring the Future Study (MTF)

MTF measures alcohol, tobacco, and illicit drug use, as well as perceived risk, personal disapproval, and perceived availability associated with each substance among nationally representative samples of students in public and private secondary schools throughout the conterminous United States. The National Institute on Drug Abuse supports MTF through a series of investigator-initiated grants to the University of Michigan's Institute for Social Research. Every year since 1975, a national sample of 12th graders has been surveyed. In 1991, the survey was expanded to include comparable numbers of 8th and 10th graders each year. Follow-up surveys are also administered by mail to a representative sample of adults from ages 18 to 55 from previous high school graduating classes. In 2014, 15,195 8th graders, 13,341 10th graders, and 13,015 12th graders were surveyed. Response rates were 90 percent for the 8th grade, 88 percent for the 10th grade, and 82 percent for the 12th grade. University of Michigan staff members administer the questionnaires to students, usually in their classrooms during a regular class period. Questionnaires are self-completed and formatted for optical scanning. In 8th and 10th grades, the questionnaires are completely anonymous. In the 12th grade, they are confidential (to permit longitudinal follow-up of a random subsample of participants). Extensive procedures are followed to protect the confidentiality of subjects and their data.

Youth Risk Behavior Survey (YRBS)

In the late 1980s, only a limited number of health-related school-based surveys such as MTF existed in the United States. To remedy this, the Centers for Disease Control and Prevention (CDC) developed the Youth Risk Behavior Surveillance System (YRBSS) to monitor six categories of priority health-risk behaviors that contribute substantially to the leading causes of death, disability, and social problems among youth and young adults. YRBSS includes biennial national, state, and local school-based surveys of representative samples of students in grades 9 through 12, as well as other national and special-population surveys. CDC conducts the national survey—YRBS—with a target population composed of all public and private high school students in the 50 states and the District of Columbia. Education and health agencies conduct state and local surveys. The national sample is not an aggregation of state and local surveys, and state and local estimates cannot be obtained from the national sample. In 2013, 13,583 students completed usable questionnaires for the national YRBS with an overall response rate of 68 percent.

Additional Surveys

Three additional federally supported surveys collect alcohol consumption and related information from a segment of the underage population—18- to 20-year-olds.

- *The National Epidemiologic Survey on Alcohol and Related Conditions (NESARC)* is a large nationwide household survey sponsored by the National Institute on Alcohol Abuse and Alcoholism (NIAAA). NESARC assesses the prevalence and patterns of alcohol use, other drug use, and related disorders; related risk factors; and associated mental and physical disabilities based on a nationally representative sample of the civilian non-institutionalized population of the United States aged 18 years and older. The first NESARC survey was conducted in 2001-2002. The second survey was conducted in 2004-2005 among individuals who participated in the first NESARC survey. Both surveys were fielded by the U.S. Census Bureau. A third NESARC survey, NESARC-III, was cross-sectional and conducted in 2012-2013. Fieldwork was performed by Westat, Inc. through a contract under the data collection authorization of Title 42 USC 285n.
- Begun in the early 1980s and fielded every 2 to 4 years, the Department of Defense (DoD) *Survey of Health Related Behaviors* measures prevalence of substance use and health behaviors among active-duty military personnel on United States military bases worldwide. In 2005, DoD expanded the scope of the survey to include the National Guard and Reserves, as well as other special studies. The most recent survey is the 2014 Health Related Behavior Survey – Reserve Component, which was fielded beginning in September 2014. Preliminary results were expected in spring 2015. The 2011 DoD Survey of Health Related Behaviors Among Active Duty Military Personnel is the most recent active-duty component. It represents the 11th iteration of the survey and includes the most extensive changes in the survey since its inception in 1980. For the first time, the survey was administered through a web-based format.
- Some substance use measures were better aligned with current national civilian health surveys, particularly the *National Health Interview Survey (NHIS)* conducted by the CDC. Begun in 1957, the NHIS is an annual, multistage probability sample survey of households by U.S. Census Bureau interviewers for the CDC National Center for Health Statistics (Pleis & Lethbridge-Cejku, 2007).

Information related to underage drinkers ages 18 to 20 from these three surveys may be added to this report in the future.

Association versus Causation

In reviewing data related to risky behaviors and different categories of alcohol use, readers should keep in mind that association does not prove causation. Just because alcohol use is associated with other risky behaviors does not mean that it *causes* these other risky behaviors. Often, additional research is needed to establish alcohol as a causative factor.

Additional Methodological Caveats

When reviewing studies of the age of initiation of alcohol use, one must recognize that different researchers use different methods to describe initiation of drinking and to estimate the average age at first use of alcohol. In some cases, this has resulted in large differences in estimates,

primarily because of differences in how age groups and time periods are specified in the calculations. The following examples will help readers understand these methodological differences.

A popular method for computing average age involves restricting the age group of estimation to persons who are 12 to 17 years old or 12 to 20 years old, with no restriction on the time period. This method provides an estimate of the average age of first use among those in the age group who have used alcohol at some point in their lifetime, which typically results in a younger estimated average age of first use than other methods. This is because initiation occurring in older age groups is excluded from the calculation and also because the calculation gives too much weight to very early initiation. For example, 15-year-olds who will first use at age 17 are excluded, since they have not yet used alcohol at the time of data collection. Thus, the 2003 NSDUH average age of first use among lifetime alcohol users who are 12 to 20 years old is 14.0 years; among 20-year-olds, 15.4 years; and among all lifetime drinkers, 16.8 years.

The method has limited utility for assessing trends because estimates do not reflect a well-defined recent period. A 20-year-old may have first used alcohol at age 10, so an average age of first use among 12- to 20-year-olds would span a period covering as many as 10 years. In addition to not reflecting the most current patterns, year-to-year change in this average is typically negligible due to the substantial overlap in the covered periods. Trends in average age of initiation are best measured by estimating the average age among those who initiated alcohol use during a specific period, such as a calendar year or within the 12 months prior to interview, in a repeated cross-sectional survey. These estimates can be made with or without age restrictions; for example, the average age of first use among persons in 2003 who initiated within the past 12 months was 16.5 years, but restricting the calculation to only those who initiated before age 21 results in an average age of 15.6. Based on the 2003 NSDUH, an estimated 11 percent of recent initiates were 21 years old or older when they first used.

Estimates of average age of first use among recent initiates based on the NSDUH sample of people 12 years old and older is biased upward because it does not capture initiation before age 12. The 2003 NSDUH estimated that 6.6 percent of alcohol initiates from 1990 to 1999 were 11 years old or younger. Excluding these early initiates from calculations inflates the estimate of average age by approximately half a year. This bias can be diminished by making estimates only for time periods at least 2 years prior (e.g., using the 2003 NSDUH, estimate the average age at first use for 2001, but not 2002), an approach used in previous NSDUH reports. Although this approach can provide interesting historical data, it does not give timely information about emerging patterns of alcohol initiation. Furthermore, there are serious bias concerns with historical estimates of the number of initiates and their average age at first use constructed from retrospectively reported age at first use. Older respondents are more likely not to remember accurately when an event occurred. An event may be remembered as having occurred more recently than it actually did—a “forward telescoping” of the recalled timing of events. Evidence of telescoping suggests that trend estimates based on reported age at first use may be misleading.

For example, in the 2013 MTF, alcohol use by the end of 6th grade was reported by 13.2 percent of 8th graders but by only 4.6 percent of 12th graders. Several factors, including telescoping, probably contribute to this difference. Eventual dropouts are more likely than average to drink at an early age; thus, they will be captured as 8th but not 12th graders. Lower grades also have

lower absentee rates. Another factor relates to the issue of what is meant by first use of an alcoholic beverage. Students in 12th grade are more inclined to report use that is not adult-approved, and to not report having less than a glass with parents or for religious purposes. Younger students may be more likely to report first use of a limited amount of alcohol. Thus, 8th- and 9th-grade data probably exaggerate drinking whereas 11th- and 12th-grade data may understate it.

Websites for Data on Underage Drinking

These federal websites can be useful to persons seeking data related to underage drinking:

- Information from SAMHSA on underage drinking:
<http://www.samhsa.gov/underagedrinking>
- Information from the YRBS:
<http://www.cdc.gov/HealthyYouth/yrbs/index.htm>
- Information from NHTSA on underage drinking and on drinking and driving:
<http://www.nhtsa.gov/Impaired>
- Information from NIAAA on underage drinking:
<http://www.niaaa.nih.gov/alcohol-health/special-populations-co-occurring-disorders/underage-drinking>, and <http://www.niaaa.nih.gov/alcohol-health/special-populations-co-occurring-disorders/college-drinking>
- Information from NIDA on underage drinking:
<http://www.monitoringthefuture.org>

APPENDIX C: Abbreviations

Federal Departments and Agencies

Department of Defense

Army National Guard
Education Activity
U.S. Air Force
U.S. Army Reserve
U.S. Coast Guard
U.S. Marine Corps
U.S. Navy

DoD
ARNG
DoDEA
USAF
USAR
USCG
USMC
USN

Department of Education

Office of Safe and Healthy Students
Office of Elementary and Secondary Education

ED
OSHS
OESE

Department of Health and Human Services

Administration for Children and Families
 Family and Youth Services Bureau
Agency for Healthcare Research and Quality
Centers for Disease Control and Prevention
Centers for Medicare & Medicaid Services
Division of Behavioral Health
Eunice Kennedy Shriver National Institute of Child Health
 and Human Development
Food and Drug Administration
Health Resources and Services Administration
Indian Health Service
Institute of Medicine
National Cancer Institute
National Institute on Alcohol Abuse and Alcoholism
National Institute on Drug Abuse
National Institutes of Health
Office of Adolescent Health
Office of Disease Prevention and Health Promotion
Office of the Assistant Secretary for Health
Office of the Assistant Secretary for Planning and Evaluation
Office of Public Health and Science
Office of the Surgeon General
Substance Abuse and Mental Health Services
Administration
 Center for Mental Health Services
 Center for Substance Abuse Prevention
 Center for Substance Abuse Treatment
 Office of Applied Studies

HHS
ACF
FYSB
AHRQ
CDC
CMS
DBH

NICHD
FDA
HRSA
HIS
IOM
NCI
NIAAA
NIDA
NIH
OAH
ODPHP
OASH
ASPE
OPHS
OSG

SAMHSA
CMHS
CSAP
CSAT
OAS

Department of Justice

Drug Enforcement Administration
Office of Juvenile Justice and Delinquency Prevention
Office of Justice Programs

DoJ
DEA
OJJDP
OJP

Department of Labor

Employment Training Administration
Office of Youth Services
Occupational Safety and Health Administration

DOL
ETA
OYS
OSHA

Federal Trade Commission

FTC

Office of National Drug Control Policy

ONDCP

Department of Transportation

National Highway Traffic Safety Administration

DOT
NHTSA

Department of the Treasury

Alcohol and Tobacco Tax and Trade Bureau

TTB

Programs, Agencies, and Organizations

Above the Influence
Access to Recovery
Addiction Technology Transfer Center
Adolescent Brain Cognitive Development Study
Adolescent Health: Think, Act, Grow
Adolescent Support and Counseling Services
Adults in the Making
After Deployment: Adaptive Parenting Tools
Alcohol and Drug Management Tracking System
Alcohol Detection Devices
Alcohol Policy Information System
Alcohol-Related Disease Impact
Alcohol Screening Program
American Psychiatric Association
Army Substance Abuse Programs
Basic Center Program
Behavioral Risk Factor Surveillance System
Behavioral Health Services Information System
Birth Control and Alcohol Awareness: Negotiating Choices
Effectively Project
Center for the Application of Prevention Technologies
Center for Behavioral Health Statistics and Quality
Center for Mental Health Services
Center on Alcohol Marketing and Youth
Collaborative Research on Addiction at NIH
College Alcohol Intervention Matrix
Community Anti-Drug Coalitions of America
Community Youth Development Study
Communities that Care

ATI
ATR
ATTC
ABCD
TAG
ASACS
AIM
ADAPT
ADMITS
ADD
APIS
ARDI
ASP
APA
ASAP
BCP
BRFSS
BHSIS

BALANCE
CAPT
CBHSQ
CMHS
CAMY
CRAN
CollegeAIM
CADCA
CYDS
CTC

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| Competitive Personal Responsibility Education Program | CPREP |
| Culture of Responsible Choices | CoRC |
| Drug Abuse Resistance Education | DARE |
| Drug Abuse Warning Network | DAWN |
| Drug and Alcohol Services Information System | DASIS |
| Drug Education for Youth | DEFY |
| Drug Free Communities Program | DFC |
| SAMHSA's Emergency Department Surveillance System | SEDSS |
| Employment Training Administration | ETA |
| Enforcing the Underage Drinking Laws | EUDL |
| European School Survey Project on Alcohol and Drugs | ESPAD |
| Family and Youth Services Bureau | FYSB |
| Family Check Up | FCU |
| Fatality Analysis Reporting System | FARS |
| General Military Training | GMT |
| Girl-Specific Intervention | GSI |
| Good Behavior Game | GBG |
| Grants to Reduce Alcohol Abuse in Secondary Schools Program | GRAAP |
| Health Related Behaviors Survey | HRB |
| Healthy Base Initiative | HBI |
| Indian Children's Program | ICP |
| Institute of Medicine | IOM |
| Interagency Coordinating Committee on the Prevention of Underage Drinking | ICCPUD |
| International Association of Chiefs of Police | IACP |
| International Town and Gown Association | ITGA |
| Inventory of Behavioral Health Services | I-BHS |
| Inventory of Substance Abuse Treatment Services | I-SATS |
| Iowa Strengthening Families Program | ISFP |
| Life Skills Training | LST |
| Local Educational Agencies | LEAs |
| Marine Awareness and Prevention Integrated Training | MAPIT |
| Methamphetamine and Suicide Prevention Initiative | MSPI |
| Monitoring the Future Survey | MTF |
| Mothers Against Drunk Driving | MADD |
| National Academy of Sciences | NAS |
| National Alcohol Screening Day | NASD |
| National Association for Children of Alcoholics | NACoA |
| National Association of School Resource Officers | NASRO |
| National Center for Health Statistics | NCHS |
| National Center on Birth Defects and Developmental Disabilities | NCBDDD |
| National Center on Safe Supportive Learning Environments | NCSSLE |
| National College Health Improvement Project | NCHIP |
| National Consortium on Alcohol and Neurodevelopment in Adolescence | NCANDA |
| National Drug and Alcohol Facts Week | NDAFW |

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| National Epidemiologic Survey on Alcohol and Related Conditions | NESARC |
| National Health Interview Survey | NHIS |
| National Health and Nutrition Examination Survey | NHANES |
| National Hospital Ambulatory Medical Care Survey | NHAMCS |
| National Hospital Care Survey | NHCS |
| National Hospital Discharge Survey | NHDS |
| National Household Survey on Drug Abuse | NHSDA |
| National Liquor Law Enforcement Association | NLLEA |
| National Mental Health Services Survey | N-MHSS |
| National Organizations for Youth Safety | NOYS |
| National Prevention Network | NPN |
| National Registry of Effective Programs and Practices | NREPP |
| National Research Council | NRC |
| National Survey of Substance Abuse Treatment Services | N-SSATS |
| National Survey on Drug Use and Health | NSDUH |
| National Survey on Family Growth | NSFG |
| National Violent Death Reporting System | NVDRS |
| Navy Alcohol and Drug Abuse Prevention | NADAP |
| Network for Employees of Traffic Safety | NETS |
| Offender Reentry Program | ORP |
| Office of Indian Alcohol and Substance Abuse | OIASA |
| Office of the Assistant Secretary for Planning and Evaluation | ASPE |
| Outreach to Children of Parents in Treatment | OCPT |
| Pacific Institute for Research and Evaluation | PIRE |
| Partnership for Drug-Free America | PDFA |
| Partnerships for Success | PFS |
| Personal Responsibility Education Programs | PREP |
| Pregnancy Nutrition Surveillance System | PNSS |
| Pregnancy Risk Assessment Monitoring System | PRAMS |
| PRIME for Life | PFL |
| PROMoting School/Community-University Partnerships to Enhance Resilience | PROSPER |
| Protecting You/Protecting Me | PYPM |
| Recording Artists, Actors and Athletes Against Drunk Driving | RADD |
| Robert Wood Johnson Foundation | RWJ |
| Runaway and Homeless Youth | RHY |
| Safe and Drug-Free Schools and Communities Act | SDFSCA |
| Safe Schools/Healthy Students | SS/HS |
| Screening, Brief Intervention, Referral, and Treatment | SBIRT |
| School Health Policies and Programs Study | SHPPS |
| Sexual Assault Prevention and Response | SAPR |
| Skills, Mastery, and Resistance Training | SMART |
| Sober Truth on Preventing Underage Drinking Act | STOP Act |
| State Adolescent Transitional Aged Youth Treatment Enhancement and Dissemination Grant | SYT-ED |
| State Adolescent Treatment Enhancement and Dissemination Grant | SAT-ED |

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| State Highway Safety Offices | SHSOs |
| State Incentive Grant Program | SIG |
| Strategic Prevention Framework | SPF |
| Street Outreach Program | SOP |
| Strengthening Families Program | SFP |
| Strong African American Families Program | SAAF |
| Student Affairs Administrators in Higher Education | NASPA |
| Students Against Destructive Decisions | SADD |
| Substance Abuse Counseling Center | SACC |
| Substance Abuse Prevention and Treatment Block Grant | SABG |
| Substance Abuse Prevention Interagency Working Group | SAP IWG |
| Substance Abuse Prevention Skills Training | SAPST |
| Targeted Capacity Expansion Program | TCE |
| Techniques for Effective Alcohol Management | TEAM |
| Too Smart to Start | TSTS |
| Transitional Living Program | TLP |
| Treatment Coordination Group | TCG |
| Treatment Episode Data Set | TEDS |
| Treatment Improvement Protocols | TIPS |
| Underage Drinking Enforcement Training Center | UDETC |
| Underage Drinking Research Initiative | UDRI |
| Uniform Accident and Sickness Policy Provision Law | UPPL |
| Uniform Facility Data | UFDS |
| Unit Marine Awareness and Prevention Integrated Training | UMAPIT |
| United Indian Health Program | UIHP |
| Virginia Commonwealth University | VCU |
| We Don't Serve Teens | WDST |
| Young Offender Reentry Program | YORP |
| Youth Offender Demonstration Project | YODP |
| Youth Opportunity Grants | YOGs |
| Youth Regional Treatment Centers | YRTC _s |
| Youth Risk Behavior Surveillance System | YRBSS |
| Youth Risk Behavior Survey | YRBS |

Other Acronyms

| | |
|---|-----------|
| Adult Preparation Subjects | APS |
| Air Force Base | AFB |
| Alcohol and Drug Abuse Managers/Supervisors | ADAMS |
| Alcohol Use Disorder | AUD |
| American Indian/Alaska Native | AI/AN |
| Blood Alcohol Content | BAC |
| Caffeinated Alcoholic Beverages | CABs |
| Center for Excellence | CFE |
| Center on Alcohol Marketing and Youth | CAMY |
| Concept of Operations | CONOPs |
| Diagnostic and Statistical Manual of Mental Disorders, Fourth Edition | DSM-IV-TR |

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| Driving Under the Influence | DUI |
| Driving While Intoxicated | DWI |
| Drug and Alcohol Program Advisor | DAPA |
| Evidence-Based Practices | EBPs |
| Family Violence Prevention and Services Act | FVPSA |
| Fetal Alcohol Spectrum Disorders | FASDs |
| Feedback Informed Therapy | FIT |
| Funding Opportunity Announcement | FOA |
| Graduated Driver's Licensing | GDL |
| Group Coping Power | GCP |
| Individual Coping Power | ICP |
| Lesbian, Gay, Bisexual, and Transgender | LGBT |
| Life Skills Training | LST |
| Memorandum of Understanding | MOU |
| Minimum Legal Drinking Age | MLDA |
| Personal Readiness | PR |
| Practice and Implementation Centers | PICs |
| Public Service Announcements | PSAs |
| Substance Abuse Program | SAP |
| Screening and Brief Intervention | SBI |
| Training and Technical Assistance | TTA |
| Transitional Living Program | TLP |
| Underage Drinking | UAD |
| Years of Potential Life Lost | YPPL |

APPENDIX D: References

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