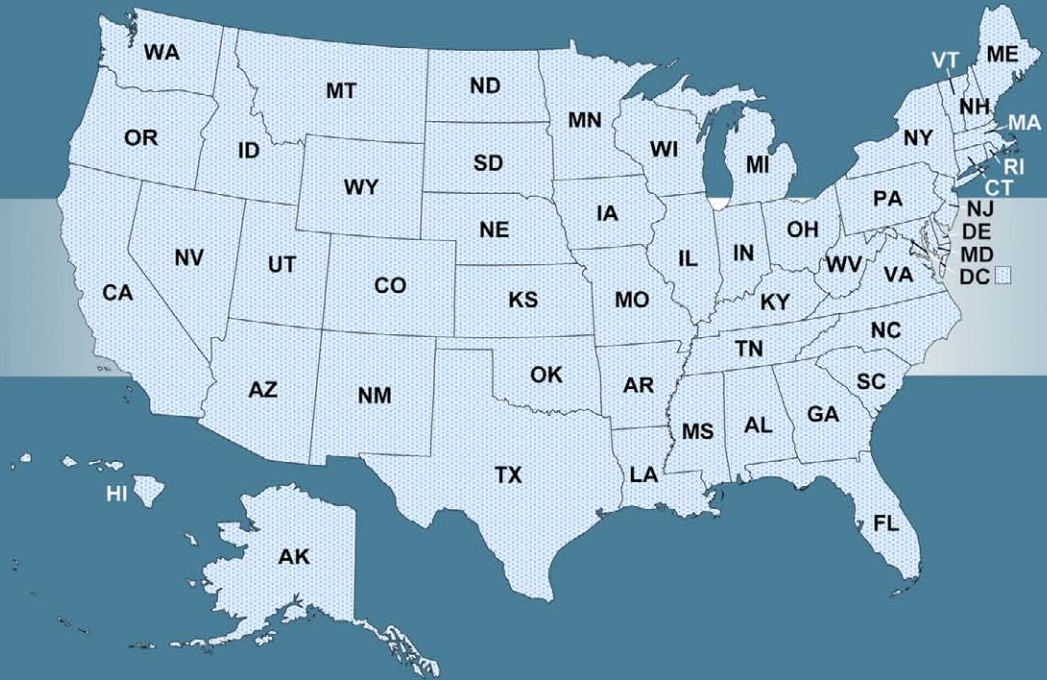


NEW YORK STATE REPORT

Underage Drinking Prevention and Enforcement

2018



SAMHSA
Substance Abuse and Mental Health
Services Administration

This State Report is required by the Sober Truth on Preventing (STOP) Underage Drinking Act (Pub. L. 109-422), which was enacted by Congress in 2006 and reauthorized in December 2016 as part of the 21st Century Cures Act (Pub. L. 114-255). The STOP Act requires an annual report “on each State's performance in enacting, enforcing, and creating laws, regulations, and programs to prevent or reduce underage drinking.” As directed by the STOP Act, the State Reports were prepared by the Interagency Coordinating Committee on Preventing Underage Drinking (ICCPUD), which is chaired by the Assistant Secretary for Mental Health and Substance Use, U.S. Department of Health and Human Services.

Time period covered by this State Report: The 2018 State Report primarily includes data from calendar year 2017. The state legal data reflects the status of the law as of January 1, 2017. The state survey data was collected in 2017 and was drawn from the most recent 12-month period in which the states maintained the data.

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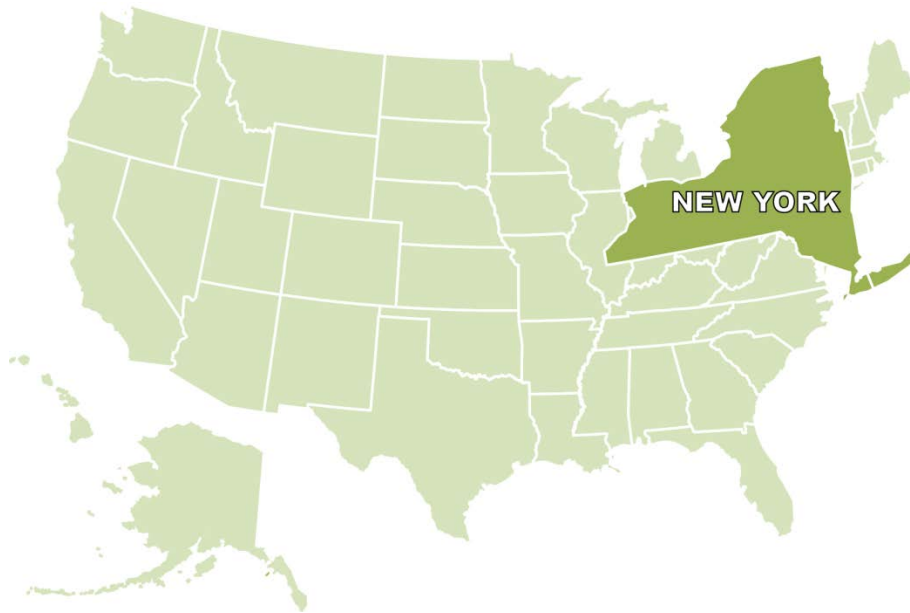
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New York

State Population: 19,745,289

Population Ages 12–20: 2,183,000

Past-Month Alcohol Use Among 12- to 20-Year-Olds	
Ages 12–20*	
Past-Month Alcohol Use – Number (Percentage)	527,000 (24.2%)
Ages 12–14	
Past-Month Alcohol Use – Number (Percentage)	20,000 (2.8%)
Ages 15–17	
Past-Month Alcohol Use – Number (Percentage)	162,000 (22.5%)
Ages 18–20	
Past-Month Alcohol Use – Number (Percentage)	345,000 (45.7%)
Alcohol-Attributable Deaths and Years of Potential Life Lost Under the Age of 21	
Alcohol-Attributable Deaths (under 21)	181
Years of Potential Life Lost (under 21)	10,916
Fatal Crashes Involving 15- to 20-Year-Old Driver with BAC > 0.01	
Number of Fatalities Involving 15- to 20-Year-Old Driver with BAC > 0.01	26
Percentage of All Fatal Crashes Involving 15- to 20-Year-Old Driver	23%

*Note that in previous years, the numbers and percentages for past-month binge drinking by age group were included in these profiles. These data are not included as a separate category this year. The definition of binge drinking used in the National Survey on Drug Use and Health (NSDUH) changed in 2015 and insufficient state-level data using the new criteria exist. As more years of consistent data become available, the state profiles will include past-month binge drinking as a separate sub-group of past-month alcohol use. For more information, see <https://www.samhsa.gov/data/sites/default/files/NSDUH-TrendBreak-2015.pdf>.

Laws Addressing Minors in Possession of Alcohol

Underage Possession	
Is underage possession of alcoholic beverages prohibited?	Yes
Are there exceptions based on family relationships?	
<ul style="list-style-type: none"> Is possession allowed if parent or guardian is present or consents? Is possession allowed if spouse is present or consents? 	Yes 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?	
<ul style="list-style-type: none"> Is consumption allowed if the parent or guardian is present or consents? Is consumption allowed if the spouse is present or consents? 	N/A 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?	
<ul style="list-style-type: none"> Is internal possession allowed if the parent or guardian is present or consents? Is internal possession allowed if the spouse is present or consents? 	N/A N/A
Is there an exception based on location?	N/A

Underage Purchase and Attempted Purchase	
Is the purchase of alcoholic beverages prohibited?	No law
May youth purchase for law enforcement purposes?	N/A
Note: New York does not have a statute that specifically prohibits purchase, but it does prohibit purchasing or attempting to purchase alcohol by using false evidence of age.	

Underage 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?	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?	50 (15 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?	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

	21 who is not an immediate family member, unless accompanied by parent or instructor
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
<p>Note: New York has certain regional restrictions that apply to the five boroughs of New York City and Nassau, Suffolk, Westchester, Rockland, and Putnam counties. These restrictions are not provided here. The New York DMV will issue a limited-use junior license to a junior driver (under 18) who passes a road test during the first 6 months (i.e., within the mandatory 6-month holding period) after the learner permit was issued. A limited-use junior license allows the junior driver to drive without supervision between 5 AM and 9 PM and within specific geographical boundaries for purposes related to school, employment, medical care, or child care. This would then convert to an intermediate-stage license at the end of the mandatory 6-month holding period.</p>	

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
Are there appearance requirements for the decoy?	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 that are 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?	Unspecified

Minimum Ages 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?	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

Distance Limitations Applied to New Alcohol Outlets Near Universities, Colleges, and Primary and Secondary Schools	
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 (applies only to on-premises licenses which sell spirits)
To which alcohol products does requirement apply?	Wine, Spirits

Note: Exceptions are (1) club affiliated with such school, if school has no objection; (2) certain sections in county of Ulster, borough of Manhattan, and town of Bainbridge; (3) special retail liquor licenses for theaters where availability of alcohol is not advertised in manner visible from street.

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	Prohibited
Wine	Prohibited
Spirits	Prohibited

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/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
Note: Direct sales/shipments permitted only for wineries in states that afford New York wineries a reciprocal shipping privilege.	

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 (beer deliveries limited to 5 gallons; delivery vehicles must be clearly marked)
Wine	Yes (delivery vehicles must be clearly marked)
Spirits	Yes (delivery vehicles must be clearly marked)

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	\$0.14
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	
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)	
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)	
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 5% alcohol beer	\$6.44
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	\$2.54/gallon for alcohol content of 24% or less

Low-Price, High-Volume Drink Specials	
Are on-premises retailers prohibited from offering the following types of drink specials?	
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 time period?	No law
Is wholesaler permitted to extend credit to retailer and if so, what is the maximum time period?	Yes, 25 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 time period?	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?	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 time period?	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

Note: Payment is required within 25 days from certain retail beer and wine licensees (i.e., those who purchase beer and/or wine for resale for on- and off-premises consumption but not including licensees who sell liquor and/or wine for off-premises consumption).

New York State Survey Responses

State Agency Information

Agency with primary responsibility for enforcing underage drinking laws:

New York State Police, New York State Liquor Authority Enforcement Bureau. Local agencies also perform prevention/enforcement activities.

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	No
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

New York State Liquor Authority

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 possession¹ 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

48,000

Number of licensees checked for compliance by state agencies

3,057

(including random checks)

Number of licensees that failed state compliance checks

463

Numbers pertain to the 12 months ending

12/31/2016

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

915

Number of licensees that failed **random** state compliance checks

198

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

1,788

Total amount in fines across all licensees

\$6,403,441

Smallest fine imposed

\$500

Largest fine imposed	\$30,000
Numbers pertain to the 12 months ending	12/31/2016
<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	72
Total days of suspensions across all licensees	1,432
Shortest period of suspension imposed (in days)	3
Longest period of suspension imposed (in days)	60
Numbers pertain to the 12 months ending	12/31/2016
<i>State collects data on license revocations imposed on retail establishments specifically for furnishing minors</i>	Yes
Number of license revocations imposed ⁶	4 to 6
Numbers pertain to the 12 months ending	12/31/2016

Additional Clarification

Checkpoints are multi-age based and look to identify and apprehend all impaired drivers, not just underage drinkers. The NYS Police and NYS Liquor Authority answered questions in Part I, as that is their jurisdiction. The state and local law enforcement maintain separate data bases.

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	519
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.nrepp.samhsa.gov	
URL for more program information: http://www.nrepp.samhsa.gov	

Program Description: Project Northland is a multilevel intervention involving students, peers, parents, and community 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 utilizing student/parent homework assignments, in-class group discussions, and a community-wide 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.

Life Skills Training (LST)

Program serves specific or general population	Specific population
Number of youth served	62,816
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.nrepp.samhsa.gov	
URL for more program information: http://www.nrepp.samhsa.gov	

Program Description: Life Skills Training (LST) is a school-based program that aims to prevent alcohol, tobacco, and marijuana use and violence by targeting major social and psychological factors that promote the initiation of substance use and other risky behaviors.

Too Good For Drugs (TGFD)

Program serves specific or general population	Specific population
Number of youth served	62,115
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.nrepp.samhsa.gov	
URL for more program information: http://www.nrepp.samhsa.gov	

Program Description: Too Good For Drugs (TGFD) is a school-based prevention program for kindergarten through 12th grade that builds on students' resiliency by teaching them how to be socially competent and autonomous problem solvers.

Project Success

Program serves specific or general population	Specific population
Number of youth served	12,653
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.nrepp.samhsa.gov	
URL for more program information: http://www.nrepp.samhsa.gov	

Program Description: Project SUCCESS (Schools Using Coordinated Community Efforts to Strengthen Students) is designed to prevent and reduce substance use among students ages 12–18. The program was originally developed for students attending alternative high schools who are at high risk for substance use and abuse due to poor academic performance, truancy, discipline problems, negative attitudes toward school, and parental substance abuse.

Project Alert

Program serves specific or general population	Specific population
Number of youth served	2,115
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.nrepp.samhsa.gov	
URL for more program information: http://www.nrepp.samhsa.gov	

Program Description: Project ALERT is a school-based prevention program for middle or junior high school students that focuses on alcohol, tobacco, and marijuana use. It seeks to prevent adolescent non-users from experimenting with these drugs, and to prevent youths who are already experimenting from becoming more regular users or abusers.

Project Towards No Drug Abuse (TND)

Program serves specific or general population	Specific population
Number of youth served	6,406
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.nrepp.samhsa.gov	
URL for more program information: http://www.nrepp.samhsa.gov	

Program Description: Project Towards No Drug Abuse (TND) is a drug use prevention program for high school youth. The current version of the curriculum is designed to help students develop self-control and communication skills, and acquire resources that help them resist drug use, improve decision making strategies, and develop the motivation to not use drugs.

Class Action

Program serves specific or general population	Specific population
Number of youth served	1,673
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.nrepp.samhsa.gov	
URL for more program information: http://www.nrepp.samhsa.gov	

Program Description: Class Action is the second phase of the Project Northland alcohol-use prevention curriculum series. Class Action (for grades 11–12) and Project Northland (for grades 6–8) are designed to delay the onset of alcohol use, reduce use among youths who have already tried alcohol, and limit the number of alcohol-related problems experienced by young drinkers.

All Stars

Program serves specific or general population	Specific population
Number of youth served	896
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.nrepp.samhsa.gov	
URL for more program information: http://www.nrepp.samhsa.gov	

Program Description: All Stars is a school-based program for middle school students (11–14 years old) designed to prevent and delay the onset of high-risk behaviors such as drug use, violence, and premature sexual activity.

Teen Intervene

Program serves specific or general population	Specific population
Number of youth served	1,122
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.nrepp.samhsa.gov	

URL for more program information: <http://www.nrepp.samhsa.gov>

Program Description: Teen Intervene is a brief, early intervention program for 12- to 19-year-olds who display the early stages of alcohol or drug involvement. Integrating stages of change theory, motivational enhancement, and cognitive-behavioral therapy, the intervention aims to help teens reduce and ultimately eliminate their substance use.

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: St. Regis Mohawk Tribe and Health Services provides prevention services on and off the reservation. The provider delivers Too Good for Drugs programming and performs social marketing and coalition development. Alternatives Counseling Services Inc. provides prevention services to the Shinnecock Indian Nation in the town of Southampton in Suffolk County. This provider delivers Too Good for Drugs, Too Good for Violence, and Project Venture.

State has programs to measure and/or reduce youth exposure to alcohol advertising and marketing Yes

Description of program: The Youth Development Survey (YDS) was conducted in Fall of 2014 with questions related to youth exposure. Many NYS Office of Alcoholism and Substance Abuse Services (OASAS)-funded providers and coalitions have been performing annual surveys that also measure youth exposure. The OASAS 2014 YDS is posted on the website at:
http://www.oasas.ny.gov/prevention/documents/NYSYDS_2014_FINAL51116.pdf

State has adopted or developed best practice standards for underage drinking prevention programs Yes

Agencies/organizations that established best practices standards:

Federal agency(ies): ONDCP. SAMHSA Yes

Agency(ies) within your state: NYS Office of Alcoholism and Substance Abuse Services (OASAS) Yes

Nongovernmental agency(ies): No

Other: No

Best practice standards description:

Prevention Guidelines: (Guidelines are being updated in 2017.)

The purpose of the 2014 Prevention Guidelines is to define and describe acceptable levels of prevention services, strategies, and activities necessary to reduce underage drinking, alcohol misuse and abuse, illegal drug abuse, medication misuse, and problem gambling within the framework prescribed by OASAS.

Environmental substance abuse prevention strategies were designed to impact the community, social, and economic contexts in which people access and consume alcohol, tobacco, or other drugs. These strategies are grounded in the field of public health and emphasize changing the broader physical, social, cultural, and institutional forces that contribute to health problems in the general population. In New York, environmental strategies primarily target underage drinking and research supports the effectiveness of this approach with preventing/reducing underage alcohol consumption. The most effective environmental strategies employ a three-pronged approach: 1) enacting or improving laws, regulations, and policies, 2) enhancing enforcement of laws, regulations, or policy, and 3) use of the media to raise community awareness and support for the policy and enforcement activities.

Community mobilization and media support are essential both to generate community support for the environmental changes and to promote their sustainability. These relatively new and effective EBP prevention strategies, like all effective prevention, must be based on a community needs assessment for the specific environmental factors that lead to substance-related negative consequences. To be successful, multiple and reinforcing strategies must be planned carefully.

Additional Clarification

The Prevention Guidelines (PG) explain the process for developing and implementing evidence-based environmental prevention strategies. Guidelines were updated in 2014 and can be accessed at: <http://www.oasas.ny.gov/prevention/index.cfm#> (click on Prevention Guidelines). Note: Prevention Guidelines are being updated for 2017.

State Interagency Collaboration

A state-level interagency governmental body/committee exists to coordinate or address underage drinking prevention activities No

Committee contact information:

Not applicable

Agencies/organizations represented on the committee:

Not applicable

A website or other public source exists to describe committee activities Not applicable

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: OASAS developed the *2017 Interim Report on the Statewide Comprehensive Plan 2015-2019* which was developed in accordance with Section 5.07 of Mental Hygiene Law. This Interim Report contains updates on the initiatives and strategic directions outlined in the *Statewide Comprehensive Plan 2015-2019*. The Interim Report provides updates on policy initiatives to combat the heroin and opioid epidemic. It also contains up-to-date information on the expansion of peer services, healthcare transformation, problem gambling services, and other statewide goals and objectives. The plan can be accessed via: <https://www.oasas.ny.gov/pio/commissioner/documents/OASASInterimReport2017Plan20152019.pdf>

State has prepared a report on preventing underage drinking in the last 3 years Yes

Prepared by: OASAS developed the *2017 Interim Report on the Statewide Comprehensive Plan 2015-2019* which was developed in accordance with Section 5.07 of Mental Hygiene Law. This Interim Report contains updates on the initiatives and strategic directions outlined in the *Statewide Comprehensive Plan 2015-2019*. The Interim Report provides updates on policy initiatives to combat the heroin and opioid epidemic. It also contains up-to-date information on the expansion of peer services, healthcare transformation, problem gambling services, and other statewide goals and objectives. The Interim Report can be accessed via: <https://www.oasas.ny.gov/pio/commissioner/documents/OASASInterimReport2017Plan20152019.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 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 \$43,128,823

Estimate based on the 12 months ending 12/31/2016

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
<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	No

Description of funding streams and how they are used:

Not applicable

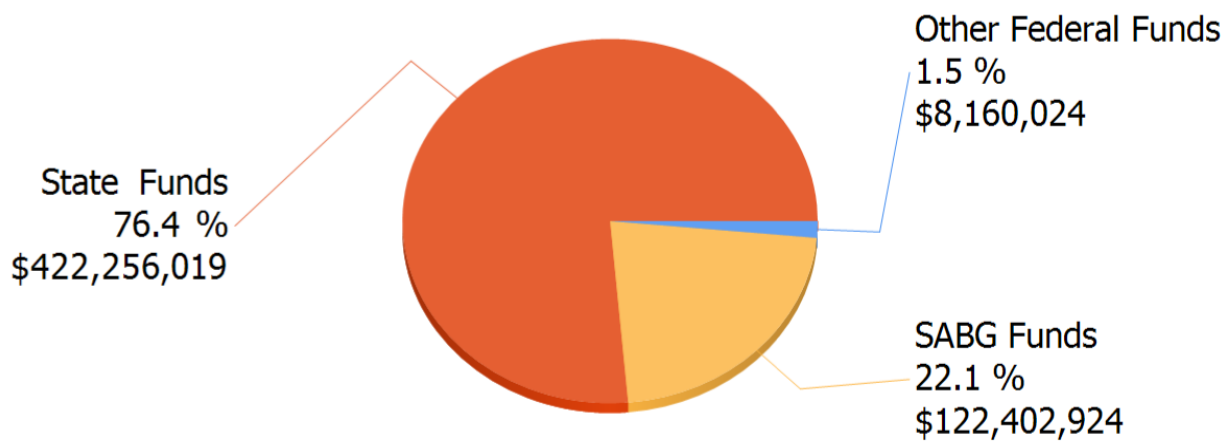
Additional Clarification

No data

In addition to the state expenditures on underage drinking prevention reported in the annual STOP Act Survey, all states receive federal funds for substance abuse prevention through Substance Abuse Prevention and Treatment Block Grant (SABG) funds, administered by the Substance Abuse and Mental Health Services Administration (SAMHSA). Exhibit 1 shows the sources that New York used for expenditures on substance abuse prevention and treatment in 2017. As indicated, state funds and SABG funds account for the largest sources (76.4 percent and 22.1 percent respectively).¹¹

States submit Behavioral Assessment and Plan reports that include their priorities for use of SABG funds, as well as planned expenditures. For FY 2018-2019, New York did not specifically identify underage drinking as a prevention priority for use of SABG funds.¹²

Exhibit 1: Source of 2017 Expenditures for Substance Abuse Prevention and Treatment



¹¹ WebBGAS State Profile, 2017 SABG and MHBG Reports– New York 2017

¹² FY 2018/2019 – (New York) State Behavioral Assessment and Plan, Substance Abuse Prevention and Treatment Block Grant, Center for Substance Abuse Prevention, Division of State Programs, Center for Substance Abuse Treatment, Division of State and Community Assistance: Table 1: Priority Areas and Annual Performance Indicators



SAMHSA
Substance Abuse and Mental Health
Services Administration