

# **CHAPTER 4.2**

## **Cross-State Survey Report**

## Overview

The STOP Act State Survey of the 50 States and the District of Columbia was designed to gather information about:

- Enforcement programs to promote compliance with underage drinking laws and regulations.
- Programs targeted to youth, parents, and caregivers to deter underage drinking, and the number of individuals served by these programs.
- The amount that each State invests, per youth capita, on the prevention of underage drinking.

The survey content was derived directly from the STOP Act, covering topics and using terminology from the Act itself. The survey instrument comprised approximately 90 questions divided into 4 sections:

1. Enforcement of underage drinking laws, including:
  - The extent to which States implement random checks of retail outlets, assessing compliance with laws prohibiting the sale of alcohol to minors, and the results of these checks
  - The extent to which the States implement other underage-drinking-enforcement strategies, including Minors in Possession, Cops in Shops, Shoulder Taps, Party Patrol/Party Dispersal, and Underage Alcohol-Related Fatality Investigations (see Definitions below)
  - Sanctions imposed for violations
2. Underage drinking prevention programs targeted to youth, parents, and caregivers, including data on State best-practice standards and collaborations with Tribal Governments, and the number of people served by these programs
3. State interagency collaborations used to implement the above programs
4. Estimates of the State funds, per youth capita, 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

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.” Survey instructions emphasized that States were expected to rely on readily available data, rather than initiating data collection for the sole purpose of answering the survey questions. In all cases, the survey offered the opportunity to respond “Data not Available.”

### Definitions for Enforcement Strategies

**Compliance Checks/Decoy Operations:** Trained underage operatives (“decoys”), working with law enforcement officials, enter retail alcohol outlets and attempt to purchase alcohol

**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 people to make an alcohol purchase

**Party Patrol/Party Dispersal:** Operations that identify underage drinking parties, and/or safely make arrests and issue citations at underage drinking parties

**Underage, Alcohol-Related Fatality Investigations:** Investigations to determine the source of alcohol ingested by fatally injured minors

## Methods

The survey was uploaded to a Web-based platform, and a letter with a link to the survey was sent to each State Governor’s office and the Office of the Mayor of the District of Columbia. The Governors and Mayor were asked to designate a State representative to serve as the contact and be responsible for completing the survey. In all cases, designated contacts were typically staff members from State substance-abuse-program agencies and State alcohol beverage control (ABC) agencies.

The online survey was available for completion by the States beginning in December 2010. The Substance Abuse and Mental Health Services Administration (SAMHSA) provided both telephone and online technical support to State agency staff while the survey was in the field. SAMHSA also recruited key stakeholder groups to encourage complete and accurate responses to the survey and to identify respondent issues. Participating stakeholders included the National Association of State Alcohol and Drug Agency Directors, the National Liquor Law Enforcement Association, the National Prevention Network, the National Alcohol Beverage Control Association, and the National Association of Attorneys General.

Responses were received from all 50 States and the District of Columbia (100 percent response rate) (Note: The States and the District of Columbia are henceforth referred to simply as “States”). Each State’s response was reviewed by senior staff and inquiries were made concerning apparent omissions, ambiguities, or other content issues. The responses were also copy edited, and the edited responses were returned to each State by email. The States either approved the proposed copy edits or provided their own copy edits, and provided any requested clarifications to their submissions.

## Results

### Introduction

The individual State Reports provide a full presentation of the survey data submitted by each State. This Results section provides summary information on all variables amenable to quantitative analysis. Again, it is important to keep in mind that the States determined how much information to provide, and that the range of information provided by the respondents was highly

variable. The breadth and depth of the information should not be assumed to reflect all underage drinking prevention activity in any State.

The results are grouped into four 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

In all cases where numerical estimates are reported, the reporting period is the most recent year for which complete data were available. Average values are reported as medians. The median is the numerical value separating the higher half of a sample from the lower half. The median 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 data set).

**Enforcement Programs**

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

1. Whether or not the State encourages and conducts comprehensive enforcement efforts—such as random compliance checks and shoulder-tap programs—to prevent underage access to alcohol at retail outlets.
2. The number of compliance checks within alcohol retail outlets.
3. The results of such checks.
4. Enforcement of a variety of State laws aimed at deterring underage drinking (see Policy Summaries). In the current survey, arrest data for minor in possession (MIP) offenses have been used to index enforcement of these laws.

Such reporting requires that States keep records of enforcement activities. 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.

**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 data, 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
Percent	78%	31%	82%	35%	73%	73%	80%

The 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.

## **Enforcement Strategies, Statistics, and Results**

### **Compliance Checks**

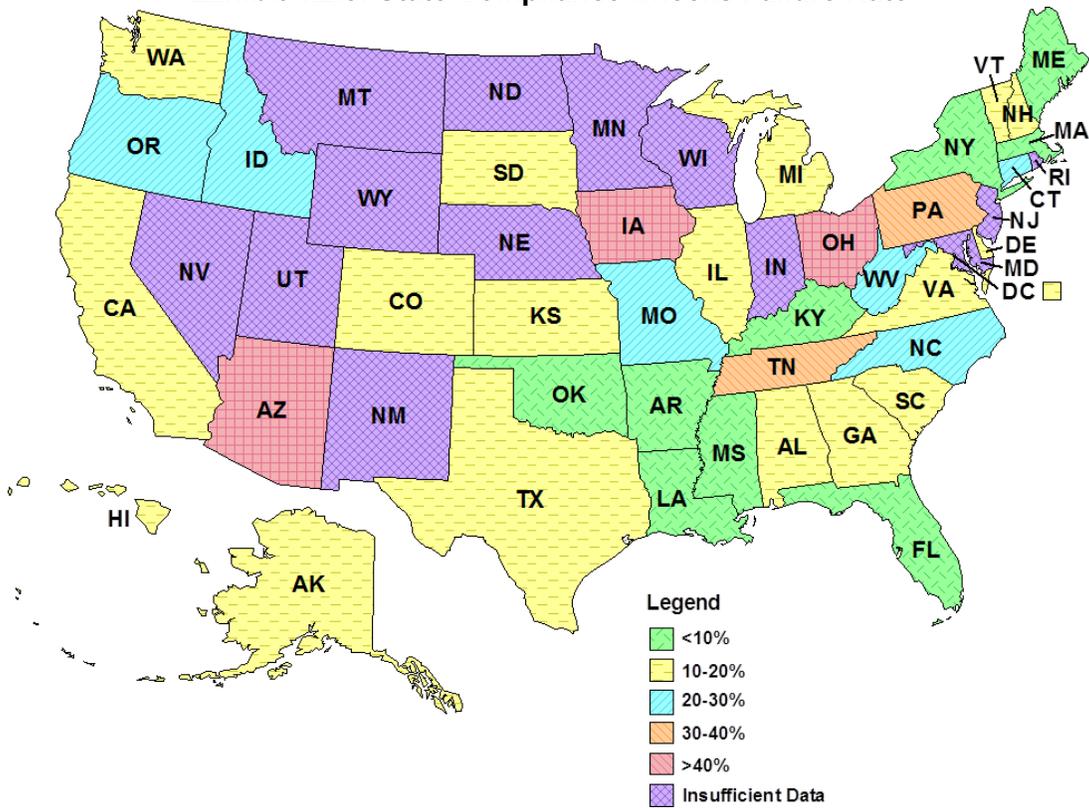
As can be seen in Exhibit 4.2.2, 78 percent of States conduct compliance checks and collect associated data. However, the number of licensees in the State upon which checks were conducted varies widely, as does the number of licensees that failed these checks. In addition, in 31 percent of the States, localities also conduct compliance checks and collect data. As shown in Exhibit 4.2.2, the number of licensees checked and licensee failures varies widely.

Exhibits 4.2.3 and 4.2.4 provide State-by-State licensee failure rates for available data on compliance checks conducted by State and local agencies. Most State-level checks report failure rates of 20 percent or less, with 10 States reporting higher rates. Exhibit 4.2.4 highlights the lack of data on local compliance checks for most States—only 13 States report any data, with 10 of those States reporting rates of 20 percent or less.

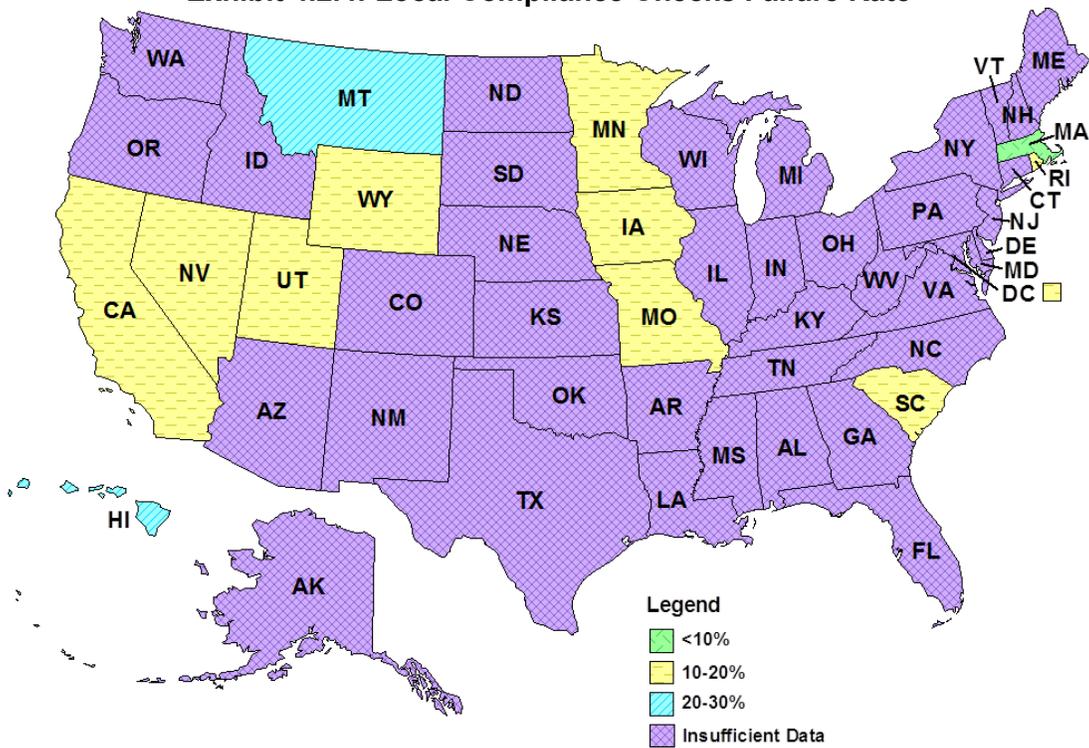
**Exhibit 4.2.2: Compliance Checks**

	Number of licensees upon which checks were conducted		Percentage of licensees upon which checks were conducted that failed the checks	
State agencies ( <i>n</i> =40)	Median for those that collect data	1,277	Median for those that collect data	15%
	Minimum	44	Minimum	4%
	Maximum	10,788	Maximum	54%
Local agencies ( <i>n</i> =16)	Median for those that collect data	1,305	Median for those that collect data	14%
	Minimum	0	Minimum	9%
	Maximum	8,551	Maximum	23%

**Exhibit 4.2.3: State Compliance Checks Failure Rate**



**Exhibit 4.2.4: Local Compliance Checks Failure Rate**



The data in Exhibits 4.2.3 and 4.2.4 must be viewed with considerable caution. First, more populous States will generally have more outlets. Second, the current data provide no information on cases in which multiple checks are made on the same outlet. Third—and relatedly—the survey did not request data that would allow a comparison of the total number of outlets in a jurisdiction with the total number of outlets checked during this period. This is an important omission that should be corrected in future years. Finally, compliance-check protocols vary by State; some States use different procedures and requirements for choosing underage decoys than do others (See Compliance Check Protocols in Policy Summaries). States may also conduct compliance checks randomly in response to complaints or due to 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 Activities**

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.

As shown in Exhibit 4.2.5, the most common enforcement activities at both State and local levels are Underage Alcohol-Related Fatality Investigations and Party Patrol Operations or Programs.

**Exhibit 4.2.5: Enforcement Activities**

State enforcement: Number of States that implement					Local enforcement: Number 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
Percent	41%	27%	63%	80%	47%	61%	90%	76%

Exhibit 4.2.6 displays States that implement one, two, three, or all four of the strategies. Exhibit 4.2.7 displays States in which localities implement one, two, three, or all four of the strategies.



In addition, all States regulate or prohibit direct shipment of alcohol to consumers, either through specific statutes and regulations or through general provisions of alcohol-beverage-control laws. States were asked whether they have a program to investigate and enforce direct sales/shipment laws and whether these laws are also enforced by local law enforcement agencies. Direct-shipment laws permit, regulate, or prohibit direct-to-consumer sales of wine, beer, or spirits via the Internet or delivery by common carrier. Direct-sales laws do not address home delivery to consumers by retailers without the use of common carriers. As shown in Exhibit 4.2.8, approximately two thirds of the States have direct-shipment-enforcement programs, but only about one fifth report local enforcement.

**Exhibit 4.2.8: Enforcement of Direct Shipment Laws**

State has a program to investigate and enforce direct sales/shipment laws		Laws are also enforced by local law enforcement agencies
Yes	63%	20%
No	29%	45%
Don't Know/ No Answer	8%	35%

***Sanctions Imposed for Violations***

*Penalties on Retail Establishments*

The State Survey requested information on penalties imposed on retail establishments for furnishing to minors (Exhibits 4.2.9–4.2.11). As would be expected, fines are the most common sanction, and are imposed about 12 times as often as suspensions. Revocations are rare. Of the States that collect data on revocations, more than half revoked one or no licenses. Almost two thirds of the States revoked fewer than six licenses.

**Exhibit 4.2.9: 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 (n=38)	224	\$191,105
Minimum	5	\$2,400
Maximum	2,257	\$4,473,750

**Exhibit 4.2.10: License Suspensions Imposed on Retail Establishments for Furnishing to Minors**

Number of outlets suspended for furnishing		Total days of suspensions across all licensees
Median for those that collect data (n=38)	18	88
Minimum	0	0
Maximum	1,468	7,030

**Exhibit 4.2.11: License Revocations Imposed on Retail Establishments for Furnishing to Minors**

Number of outlets revoked for furnishing	
Median for those that collect data (n=41)	0*
Minimum	0
Maximum	106
*The median will be zero if more than half the responses are zero.	

Sanctions for furnishing to minors can be put in some perspective by considering rates per 1,000 drinking occasions among youths who are 16 to 20 years old. Exhibit 4.2.12 presents these rates for 28 States that collect complete sanctions data (fines, suspensions, and revocations).

**Exhibit 4.2.12: Retailer Sanctions for Furnishing to Minors**

n=28	Retailer sanctions per 1,000 drinking occasions
Median for those that collect data	9
Minimum	0.62
Maximum	34

*Minor in Possession (MIP) 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 4.2.13 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 since much MIP enforcement is done by local police. The second three rows present data only from those States that collect both State and local data. When only those States that collect local data are included, the median number of arrests/citations increases by about three quarters, once again highlighting the importance of local enforcement efforts and data.

**Exhibit 4.2.13: Number of Minors Found In Possession of (or Having Consumed or Purchased per State Statutes) Alcohol**

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=42)	1,345
Minimum	6
Maximum	18,248
Median for States that collect both State and local data (n=18)	2,373
Minimum	43
Maximum	13,097

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 arrest/citations with an estimate of yearly drinking occasions among 16- to 20-year-olds.<sup>29</sup> The second index reflects arrests per 100,000 youth who are 16 to 20 years old. The results appear in Exhibit 4.2.14.

**Exhibit 4.2.14: Arrests/Citations for Minors In Possession: 16- to 20-Year-Olds**

N=17*	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	2,373	2.10	2,268
Minimum	43	.08	91
Maximum	13,097	8.09	8,735
*We could not obtain census data for 16- to 20-year-olds for one State.			

Because the data in Exhibit 4.2.14 are from States with both State and local MIP enforcement, the rates for the Nation as a whole will be lower.

### ***Sanctions Against Youth vs. Sanctions Against Retailers***

A window on enforcement priorities is provided by comparing rates of MIP arrests and rates of retailer sanctions (totals of fines, suspensions, and revocations). Twenty-two States provided the complete data set needed for this analysis (Exhibit 4.2.15).

In most States, MIP arrests outnumber retailer sanctions by a large degree. However, in about 20 percent of the States, the ratio of MIP arrests to retailer sanctions is less than one, indicating a priority on enforcement at the retail level.

**Exhibit 4.2.15: Ratio of MIP Arrests to Retailer Sanctions**

	MIP arrests per retailer sanctions
Median for those that collect data (n=22)	9
Minimum	0.01
Maximum	462

<sup>29</sup> 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.

## Programs Targeted to Youths, Parents, and Caregivers

States were asked to describe their underage drinking prevention programs. Information was requested about:

1. Programs **specific** to underage drinking (e.g., prevention of underage drinking is the primary objective).
2. Programs **related** to underage drinking (e.g., address other drug use [including tobacco] in addition to alcohol use), for example:
  - School-based drug and alcohol education
  - Programs that address individual risk and protective factors
  - Programs to strengthen families

Definitions for Youth, Parents, and Caregivers from Survey
<p><b>Youth:</b> Persons younger than 21 years old</p> <p><b>Parents:</b> Persons who have primary responsibility for the well-being of a minor (e.g., biological and adoptive parents, grandparents, foster parents, extended family)</p> <p><b>Caregivers:</b> Persons who provide services to youth (e.g., teachers, coaches, healthcare and mental healthcare providers, human services and juvenile justice workers)</p>

The survey provided space to describe up to 20 specific programs and 2 related programs, and to list 8 additional related programs. For the specific programs, space was also provided to indicate:

- The numbers of youth, parents, and caregivers served by each program.
- Whether the program has been evaluated.
- Whether an evaluation report is available and where the report can be found.

In addition to program descriptions, States were asked whether they had programs to measure and/or reduce youth exposure to alcohol advertising and marketing, and about best practice standards they used to select or approve 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), while others described the general program.

Many well-known programs were reported, including those focused on life skills, refusal skills, media advocacy, community organizing, and environmental change. Also well represented were indigenous initiatives that appear, at least for the moment, to be unique to their States of origin.

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, DWI). Certain kinds of education and skills development were considered part of the environment. These include training for alcohol sellers and servers, healthcare 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 to alcohol (e.g., home delivery bans, retailer compliance checks), raise economic costs (drink special restrictions, taxation), and/or 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, 284 programs (77 percent of all programs) were described in sufficient detail to allow coding.<sup>30</sup> The results are presented in Exhibit 4.2.16.

As shown in Exhibit 4.2.16, programs focused on individuals were more than twice as common as programs focused on the environment. There was a tendency for States to favor either an individual or an environmental approach in the programs they described, and some States focused exclusively on one or the other.

Exhibit 4.2.16: Types of Programs Implemented by the States

Focused on individuals	55%
Focused on the environment	21%
Mixed focus	18%
Media campaigns	6%

### **Numbers Served**

For each specific program described, States were asked to estimate the numbers of youth, parents, and caregivers served. These data were spotty, with about 70 percent of the States ( $n=36$ ) providing data for at least one program for youth served, 40 percent for parents served ( $n=20$ ), and 18 percent ( $n=9$ ) for caregivers served. These may be difficult data for certain types of programs to estimate. In particular, programs focused on the environment have entire populations or subpopulations as the target population. Estimating the actual numbers reached is therefore problematic, as one State noted in its response.

Exhibit 4.2.17 gives the reported number of youths, parents, and caregivers served across all States that reported data.

<sup>30</sup> In some cases, the States did not provide enough information about the nature of the program to allow coding. In other cases, space limitations in the survey instrument prevented States from fully describing all their programs.

**Exhibit 4.2.17: Reported Numbers of Parents, Youth, and Caregivers Served**

	Youths served	Parents served	Caregivers served
Median	28,300	13,500	2,105
Minimum	0	100	4
Maximum	1,336,780	802,488	711,835

**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 4.2.18.

Clearly, the States vary widely in the emphasis they place on evaluation.

**Exhibit 4.2.18: Evaluation of Underage Drinking-Specific Programs**

	Percentage of the State's programs that are evaluated	Percentage of evaluated programs with reports available
Median	50%	33%
Minimum	0%	0%
Maximum	95%	100%

**Programs To Measure and/or 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. Twenty-nine percent ( $n=15$ ) of the States reported they had such programs, which tend to focus on four types of efforts:

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. Seventy-five percent ( $n=38$ ) reported they had such standards. States were asked to describe the standards; the data were of variable quality. Some State responses were ambiguous or too brief to code reliably; however, approximately 20 percent of the 38 States that reported having standards said they followed SAMHSA's guidance document on evidence-based practices (*Identifying and Selecting Evidence-Based Interventions for Substance Abuse Prevention*, Revised Guidance Document for the Strategic Prevention Framework State Incentive Grant Program, SAMHSA, January 2009). A few additional States referenced another federally produced document, and another 20 percent of the States described guidelines the States themselves developed. About 40 percent of the States described a process for selecting programs or listed the programs themselves that were considered best practices.

### Collaborations, Planning, and Reports

The STOP Act survey included two questions about collaborations. The first asked whether States collaborated on underage drinking issues with federally recognized Tribal Governments (if any). Forty-three percent ( $n=22$ ) said they did collaborate, 31 percent said they did not collaborate, and the remaining States reported no federally recognized Tribes in their States.

The second question asked whether the States had a State-level interagency body or committee to coordinate or address underage-drinking-prevention activities. Eighty 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 State Departments of Health and Human Services, Alcohol Beverage Control, the Substance Abuse Agency, and the State Police/Highway Patrol. Of interest is the extent to which the committee included representatives of the governor, legislature, and attorney general, since they are so critical in setting priorities, providing funding, and generating political and public support.

As can be seen in Exhibit 4.2.19, about 1 in 5 States with a committee included the governor and/or attorney general, and only about 1 in 10 included a representative of the legislature.

We also assessed the extent to which the interagency committee included relevant entities and constituencies outside of State government (see Exhibit 4.2.20).

**Exhibit 4.2.19: Composition of the Interagency Group - State Government Entities**

Composition of the Interagency Group	Office of the Governor	Legislature	Attorney General
Percentage of States with a committee ( $n=41$ )	18%	11%	21%

**Exhibit 4.2.20: 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 ( $n=41$ )	11%	29%	50%	18%

About half the States with interagency committees included community coalitions, and slightly less than one third included college/university administrations, campus life departments, or campus police. About 1 in 5 States included youth, but only about 1 in 10 included local law enforcement.

States were asked whether they had prepared a plan for preventing underage drinking and/or issued a report on underage drinking in the past 3 years. About two thirds of the States had prepared a plan, and about three quarters had issued a report. The majority of States provided a source for obtaining the plans or reports (see individual State reports).

### State Expenditures on 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. Exhibit 4.2.21 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.

**Exhibit 4.2.21: 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	24	21	31	24	18	19	12	16
Median expenditure**	\$130K	\$53K	\$591K	\$235K	\$24K	\$0*	\$0*	\$144
Minimum reported	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Maximum reported	\$4,426K	\$4,206K	\$17,779K	\$35,075K	\$619K	\$1,013K	\$1,000K	\$64,258K
Percentage of States providing data that invest in this category	71%	62%	87%	67%	78%	53%	33%	69%
* The data in this exhibit must be viewed cautiously. Response rates ranged from about 33 percent to about 87 percent. Thus, the extent to which some of these data reflect national trends is uncertain. ** The median will be zero if more than half the responses are zero.								

The largest expenditure category is for community-based programs, followed by K–12 programs. Noteworthy is the fact that the total median expenditure on programs targeted to youth, parents, and caregivers (approximately \$1 million) is five and one-half times the total median amount spent on enforcement (approximately \$180,000).

States were also asked whether funds dedicated to underage drinking are derived from taxes, fines, and fees. About 80 percent of the States provided data for these questions. As shown in Exhibit 4.2.22, use of these funding sources for underage-drinking-prevention activities is limited.

**Exhibit 4.2.22: Sources of Funds Dedicated to Underage Drinking**

	n	Percent Yes
Taxes	42	26%
Fines	41	17%
Fees	43	14%
Percentages reflect only those States that provided data for these questions		

## Discussion

The extent and richness of State activities related to underage drinking can only be fully appreciated through examination of the State Survey Responses in this chapter. This report summarizes data on variables amenable to quantitative analysis. Four broad categories of initiatives were discussed:

9. Enforcement Programs
10. Programs Targeted to Youth, Parents, and Caregivers
11. Collaborations, Planning, and Reports
12. State Expenditures on the Prevention of Underage Drinking

A key conclusion to be drawn from the STOP Act State Survey is that the States have evidenced a commitment to the reduction of underage drinking and its consequences. This commitment is demonstrated by the fact that all States and the District of Columbia completed the survey, and that many jurisdictions provided substantial detail about their activities (see individual State summaries).

### **Enforcement Programs**

The large majority of States collect data on State compliance checks, MIP charges, and penalties imposed on retail establishments. However, less than one-third of the States collect data on local enforcement efforts. Thus, our ability to draw conclusions about enforcement activities and effectiveness is currently 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. However, the total number of checks is modest. The effectiveness of these enforcement activities is difficult to assess from the current data. Sanctions for furnishing are predominantly fines, which are 12 times more common than suspensions. Revocations are extremely rare. More than half the States revoked one or no licenses. Data on MIP actions (an index of the enforcement of a variety of laws aimed at deterring underage drinking) revealed a median of about 2 arrests per 1,000 underage drinking occasions, and 2,268 arrests per 100,000 population of 16- to 20-year-olds. At least on their face, these rates appear low.

### **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. Only about one in five programs focused on environmental change. Data on numbers of program participants were spotty, owing perhaps to inherent difficulties in estimating program participation for programs focused on entire populations or subpopulations (e.g., environmental change programs).

Evaluation of underage drinking-prevention programs is limited. Only about half have been evaluated, and reports are available for only about a third of these. As with enforcement, our ability to assess program effectiveness suffers from a lack of relevant data.

Seventy-five percent of States reported that they had best practice standards for underage-drinking-prevention programs. However, data on the actual standards were somewhat difficult to interpret, perhaps owing to confusion about what the survey was asking. While approximately 60 percent of States that had standards reported that they followed a Federal standard or had developed their own standard, the remaining States described a process for selecting programs or listed the programs themselves that were considered best practices.

### **Collaborations, Planning, and Reports**

Eighty 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 about one in five included the Governor and/or attorney general, and only about one in ten included a representative of the legislature. About half the States included community coalitions, and a little less than a third included college/university administrations, campus life departments, or campus police. About 1 in 5 States included youth, but only about 1 in 10 included local law enforcement. 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 and/or issued a report on underage drinking in the past three years. About two-thirds of the States had prepared a plan, and about three-quarters 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 community-based programs, followed by K – 12 programs. The total median expenditure on programs targeted to youth, parents, and caregivers (approximately \$1 million) is five and one-half times the total median amount spent on enforcement (approximately \$180,000). Data reporting was again spotty, with response rates ranging from 33 to 87 percent (median = 68 percent) across the five categories. Thus, these results must be viewed with some caution. On the other hand, these may be difficult data for States to assemble given multiple funding streams, asynchronous fiscal years, and so on.

### **Comment**

The data reveal a wide range of activity in the areas studied, although they vary in scope and intensity from State to State. Clearly, all States have areas of strengths and all have 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. This is especially the case in the areas of local law enforcement and expenditures. Accurate and complete data are essential both for describing current activities to prevention underage drinking and to monitor progress in future State Surveys.