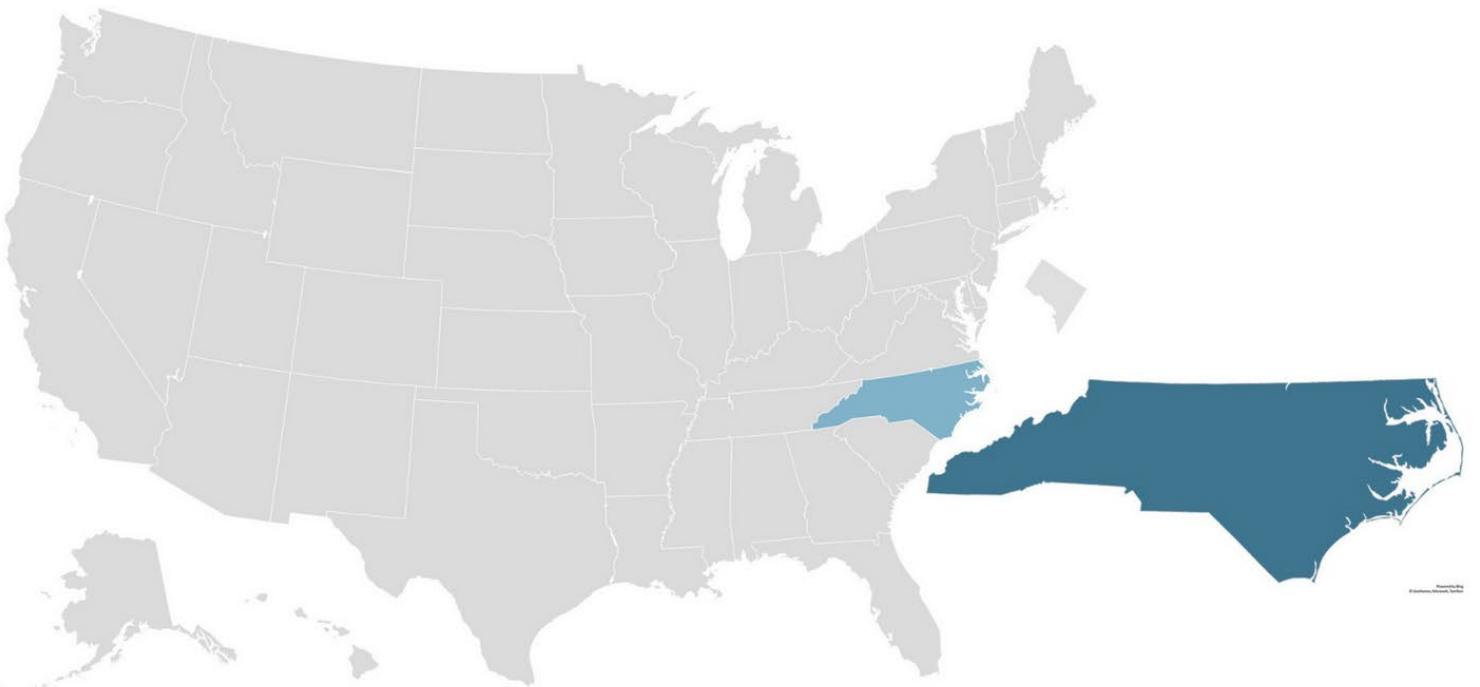




**SAMHSA**  
Substance Abuse and Mental Health  
Services Administration

**North Carolina**

# 2022 STATE REPORTS – UNDERAGE DRINKING PREVENTION AND ENFORCEMENT



**ICCPUD**

**THE INTERAGENCY COORDINATING COMMITTEE  
ON THE PREVENTION OF UNDERAGE DRINKING (ICCPUD)**

This *State Report* is required by the Sober Truth on Preventing (STOP) Underage Drinking Act (Pub. L. 109-422), 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 the Prevention of Underage Drinking (ICCPUD), chaired by Miriam Delphin-Rittmon, Ph.D., the Assistant Secretary for Mental Health and Substance Use, U.S. Department of Health and Human Services (HHS).

**Time Period Covered by this *State Report*:** This *State Report* primarily includes data from calendar year 2020 and 2021. Regional and state profile data were drawn from the most recently available federal survey data as of 2020. State legal data reflect the status of the law as of January 1, 2021. State survey data, collected in 2021, were drawn from the most recent 12-month period in which the states maintained the data.

**Source of Data:** For each state, overall population information was taken from 2010 Census data. Data about the portion of each state’s population comprising 12-to 20-year-olds, as well as facts about past-month alcohol use and binge use, were averaged from the 2017 through 2020 National Surveys on Drug Use and Health (NSDUH), SAMHSA’s Center for Behavioral Health Statistics and Quality (CBHSQ), and the NSDUH special data analysis (2021). Confidence intervals for these estimates are available from CBHSQ’s Division of Surveillance and Data Collection on request. The Centers for Disease Control and Prevention’s Alcohol-Related Disease Impact (ARDI) application (updated May 2022) served as the resource for data about alcohol-attributable deaths from 2015–2019 among youth under age 21. ARDI was also the source for state-level data on years of potential life lost as a result of underage alcohol-related fatalities. The National Center for Statistics and Analysis’s Fatality Analysis Reporting System (FARS) provided the 2020 data used to present statistics about fatalities among 15- to 20-year-old drivers. State legal policy data were obtained from the following sources: 1) the National Institute on Alcohol Abuse and Alcoholism’s Alcohol Policy Information System (APIS) website (<https://alcoholpolicy.niaaa.nih.gov/>); 2) legal research planned and managed by the ICCPUD.

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# NORTH CAROLINA



**SAMHSA**  
Substance Abuse and Mental Health  
Services Administration

THE INTERAGENCY COORDINATING COMMITTEE  
ON THE PREVENTION OF UNDERAGE DRINKING (ICCPUD)



## North Carolina

**State Population: 10,600,823**

**Population Ages 12–20: 1,193,000**

Past-Month Alcohol Use	
<b>Ages 12–20</b>	
Past-Month Alcohol Use – Number (Percentage)	217,000 (18.2%)
Past-Month Binge Alcohol Use – Number (Percentage)	144,000 (12.1%)
<b>Ages 12–14</b>	
Past-Month Alcohol Use – Number (Percentage)	12,000 (3.1%)
Past-Month Binge Alcohol Use – Number (Percentage)	8,000 (1.9%)
<b>Ages 15–17</b>	
Past-Month Alcohol Use – Number (Percentage)	58,000 (14.8%)
Past-Month Binge Alcohol Use – Number (Percentage)	40,000 (10.2%)
<b>Ages 18–20</b>	
Past-Month Alcohol Use – Number (Percentage)	146,000 (36.7%)
Past-Month Binge Alcohol Use – Number (Percentage)	96,000 (24.1%)
<b>Adults Ages 21+</b>	
Past-Month Alcohol Use – (Percentage)	3,959,000 (52.5%)
Past-Month Binge Alcohol Use – (Percentage)	1,738,000 (23.1%)
Average Age of Initiation	
Average Age of Initiation	16.5
Alcohol-Attributable Deaths and Years of Potential Life Lost Under the Age of 21 <sup>1</sup>	
Alcohol-Attributable Deaths (under 21)	137
Years of Potential Life Lost (under 21)	7,700
Fatal Crashes Involving a 15- to 20-Year-Old Driver With Blood Alcohol Concentration (BAC) > 0.01% <sup>2</sup>	
Number of Fatalities Involving 15- to 20-Year-Old Driver With BAC > 0.01%	52
Percentage of All Fatal Crashes Involving a 15- to 20-Year-Old Driver	24%

<sup>1</sup> The Alcohol-Related Disease Impact Application was updated May 2022 to reflect new methodology for calculating the average annual alcohol-attributable deaths, and it reflects national and state annual averages from 2015–2019.

<sup>2</sup> Alcohol-related fatalities are estimates derived from a sophisticated statistical procedure. The estimates are rounded to the nearest whole number; however, percentages as displayed are calculated from the unrounded estimates and may not equal those calculated from the rounded estimates. Totals may not equal the sum of components due to independent rounding.



## Behavioral Health Services Overview<sup>1</sup>

The Division of Mental Health, Developmental Disabilities and Substance Abuse Services (DMH/DD/SAS) of the North Carolina Department of Health and Human Services is the Single State Agency for the Substance Abuse Prevention and Treatment (SAPT) Block Grant and the State Mental Health Agency for the Community Mental Health Services (CMHS) Block Grant. The Division consists of the Director's Office and five (5) sections, each of which contains one or more teams. The executive leadership team is comprised of the Director, Deputy Director, Assistant Director for Policy and Program Design, Assistant Director for System Performance, Assistant Director for Community Engagement and Empowerment, the Chief Medical Officer and the Chief Financial Officer.

The Addictions and Management Operations team is primarily responsible for SUD treatment and recovery services. It is comprised of the Section Chief, the Women's Services Coordinator, the State Opioid Treatment Authority Administrator (SOTA) and two field staff who provide technical assistance and monitoring of the 86 opioid treatment programs in North Carolina, the NC Problem Gambling Program Administrator and an adolescent services specialist. Additional time-limited staff function as Project Directors and supporting staff for several federal discretionary grants, including the Pregnant and Post-Partum Women Pilot (PPW-PLT) grant, the State Opioid Response (SOR) 2 grant and the Emergency COIVD-19 grant.

The Prevention and Wellness team is responsible for SUD primary prevention. This team is comprised of the Section Chief and staff who are responsible for SUD primary prevention initiatives under the block grant, including programmatic and financial compliance, monitoring and reporting, training and technical assistance, interagency relationships, coordination and planning, needs assessment, the utilization of evidenced based programs, policies and practices, and evaluation. Other areas of focus include underage drinking, fetal alcohol spectrum disorder, Synar/FDA compliance, and the prevention components of the State Opioid Response grant. Time-limited staff oversee the SPF-Rx grant focusing on prescription drug use/misuse and the Partnership for Success grant which focuses on the prevention of underage drinking ages 9-20, marijuana and e-cigarettes.

Substance use disorder treatment and prevention, and mental health services were formerly provided directly by service providers (individuals) employed by area/county programs. With the 2001 Mental Health Reform legislation passed by the NC General Assembly, the focus of area programs shifted from direct service provision to the management of the local service delivery system. These Local Management Entities (LMEs) began contracting with providers for the delivery of services in their catchment areas. Between 2001 and 2010, the number of LMEs was incrementally reduced from 48 to 23. In April 2005, the state piloted the 1915 (b) Freedom of Choice Waiver/(c) Innovations Home and Community Based Services (HCBS) Managed Care Waiver with one LME. Under these waivers, Medicaid services are funded through capitated Pre-paid Inpatient Health Plans (PIHP) that allowed the Managed Care Organizations (MCO) to have more flexibility in service delivery. Due to the success of the pilot, in December 2009,

<sup>1</sup> Extracted from fiscal year (FY) 2022/2023 – (North Carolina) State Behavioral Health Assessment and Plan, SABG, CSAP, Division of State Programs, Center for Substance Abuse Treatment, Division of State and Community Assistance: Planning Step One. Assess the strengths and needs of the service system to address the specific populations.

DHHS submitted a waiver amendment to CMS designed to expand the 1915 (b)/(c) waiver statewide over a period of several years.

Numerous mergers between LMEs have occurred since then, resulting to date in seven (7) LME/MCOs covering all 100 counties. DMH/DD/SAS and the Division of Health Benefits (also called NC Medicaid) jointly administer the LME/MCOs. The Division is primarily responsible for the oversight of services delivered by Local Management Entities/Managed Care Organizations (LME/MCOs), as they are the Division's intermediaries at the local level.

### **Adolescent Substance Use Disorder Services**

The State is currently assessing and reviewing the adolescent SUD workforce and the network of community-based SUD treatment providers. The State is seeking to identify options for supporting the adolescent SUD workforce and ensuring they have the necessary skills and learning to provide effective treatment services. The State is also seeking to identify options that will allow service users, referral sources etc. to easily locate adolescent treatment providers and have confidence in the treatment providers ability to deliver quality treatment services.

Services available for youth, who are often diagnosed with other behavioral or mental health disorders, in addition to substance use, include:

- Outpatient Therapy
- Outpatient Therapy Plus (some LME/MCOs)
- Day Treatment
- SA Intensive Outpatient
- Intensive In-Home Services
- Multisystemic Therapy

In addition to the above, the Adolescent Substance Use Disorder Regional Residential Program Initiative was created to ensure the availability of SUD residential services for adolescents in every region of the State of North Carolina. The mission is to provide medium-term residential services and public education to prepare individuals under 18 years old with Substance Use Disorders, and other co-occurring problems, for ongoing community- based recovery services.

All programs under this initiative admit youth from anywhere in the state, serving all 100 counties, giving them the distinction of Cross Area Service Programs (CASPs). All programs use proven evidence- based SUD models at their facilities. These programs provide 24-hour residential services through supervised living or similar licensure and intensive outpatient or day treatment services. The majority of sites provide public education through local teachers assigned to the program by the local education authority or Department of Public Instruction.

These programs provide evidence-based SUD treatment services that include counseling to assist youth and their families in becoming actively involved in their own recovery. This is achieved through comprehensive assessment, treatment planning, group therapy, individual therapy and continued care planning. A Child and Family Team is constructed for every youth and family. The team has the responsibility of developing and updating the youth's Person Centered Plan (PCP) for recovery. This also includes discharge planning and care coordination for when youth

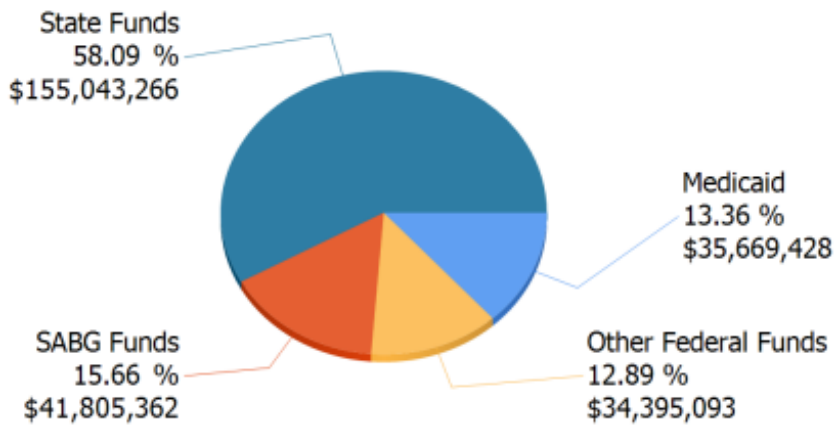
return to their homes and community to ensure continuing treatment through their local community outpatient treatment programs, and other community resources.

### Expenditures for Substance Abuse Prevention and Treatment

All states receive federal funds for substance abuse prevention through SABG funds administered by the Substance Abuse and Mental Health Services Administration (SAMHSA). Exhibit 1 shows the sources that North Carolina used for expenditures on substance abuse prevention and treatment in 2021. As indicated, state funds and SABG funds account for the largest sources (58.09 percent and 15.66 percent, respectively).<sup>2</sup>

States submit Behavioral Assessment and Plan reports that include their priorities for use of SABG funds, as well as planned expenditures. For FY 2022-2023, North Carolina did not designate underage drinking prevention as a priority for use of SABG funds.<sup>3</sup>

**Exhibit 1: Sources of North Carolina’s 2021 Expenditures for Substance Abuse Prevention and Treatment**



<sup>2</sup> WebBGAS State Profile, 2021 SABG and MHBG Reports – North Carolina 2021.

<sup>3</sup> FY 20222023 – (North Carolina) State Behavioral Assessment and Plan, SABG, CSAP, Division of State Programs, Center for Substance Abuse Treatment, Division of State and Community Assistance: Table 1: Priority Areas and Annual Performance Indicators.

## State Performance: Laws, Enforcement, and Programs

As mandated by the STOP Act, this report details North Carolina's performance in enacting, enforcing, and creating laws, regulations, and programs to prevent or reduce underage drinking. The following sections address these measures:

***State Laws and Policies:*** These underage drinking prevention policies have been identified as best practices (or as promising practices suitable for ongoing evaluation) and fall into six categories:

- underage possession or purchase of alcohol
- underage drinking and driving
- alcohol availability
- sales and delivery to consumers at home
- alcohol pricing
- enforcement policies

***STOP Act State Survey Data:*** The STOP Act requires annual reporting of data from the 50 states and the District of Columbia on their performance in enacting, enforcing, and creating laws, regulations, and programs to prevent or reduce underage drinking. Administered since 2011, the STOP Act State Survey collects data on the following topics:

- enforcement programs to promote compliance with underage drinking laws and regulations
- programs targeted to youth, parents, and caregivers to deter underage drinking
- state interagency collaborations to implement prevention programs, best-practice standards, collaborations with tribal governments, and participation in underage drinking media campaigns
- state expenditures on the prevention of underage drinking



## Underage Possession or Purchase of Alcohol

North Carolina-Underage Possession	
Is underage possession of alcoholic beverages prohibited?	Yes
Are there exceptions based on family relationships?	
<ul style="list-style-type: none"> <li>• Is possession allowed if parent or guardian is present or consents?</li> <li>• Is possession allowed if spouse is present or consents?</li> </ul>	No No
Is there an exception based on location?	No

North Carolina-Underage Consumption	
Is underage consumption of alcoholic beverages prohibited?	Yes
Are there exceptions based on family relationships?	
<ul style="list-style-type: none"> <li>• Is consumption allowed if parent or guardian is present or consents?</li> <li>• Is consumption allowed if spouse is present or consents?</li> </ul>	No No
Is there an exception based on location?	No

North Carolina-Underage Internal Possession	
Is underage internal possession of alcoholic beverages prohibited?	Yes
Are there exceptions based on family relationships?	
<ul style="list-style-type: none"> <li>• Is internal possession allowed if parent or guardian is present or consents?</li> <li>• Is internal possession allowed if spouse is present or consents?</li> </ul>	No No
Is there an exception based on location?	No

North Carolina-Underage Purchase and Attempted Purchase	
Is the purchase of alcoholic beverages prohibited?	Yes
May youth purchase for law enforcement purposes?	No

North Carolina-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?	Yes
Is the production of a false ID in the context of underage alcohol sales specifically prohibited?	No
Retailer Support Provisions	
Is there an incentive for the retailer to use electronic scanners for information digitally encoded on valid IDs?	Yes
Do state statutes or regulations mandate that state driver's licenses for persons under 21 be easily distinguishable from licenses for persons 21 and over?	Yes
May the retailer seize apparently false IDs without fear of prosecution even if the ID is ultimately deemed valid?	Yes
Does an affirmative defense exist for the retailer?	Yes
<ul style="list-style-type: none"> <li>Is it a specific affirmative defense (retailer reasonably believed ID was valid after examining it)?</li> </ul>	Yes
<ul style="list-style-type: none"> <li>Is it a general affirmative defense (retailer reasonably believed purchaser was over 21)?</li> </ul>	No
Does the retailer have the right to sue the minor for use of a false ID?	No
May the retailer detain a minor who used a false ID?	No

### Underage Drinking and Driving

North Carolina-Youth Blood Alcohol Concentration Limits (Underage Operators of Noncommercial Motor Vehicles)	
What is the maximum blood alcohol concentration (BAC) limit for an underage driver of a motor vehicle?	0
Does a BAC level in excess of limit automatically establish a violation (per se violation)?	Yes
What is the minimum age to which the limit applies?	0
What is the maximum age to which the limit applies?	21

North Carolina-Loss of Driving Privileges for Alcohol Violations by Minors ("Use/Lose" Laws)	
Is there a "use/lose" law that suspends or revokes a minor's driving privileges for alcohol violations?	Yes

What types of violation lead to license suspension or revocation?	
• Purchase of alcohol	Yes
• Possession of alcohol	No
• Consumption of alcohol	No
The law applies to people under what age?	21
Is suspension or revocation mandatory or discretionary?	Mandatory
What is the length of suspension/revocation?	
Minimum number of days	365
Maximum number of days	365

North Carolina-Graduated Driver's Licenses	
<b>Learner Stage</b>	
What is the minimum age for permit to drive with parents, guardians or other adults (other than instructors)?	15
What is the minimum number of months driver must hold learner permit before advancing to intermediate stage?	12
What is the minimum number of hours of driving with parents, guardians or adults before advancing to intermediate stage?	60 (10 of which must be at night; to obtain full license, driver must log 12 hours of driving in intermediate stage, 6 of which is at night.)
<b>Intermediate Stage</b>	
What is the minimum age for driving without adult supervision?	16
For night driving, when does adult supervision requirement begin?	9:00 PM
Can law enforcement stop a driver for night driving violation as a primary offense?	Yes
Are there restrictions on passengers?	Yes, no more than one passenger under 21 who is not a member of immediate family or household; however, if there is a passenger under 21 who is an immediate family or household member, then no unrelated passengers under 21.
Can law enforcement stop driver for violation of passenger restrictions as a primary offense?	Yes
<b>License Stage</b>	
What is the minimum age for full license privileges and lifting of restrictions?	16 years, 6 months

## Alcohol Availability

North Carolina-Furnishing Alcohol to Minors	
Is furnishing of alcoholic beverages to minors prohibited?	Yes

Are there exceptions based on family relationships?	
<ul style="list-style-type: none"> <li>Is furnishing allowed if the parent or guardian supplies the alcohol?</li> <li>Is furnishing allowed if the spouse supplies the alcohol?</li> </ul>	No No
Is there an exception based on location?	No
<b>Affirmative Defense for Sellers and Licensees</b>	
Does law require seller/licensee to be exonerated of furnishing to a minor if the minor has not been charged?	No

<b>North Carolina-Responsible Beverage Service (RBS)—Mandatory</b>	
Is there a state law pertaining to Beverage Service Training?	Yes, mandatory
If training is mandatory, who must participate?	Licensee
If training is voluntary, which of the following incentives are offered?	
<ul style="list-style-type: none"> <li>Defense in dram shop liability lawsuits</li> </ul>	N/A
<ul style="list-style-type: none"> <li>Discounts in dram shop liability insurance, license fees, or other</li> </ul>	N/A
<ul style="list-style-type: none"> <li>Mitigation of fines or other administrative penalties for sales to minors or intoxicated persons</li> </ul>	N/A
<ul style="list-style-type: none"> <li>Protection against license revocation for sales to minors or sales to intoxicated persons</li> </ul>	N/A
Does the RBS law apply to on-premises establishments (such as bars and restaurants) or off-premises establishments (such as liquor stores)?	Both
Does the RBS law apply to new or existing licensees?	New

<b>North Carolina-Responsible Beverage Service (RBS)—Voluntary</b>	
Is there a state law pertaining to Beverage Service Training?	Yes, voluntary
If training is mandatory, who must participate?	N/A
If training is voluntary, which of the following incentives are offered?	
<ul style="list-style-type: none"> <li>Defense in dram shop liability lawsuits</li> </ul>	Yes
<ul style="list-style-type: none"> <li>Discounts in dram shop liability insurance, license fees, or other</li> </ul>	No
<ul style="list-style-type: none"> <li>Mitigation of fines or other administrative penalties for sales to minors or intoxicated persons</li> </ul>	No

• Protection against license revocation for sales to minors or sales to intoxicated persons	No
Does the RBS law apply to on-premises establishments (such as bars and restaurants) or off-premises establishments (such as liquor stores)?	Unspecified
Does the RBS law apply to new or existing licensees?	Unspecified

North Carolina-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 when an underage person is selling beverages?	No

North Carolina-Minimum Age for Alcohol Servers and Bartenders – On-Premises (i.e., Restaurants and Bars)	
What is the minimum age requirement for servers in on-premises establishments?	
Beer	18
Wine	18
Spirits	18
What is the minimum age requirement for bartenders in on-premises establishments?	
Beer	18
Wine	18
Spirits	21
Does a manager or supervisor have to be present when an underage person is selling beverages?	No
Notes: The minimum age of 18 does not apply to sale of alcoholic beverages at the point-of-sale for off-premises consumption.	

North Carolina-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)?	Yes, but no permits on campus.
Is there a distance requirement for on-premises outlets (i.e., restaurants and bars)?	Yes, but no permits on campus.
To which alcohol products does requirement apply?	Beer and wine
Notes: Exceptions are 1) sports and entertainment facilities for public use, except for public school or college function; 2) performing arts centers; 3) hotels; 4) nonprofit alumni organizations; and 5) restaurants, eating establishments, food businesses, and retail businesses on the property.	

<b>Primary and Secondary Schools</b>	
Is there a distance requirement for off-premises outlets (i.e., liquor stores)?	Yes, but no permits on campus.
Is there a distance requirement for on-premises outlets (i.e., restaurants and bars)?	Yes, but no permits on campus.
To which alcohol products does requirement apply?	Beer and wine
Notes: Exceptions are 1) sports and entertainment facilities for public use, except for public school or college function; 2) performing arts centers; 3) hotels; 4) nonprofit alumni organizations; and 5) restaurants, eating establishments, food businesses, and retail businesses on the property.	

<b>North Carolina-Dram Shop Liability</b>	
Does a statute create dram shop liability?	Yes
Does the statute limit damages that may be recovered?	Yes (\$500,000 total award to all injured parties per occurrence)
Does the statute limit who may be sued?	No
Does the statute limit elements or standards of proof?	Yes (injury must be a proximate result of the negligence of an underage driver's negligent operation of a vehicle while intoxicated)
Does common law dram shop liability exist?	No
Notes: Although North Carolina courts may recognize third party common law liability under certain fact patterns where a retailer furnishes an intoxicated minor, they do not recognize a distinct cause of action for furnishing alcohol to minors without regard to the minor's intoxication at the time of sale. North Carolina is therefore coded as not recognizing common law negligence regarding furnishing to minors. N.C. Gen. Stat. § 18B-122 includes a responsible beverage server defense.	

<b>North Carolina-Social Host Liability</b>	
Does a statute create social host liability?	No
Does the statute limit damages that may be recovered?	N/A
Does the statute limit who may be sued?	N/A
Does the statute limit elements or standards of proof?	N/A
Does common law social host liability exist?	No
Notes: Although North Carolina courts may recognize third party liability under certain fact patterns where an intoxicated minor is furnished by a social host, they do not recognize a distinct cause of action for furnishing alcohol to minors without regard to the minor's intoxication at the time of sale. <i>Camalier v. Jeffries</i> ; <i>Hart v. Ivey</i> . North Carolina is therefore coded as not recognizing common law negligence regarding furnishing to minors.	

<b>North Carolina-Prohibitions Against Hosting Underage Drinking Parties</b>	
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

North Carolina-Keg Registration	
How is a keg defined (in gallons)?	Equal to or greater than 7.75
Prohibitions	
Is it illegal to possess an unregistered or unlabeled keg and if so, what is the penalty?	Yes (maximum fine/jail, discretionary fine/45 days)
Is it illegal to destroy the label on a keg, and if so, what is the penalty?	No
What purchaser information is collected?	
Must the retailer collect the name and address?	Yes
Must the retailer collect the ID number, name and address on license or other government information?	Yes
Must the retailer collect the address at which keg will be consumed?	Yes
Must warning information be given to purchaser?	Active (requires action by purchaser)
Is a deposit required?	No
Does law cover disposable kegs?	No

North Carolina-High-Proof Grain Alcohol Beverages	
Are there restrictions on the sale of high-proof grain alcohol beverages?	Yes; also, this state is a control state, and control states may impose additional restrictions on the sale of products that are not reflected in statute or regulation.
Are restrictions based on Alcohol by Volume (ABV)?	Yes (more than 75.5 percent)
Are there exceptions to restrictions?	No
Notes: The State of North Carolina Alcoholic Beverage Control Commission issued a written statement on November 30, 2010, that the highest proof liquor sold in North Carolina ABC stores will be 151 proof, which is equivalent to 75.5 percent alcohol by volume.	

## Sales and Delivery to Consumers at Home

North Carolina-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

North Carolina-Direct Shipments/Sales	
May alcohol producers ship directly to consumers?	Yes
What alcohol types may be shipped?	Wine
Must purchaser make mandatory trip to producer before delivery is authorized?	No
Age verification requirements	
Must the producer/shipper verify purchaser's age before sale?	No
Must the common carrier (deliverer) verify age of recipients?	Yes
State approval/permit requirements	
Must the producer/manufacture obtain state license or permit?	Yes
Must the common carrier (deliverer) be approved by a state agency?	Yes
Recording/reporting requirements	
Must the producer/manufacture record/report purchaser's name?	No
Must the common carrier (deliverer) record/report recipient's name?	No
Shipping label requirements	
Must the label state "Package contains alcohol"?	Yes
Must the label state "Recipient must be 21 years old"?	Yes

North Carolina-Home Delivery	
Is home delivery of alcohol permitted?	
Beer	Permitted
Wine	Permitted
Spirits	No law



North Carolina- Direct to Consumer	
Is there a policy allowing on-premises retailers to deliver alcohol to a consumer at home?	No
Which on-premises retailers can provide delivery of alcoholic beverages? <ul style="list-style-type: none"> <li>• Restaurant</li> <li>• Bar license</li> <li>• Third party license</li> </ul>	N/A N/A N/A
Which types of alcohol are permitted to be delivered? <ul style="list-style-type: none"> <li>• Beer</li> <li>• Wine</li> <li>• Spirits</li> <li>• Mixed Drinks</li> </ul>	N/A N/A N/A N/A
Requirements and Restrictions	
Are there restrictions in place addressing details of the delivery? <ul style="list-style-type: none"> <li>• Hours limited</li> <li>• Amount of alcohol limited</li> <li>• Food requirement</li> </ul>	N/A N/A N/A
Are there certain requirements that the delivery person must meet? <ul style="list-style-type: none"> <li>• Must be 21</li> <li>• Must check ID at point of delivery</li> <li>• Must receive payment regardless of delivery completion</li> </ul>	N/A N/A N/A

## Alcohol Pricing

North Carolina-Alcohol Taxes	
<b>Beer</b>	
Control system for beer?	No
Specific excise tax per gallon for 5% alcohol beer	\$0.62
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	
<b>Wine</b>	
Control system for wine?	No
Specific excise tax per gallon for 12% alcohol wine	\$1.00
Ad valorem excise tax (for on-premises sales) on total receipts for 12% alcohol wine	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Ad valorem excise tax (for off-premises sales) on total receipts for 12% alcohol wine	
Wholesale tax rate (if applicable)	
Retail tax rate (if applicable)	
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant

<ul style="list-style-type: none"> <li>Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)</li> </ul>	Not relevant
Additional taxes for 6 – 14% alcohol wine if applicable	
<b>Spirits</b>	
Control system for spirits?	Yes
Specific excise tax per gallon for 40% alcohol spirits	Not relevant
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?	Not relevant
<ul style="list-style-type: none"> <li>General sales tax rate</li> </ul>	
<ul style="list-style-type: none"> <li>Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)</li> </ul>	
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?	Not relevant
<ul style="list-style-type: none"> <li>General sales tax rate</li> </ul>	
<ul style="list-style-type: none"> <li>Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)</li> </ul>	
Additional taxes for 15 – 50% alcohol spirits if applicable	

<b>North Carolina-Low-Price, High-Volume Drink Specials</b>	
Are on-premises retailers prohibited from offering the following types of drink specials?	
Free beverages	No
Multiple servings at one time	No
Multiple servings for same price as single serving	Yes
Reduced price for a specified day or time (i.e., happy hours)	Yes
Unlimited beverages for fixed price	No
Increased volume without increase in price	No

North Carolina-Wholesaler Pricing Restrictions	
<b>Beer</b>	
Are volume discounts to retailers allowed?	Banned
Must wholesalers establish a minimum markup or maximum discount for each product sold to retailers?	No law
Must wholesalers publicly post and hold (i.e., not reduce) prices for a set period of time?	No Law
Is wholesaler permitted to extend credit to retailer and if so, what is the maximum time period?	No
<b>Wine</b>	
Are volume discounts to retailers allowed?	Banned
Must wholesalers establish a minimum markup or maximum discount for each product sold to retailers?	No law
Must wholesalers publicly post and hold (i.e., not reduce) prices for a set period of time?	No Law
Is wholesaler permitted to extend credit to retailer and if so, what is the maximum time period?	No
<b>Spirits</b>	
Are volume discounts to retailers allowed?	N/A
Must wholesalers establish a minimum markup or maximum discount for each product sold to retailers?	N/A
Must wholesalers publicly post and hold (i.e., not reduce) prices for a set period of time?	N/A
Is wholesaler permitted to extend credit to retailer and if so, what is the maximum time period?	N/A

### Enforcement Policies

North Carolina-Compliance Check Protocols	
Does the state have a written protocol for when an underage decoy is used in compliance checks?	Yes
What is the minimum age a decoy may be to participate in a compliance check?	16
What is the maximum age a decoy may be to participate in a compliance check?	20

Are there appearance requirements for the decoy?	Yes, must look under 21
Does decoy carry ID during compliance check?	Discretionary
May decoy verbally exaggerate his or her actual age?	Prohibited
Is decoy training mandated, recommended, prohibited, or not specified?	Mandated

#### North Carolina-Penalty Guidelines for Sales to Minors

Are there written guidelines for penalties that are imposed on retailers for furnishing to a minor?	Yes
What is the time period for defining second, third, and subsequent offenses?	Three years
What is the penalty for the first offense?	\$500 or license suspension
What is the penalty for the second offense?	Up to \$750 or license suspension
What is the penalty for the third offense?	Up to \$1,000 or license suspension
What is the penalty for the fourth offense?	N/A

## North Carolina State Survey Responses

State Agency Information	
<i>Agency with primary responsibility for enforcing underage drinking laws:</i>	
North Carolina Alcohol Law Enforcement Division	
Enforcement Strategies	
<i>State law enforcement agencies use:</i>	
Cops in Shops	Yes
Shoulder Tap Operations	No
Party Patrol Operations or Programs	Yes
Underage Alcohol–Related Fatality Investigations	Yes
<i>Local law enforcement agencies use:</i>	
Cops in Shops	Yes
Shoulder Tap Operations	Yes
Party Patrol Operations or Programs	Yes
Underage Alcohol–Related Fatality Investigations	Yes
<i>State has a program to investigate and enforce direct sales/shipment laws</i>	Yes
Primary state agency responsible for enforcing laws addressing direct sales/shippments of alcohol to minors	North Carolina Department of Public Safety, Alcohol Law Enforcement Division
Such laws are also enforced by local law enforcement agencies	No
Enforcement Statistics	
<i>State collects data on the number of minors found in possession</i>	Yes
Number of minors found in possession <sup>1</sup> by state law enforcement agencies	1,663
Number pertains to the 12 months ending	12/31/2020
Data include arrests/citations issued by local law enforcement agencies	Yes
<i>State conducts underage compliance checks/decoy operations<sup>2</sup> to determine whether alcohol retailers are complying with laws prohibiting sales to minors</i>	Yes
Data are collected on these activities	No
Number of retail licensees in state <sup>3</sup>	21,000
Number of licensees checked for compliance by state agencies <b>(including random checks)</b>	Not applicable
Number of licensees that failed state compliance checks	Not applicable
Numbers pertain to the 12 months ending	Not applicable
Compliance checks/decoy operations conducted at on-sale, off-sale, or both retail establishments	Not applicable
<i>State conducts <b>random</b> underage compliance checks/decoy operations</i>	Not applicable
Number of licensees subject to <b>random</b> state compliance checks/decoy operations	Not applicable
Number of licensees that failed <b>random</b> state compliance checks	Not applicable
<i>Local agencies conduct underage compliance checks/decoy operations to determine whether alcohol retailers are complying with laws prohibiting sales to minors</i>	Yes
Data are collected on these activities	No
Number of licensees checked for compliance by local agencies	Not applicable
Number of licensees that failed local compliance checks	Not applicable
Numbers pertain to the 12 months ending	Not applicable
Sanctions	
<i>State collects data on fines imposed on retail establishments that furnish to minors</i>	Yes
Number of fines imposed by the state <sup>4</sup>	No data
Total amount in fines across all licensees	No data
Smallest fine imposed	No data

Largest fine imposed	No data
Numbers pertain to the 12 months ending	12/31/2020
<i>State collects data on license suspensions imposed on retail establishments specifically for furnishing to minors</i>	Yes
Number of suspensions imposed by the state <sup>5</sup>	No data
Total days of suspensions across all licensees	No data
Shortest period of suspension imposed (in days)	No data
Longest period of suspension imposed (in days)	No data
Numbers pertain to the 12 months ending	12/31/2020
<i>State collects data on license revocations imposed on retail establishments specifically for furnishing to minors</i>	Yes
Number of license revocations imposed <sup>6</sup>	No data
Numbers pertain to the 12 months ending	12/31/2020

#### Additional Clarification

No data

<sup>1</sup> Or having consumed or purchased per state statutes.

<sup>2</sup> Underage compliance checks/decoy operations to determine whether alcohol retailers are complying with laws prohibiting sales to minors.

<sup>3</sup> Excluding special licenses such as temporary, seasonal, and common carrier licenses.

<sup>4</sup> Does not include fines imposed by local agencies.

<sup>5</sup> Does not include suspensions imposed by local agencies.

<sup>6</sup> Does not include revocations imposed by local agencies.

#### Underage Drinking Prevention Programs Operated or Funded by the State

##### **North Carolina Preventing Underage Drinking Initiative**

Number of youth served	No data
Number of parents served	No data
Number of caregivers served	No data
Program has been evaluated	No
Evaluation report is available	Not applicable
URL for evaluation report:	Not applicable
URL for more program information:	ncpudi.org

**Program Description:** The North Carolina Preventing Underage Drinking Initiative (NC-PUDI) focuses on community-based approaches that emphasize environmental management strategies to prevent underage drinking. As the National Research Council/Institute of Medicine (NRC/IOM, 2004) report, “Reducing Underage Drinking: A Collective Responsibility” states, “Underage drinking cannot be addressed by focusing on youth alone. Youth drink within the context of a society in which alcohol use is normative behavior, and images about alcohol are pervasive. They usually obtain alcohol—either directly or indirectly—from adults. Efforts to reduce underage drinking, therefore, need to focus on adults and must engage the society at large.”

NC-PUDI offers technical assistance to Community Collaboratives addressing the issue of underage alcohol use. These Collaboratives work within their communities to implement strategies that prevent underage drinking and create a sustainable movement to stop practices that make underage drinking both easy and acceptable. The Collaboratives’ primary strategies focus on decreasing underage access to alcohol, changing community norms that promote underage and excessive alcohol consumption, and addressing policies pertaining to underage drinking. NC-PUDI is administered by the North Carolina Department of Health and Human Services/Division of Mental Health, Developmental Disabilities and Substance Abuse Services, and is supported by the Substance Abuse and Mental Health Services Administration (SAMSHA) Substance Abuse Block Grant.

NC-PUDI continues the initiatives originally funded by the Office of Juvenile Justice and Delinquency Prevention (OJJDP) Enforcing Underage Drinking Laws program, which supported and enhanced efforts by states and local

jurisdictions to prohibit the sale, purchase, and consumption of alcoholic beverages to and by minors. (Minors are defined as individuals under 21 years old.)

**North Carolina Strategic Prevention Framework-Partnership for Success Project**

Number of youth served	No data
Number of parents served	No data
Number of caregivers served	No data
Program has been evaluated	No
Evaluation report is available	Not applicable
URL for evaluation report:	Not applicable
URL for more program information:	No data

**Program Description:** The Division of Mental Health, Developmental Disabilities, and Substance Abuse Services (DMHDDSAS) of the North Carolina Department of Health and Human Services (NC DHHS) serves North Carolinians at risk for underage alcohol use, vaping, and marijuana use through the North Carolina Strategic Prevention Framework-Partnership for Success (NC SPF-PFS) Project.

The purpose of this project is to prevent the onset and reduce the progression of underage alcohol use, vaping, marijuana use, and their related consequences in counties and populations of high need across North Carolina. Evidence-based prevention programs, policies, and practices will be implemented for youth and young adults from ages 9 to 20. In addition to the priority target of underage alcohol use, the SPF-PFS Project also addresses vaping and marijuana as North Carolina has rates higher than the national average for both substances (YRBS, 2017). The NC SPF-PFS Project has a two-pronged approach, with focused subrecipient grants for 10 communities showing great need related to underage alcohol use as well as substance use prevention capacity-building efforts for institutions of higher education. Both focal populations will receive guidance and support in implementing the Strategic Prevention Framework and in implementing evidence-based programs, policies, and practices for preventing underage drinking (and vaping and marijuana use where applicable).

Over the past several years, North Carolina has been challenged to maintain attention on alcohol, vaping, and marijuana in the face of the opioid crisis. In response, the state has begun the collaborative development of strategies and initiatives to address these problems in communities of high need. The NC SPF-PFS Project is providing the opportunity for North Carolina to further enhance and expand its infrastructure for the prevention of underage alcohol use. It includes three goals:

Goal 1: To prevent the onset and reduce the progression of underage alcohol use (and vaping and/or marijuana use, where applicable) and the related consequences in counties and populations of high need.

Goal 2: To strengthen North Carolina's prevention infrastructure capacity to utilize the Strategic Prevention Framework to facilitate local and state-level change related to substance misuse and its consequences.

Goal 3: To utilize evaluation results of the NC SPF-PFS Project to make prevention efforts more effective.

**Talk It Out: Start the conversation. Stop underage drinking.**

Number of youth served	No data
Number of parents served	No data
Number of caregivers served	No data
Program has been evaluated	No
Evaluation report is available	Not applicable
URL for evaluation report:	Not applicable
URL for more program information:	<a href="http://www.talkitoutnc.org">www.talkitoutnc.org</a>

**Program Description:** Talk It Out is a statewide campaign administered by the North Carolina Alcoholic Beverage Control Commission to reduce underage drinking through TV ads and social media as well as a website that hosts resources to help parents talk to youth about underage drinking.

**Additional Underage Drinking Prevention Programs Operated or Funded by the State**

**Program description:** Preventing and reducing underage drinking through retail compliance is one of the most effective strategies available, according to the Pacific Institute for Research and Evaluation [PIRE]/OJJDP



publication, “Regulatory Strategies for Preventing Youth Access to Alcohol: Best Practices.” Alcohol purchase surveys, unlike compliance checks, can be performed without the assistance of law enforcement as long as the youth attempting to purchase are at least 21 years old. Purchase surveys are designed to facilitate a dialogue between the community and its retailers. Any strong prevention program incorporates citizens, retailers, the media, and law enforcement; alcohol purchase surveys accomplish all four tasks. Specifically, alcohol purchase surveys are used to:

1. Assess community needs and collect data on which retailers in the community are potentially selling to underage youth
2. Raise community awareness and build support for efforts to prevent sales to minors
3. Inform merchants that they are being monitored and motivate them to change noncompliant practices
4. Inform law enforcement officials of important information
5. Measure the impact of prevention strategies so that communities can assess the effectiveness of the strategies they implement (PIRE, 1999)

NC PUDi Community Collaboratives visit every retail establishment surveyed to inform store management that the community cares about the issue of underage drinking and is conducting alcohol purchase surveys as a way to monitor alcohol sales practices. At that time, store management also is informed about how their store performed in the alcohol purchase survey and where they can get responsible alcohol sales training for their employees. Following each round of purchase surveys, funded NC PUDi Community Collaboratives submit a press release to local media and a detailed statistical report/complaint to law enforcement. Several studies have shown that generating publicity around underage alcohol sale surveys is an effective way to increase the success of local law enforcement efforts (PIRE, 1999). Therefore, results of the surveys are used for educational purposes including warning letters, congratulatory letters, and use in the media. NC PUDi Community Collaboratives also provide a summary report to local law enforcement. For Community Collaboratives to effectively serve their “community watch” role, collected data from alcohol purchase surveys must be shared with local law enforcement agencies. Community Collaboratives disseminate the report summarizing the purchase survey findings after each round of surveys.

NOTE: In early March, COVID-19 began to impact the Community Collaboratives’ ability to fully implement the required and optional scopes of work outlined above. As a result, some activities and implementation of strategies planned for March 2020 and beyond were postponed or adapted to meet the requirements of social distancing. Several benchmarks/outcomes typically included in this report and utilized to demonstrate success may not have been fully met in the funded communities.

From October 1, 2019 to September 30, 2020, the state conducted 541 alcohol purchase surveys. Of those surveys, which included targeting problem establishments, 78.2% asked for the mock buyer’s identification and passed the survey; 423 establishments refused to sell.

In addition, the state:

- Community Collaboratives made over 700 Follow Up/Merchant Education contacts (combination of in-person, telephone and mail) with on and off premise licensees, informing them of the results of their Alcohol Purchase Surveys, as well as providing additional resources and problem solving opportunities for areas of concern. Due to COVID restrictions, many in-person visits were changed to telephone contacts or mailings. Over the course of the 3rd and 4th quarters, Communities planned and conducted COVID-19 Merchant Education/Survey calls. This outreach was to both on- and off-premise permit holders, as well as to on-demand delivery services. The data collection process was intended to give Communities a better picture of local conditions and which locations were offering take-out, curbside pickup and/or delivery of alcohol. This information will not only guide future APS efforts, but provided an opportunity for Collaboratives to assess permit holders’ understanding and awareness of alcohol laws and delivery training requirements and offer resources accordingly. Multiple Communities have been answering questions initiated by local establishments on what products can be sold curbside or delivered. Based

on past relationships, the Community Collaboratives are seen as a resource for information related to best practices and alcohol policy.

- Community Collaboratives conducted more than 100 Environmental Scans in on- and off-premise retail locations and at community events/festivals. Communities use these results to further their efforts to encourage permit holders and event planners to decrease alcohol sales and sponsorships and/or to implement best practices for sales. Numerous environmental scans planned for March through September were postponed to a later date beyond this reporting period.

- Community Collaboratives informed local and/or statewide law enforcement agencies of the results of Alcohol Purchase Surveys. Community Collaboratives were instructed to file formal complaints with Alcohol Law Enforcement (ALE) to encourage law enforcement follow-ups to the community purchase surveys. In addition, Community Collaboratives regularly attended (in person, then virtually) monthly meetings/hearings hosted by the ABCC and followed progress/results of citations issued to permit holders within their communities.

- To further enhance community/law enforcement partnership, each Community Collaborative continued to have representatives from their local police departments, sheriff's departments and alcohol law enforcement on their Community Collaboratives. There were over 35 different law enforcement agencies represented in NC PUDI funded Community Collaboratives throughout the state.

- + Across all the Communities, law enforcement conducted some combination of the following underage drinking enforcement operations, often with support and assistance from the Community Collaboratives: Compliance Checks; Parking Lot Surveillance; Sobriety Checkpoints; Saturation Patrols; Fake ID Enforcement; Source Investigations; and/or Party Patrols. While COVID-19 has reduced the number of enforcement actions occurring in many communities over the last 6 months, Communities continue to partner with Law Enforcement to ensure that the issue of underage retail and social access continue to stay on their radar.

- + Law Enforcement participated in Trainings, Meetings and Events with Community Collaboratives. Over 130 events were reported, and included, but were not limited to:

- One-on-Ones
- Collaborative Meetings
- Committee Meetings
- Talk It Up. Lock It Up!™ Events
- Community Outreach Events
- Community Training
- Collaborative Training/Professional Development

- Collaboratives continue to discuss the dangers of alcopops with community members and local retailers. They have met/communicated with store owners/managers to discuss alcopop free zones and the importance of either removing or adjusting product placement.

- The Community Collaboratives collectively worked with over 600 organizations and/or agencies in their local efforts to prevent underage drinking. These included, but were not limited to: Business Groups/Associations, City/County Government, Youth-serving Organizations, Juvenile Justice, Child and Family Services, Mental Health/Substance Abuse Prevention and Treatment, Faith Community, Foundations, Schools (i.e. Elementary/Middle/High Schools, Universities), Law Enforcement, Media, Parents and Youth Groups.

- One of NC PUDI's goals is to involve youth and young adults in meaningful ways. This includes providing training and leadership opportunities for youth throughout North Carolina. Examples include, but are not limited to: participation in meetings and strategic planning; conducting one-on-one conversations, follow up actions and merchant education visits; planning and executing sticker shock; researching policy and best practices related to

advocacy and education with local policy makers; outreach with adults to ensure that alcohol is secured and monitored in the home (Talk It Up. Lock It Up!™) and participation in community events. More than 200 young people served in core leadership and/or volunteer roles throughout North Carolina with local task forces/coalitions and assisted with the planning and implementation of environmental strategies. Together, youth advocates and volunteers contributed over 2,000 hours towards the issue of underage drinking.

- More than 40 pieces of media were earned or written by youth.

- Youth participated in Project Alcopops Sticker Shock (“PASS”) in six stores across North Carolina. They placed more than 1,000 stickers warning of the dangers of Underage Drinking and the legal penalties for providing alcohol to those under 21 on alcoholic beverages. Through this, they earned media, increased awareness of the issue and built better working relationships with store merchants and key stakeholders. It should be noted that numerous PASS events scheduled for March 2020 and beyond were cancelled due to COVID-19 restrictions.

- More than 4,000 individual level Talk it Up. Lock it Up!™ outreaches were conducted with adults to encourage securing and monitoring alcohol in their homes. (This does not include outreach conducted through media channels.) Outreaches were conducted through one-on-one conversations, participation in virtual or socially distanced community events, conversations with neighborhood associations, presentations to parent groups, etc. A main focus of this strategy is further engaging community partners who are invested in the issue of underage drinking prevention in Talk It Up. Lock It Up!™ efforts. All Community Collaboratives have increased their efforts around Talk It Up. Lock It Up!™ since COVID-19. Qualitative and quantitative data demonstrates that there is an increased amount of alcohol in the home with additional opportunities for youth access.

- Community Collaboratives, oftentimes in partnership with their youth advocates, generated over 98 independent pieces of earned media and more than 130 total pieces of media (a combination of earned and paid) on underage drinking and excessive alcohol use in their communities. Collaboratives utilized multiple channels such as Facebook, Twitter, Instagram, television, billboards, AdCarts, newspapers, magazines, newsletters, community publications and websites. They utilized multiple types which included press releases, letters to the editor, interviews, press conferences, appearances on broadcasts, key stakeholder and champion initiated articles/blogs/posts, PSAs, advertisements, and social media posts. Their combined reach was over 5,800,000 for all pieces through all channels and types (both paid and earned). Topics included, but were not limited to: Secure and Monitor (Talk It Up. Lock It Up!™), Lower-risk Drinking Guidelines, Adult Modeling, Alcohol and Cancer, Alcohol and COVID-19, and Alcohol the Adolescent Brain.

- Over 380 one-on-one conversations were held with community members to identify local conditions and concerns around underage drinking.

- Collaboratives continued to work on affecting both “big P” and “small p” policies, impacting the availability of, penalties for, and marketing of alcohol. Examples include:

- ▶ Working with adults to change policies in the home/social settings regarding how alcohol is secured and monitored.
- ▶ Party registrations for university students/organizations holding off campus parties
- ▶ Partnering with Law Enforcement in advocating for maintaining local noise ordinances
- ▶ Working with Law Enforcement and local on-premise permit holders regarding the importance of reducing the number of promotions and discounts on alcohol.
- ▶ Working with local universities and colleges regarding recent legal changes allowing alcohol sales at sporting events. Examples of policies being advocated for include, but are not limited to: NO alcohol sales; requiring responsible beverage service of all vendors at the university sports events; price and promotion limitations; limits on the number of drinks sold per person; increased enforcement

- ▶ Working with planning committees and vendors to implement best practices for alcohol sales at events and festivals
- ▶ Working with local businesses on best practices for alcohol sales during COVID-19
- ▶ Working with local businesses and delivery companies on best practices and permit/training requirements for home delivery, curbside pick up and take out of alcohol
- ▶ Educating local and state decision makers on the importance of considering the public health costs of increasing alcohol availability during COVID-19

- Collaboratives held over 585 meetings, trainings and events (a combination of in-person, socially distanced and virtual) to educate community members on environmental, best-practice strategies to prevent underage drinking. At those meetings or trainings, individuals received information on population-level change relating to underage and excessive drinking. Topics have included, but are not limited to: Geofencing, Effectively Engaging Communities in a Virtual Environment, Changes to the Alcohol Landscape Under COVID-19, Securing and Monitoring Alcohol/Talk it Up. Lock it Up!™, Racial Disparities and the Impact of Alcohol, Best Practices in Alcohol Policy, Alcohol and Cancer, Alcohol and the Adolescent Brain, Underage Drinking Trends, Lower Risk Drinking Guidelines/0-1-2, Talk it Up. Lock it Up!™, Alcohol Sales and Community Events, Fetal Alcohol Spectrum Disorders and Alcohol’s Role in Opioid Overdoses.

- Community Collaboratives partnered with the Fetal Alcohol Spectrum Disorder State Coordinator to disseminate resources/research and to host local trainings. This partnership resulted in increased connections with multiple sectors across the community that were not previously involved in the work. In addition, they conducted environmental scans in area ABC Stores, looking for state mandated alcohol and pregnancy warning signage to ensure that policy was being enforced.

- Collaboratives and Project Staff participated in conferences and web based trainings sponsored by USAPA, DFC, CADCA, SAMHSA, NCTTA and CINC among many others.

**Additional Clarification**

No data

**Additional Information Related to Underage Drinking Prevention Programs**

<i>State collaborates with federally recognized tribal governments in the prevention of underage drinking</i>	No
Description of collaboration: Not applicable	
<i>State has programs to measure and/or reduce youth exposure to alcohol advertising and marketing</i>	No
Description of program: Not applicable	
<i>State collaborates with/participates in media campaigns to prevent underage drinking</i>	Yes
Federal campaigns:	No
Regional and local media campaigns:	No
Local school district efforts:	No
Other: (Statewide): Talk It Out: Start the conversation. Stop underage drinking.	Yes
<i>State collaborates with/participates in SAMHSA’s national media campaign, “Talk. They Hear You.”</i>	No
State officially endorses TTHY efforts	Not applicable
State commits state resources for TTHY	Not applicable
State forwards TTHY materials to local areas	Not applicable
Other: Not applicable	Not applicable
<i>State procures funding for TTHY</i>	Not applicable
Pro bono	Not applicable
Donated air time	Not applicable
Earned media	Not applicable
Other:	Not applicable

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

Agencies/organizations that established best practices standards:

Federal agency(ies): Community Preventive Services Task Force; OJJDP; Centers for Disease Control and Prevention; NRC/IOM; Health and Human Services; Office of the Surgeon General; SAMHSA Yes

Agency(ies) within your state: NC Department of Health and Human Services Yes

Nongovernmental agency(ies): No

Other: No

Best practice standards description: The NC-PUDI uses and continues to develop innovative strategies to help achieve the long-term goal of preventing underage drinking. This continuing effort is designed to further support and develop Community Collaboratives working to implement environmental management strategies to prevent underage drinking. This objective is responsive to the recommendations outlined in “Strategies to Reduce Underage Alcohol Use” (PIRE, 1999); the National Institute of Medicine/National Academy of Sciences (IOM/NAS) report, “Reducing Underage Drinking: A Collective Responsibility” (NRC/IOM, 2004), the Surgeon General’s “Call to Action to Prevent and Reduce Underage Drinking” (Office of the Surgeon General, 2007), the Guide to Community Preventive Services; and the North Carolina Institute of Medicine Substance Abuse Services Task Force Report.

Although many of the recommended components of the NRC/IOM and the North Carolina Institute of Medicine Substance Abuse Services Task Force reports require significant action at the national and/or state level, the reports specify several areas in which local communities can play significant complementary and reinforcing roles. Not surprisingly, several of the recommendations are consistent with strategies recommended in “Strategies to Reduce Underage Alcohol Use” (PIRE, 1999).

According to the NRC/IOM report, two evidence-based strategic actions that can occur at the community level are community mobilization and restricting access. Community Collaboratives aimed at preventing underage drinking are valuable adjuncts to state and local government interventions. Such Collaboratives, which include people with diverse perspectives, interests, and responsibilities, can provide the political will and organizational support for implementing strategies that have proven effective at preventing underage drinking. They also place emphasis on a local culture in which underage drinking is considered a serious and unacceptable problem. Such local norms lend support to heightened enforcement of laws against underage drinking. By providing a context that supports recommended interventions, community mobilization efforts increase the overall likelihood that such interventions will be successful. To effectively implement this comprehensive approach, the NRC/IOM committee recommended the following three strategies:

1. Community leaders assess their community’s particular problems and resources and—using effective approaches including community organizing, building Community Collaboratives, and strategic use of the mass media to support policy changes and enforcement—tailor their efforts to combat underage drinking accordingly.

2. Include colleges and universities in collaboration and implementation efforts for a range of interventions.

3. Elementary, secondary, and high school education programs should be evidence-based and should avoid interventions that rely on provision of information alone or fear tactics. Listed below are the critical elements of effective interventions as summarized in the report:

- Be multicomponent and integrated
- Be sufficient in “dose” and follow-up
- Establish norms that support non-use
- Stress parental monitoring and supervision
- Be interactive
- Be implemented with fidelity
- Include limitations in access
- Be institutionalized
- Avoid an exclusive focus on information
- Avoid congregating high-risk youth

- Promote social and emotional skill development among elementary school students

By urging greater emphasis on restricted access, the report offers a wake-up call for adults from whom youth generally obtain alcohol (parents who allow drinking parties in their homes, adults who have alcohol in the home that is not monitored and secured, strangers who buy alcohol for teenagers waiting outside stores, or sales clerks and bartenders who sell alcohol to minors). State and local communities can work to not only create and enforce laws, but also to explain the reasons why compliance is important and elicit public support for limiting access. Recommended strategy urges that states and localities, working with law enforcement as appropriate, restrict youth access by:

1. Targeting servers and sellers, by:
  - a. Increasing compliance checks, supported by media campaigns and license revocation to increase deterrence
  - b. Implementing responsible beverage service programs as a condition of retail outlet licensing
  - c. Developing new or strengthened server and seller liability laws
  - d. Regulating internet sales and home delivery of alcohol to prevent/reduce underage purchases
2. Targeting parents and other adults to promote compliance with youth access restrictions through:
  - a. Keg registration laws
  - b. “Shoulder tap” or other prevention programs targeting adults who purchase alcohol for minors
  - c. Stronger anti-loitering measures
  - d. Measures to hold retailers accountable
  - e. Securing and monitoring alcohol in the home
3. Targeting youth through:
  - a. Sobriety checkpoints with swift and certain sanctions for young drunk drivers
  - b. Graduated license programs
  - c. Modified laws to allow passive breath testing, streamlined administrative procedures, and administrative penalties, such as immediate driver’s license revocation
  - d. Media campaigns to publicize enforcement and encourage compliance
  - e. Identifying and breaking up teen drinking parties and holding relevant adults and youth accountable
  - f. Making it more difficult to use false identification (ID) by issuing scannable IDs, allowing retailers to confiscate licenses, and implementing administrative penalties for false ID use
  - g. Increasing access to treatment services for young drinkers who need clinical treatment

NC-PUDi has the overall goal of focusing on community mobilization centered on implementation of environmental management strategies and restricting access through increased collaboration with law enforcement agencies. Strengthening the bridges that Community Collaboratives have built with law enforcement in previous rounds of funding remains a top priority. With emphasis on alcohol purchase surveys, followed by the dissemination of survey results to law enforcement, retailers, and local media, Community Collaboratives directly assess and influence community norms and retail practices related to alcohol access in their communities.

**Additional Clarification**

No data

**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: Not applicable  
Plan can be accessed via: Not applicable

<i>State has prepared a report on preventing underage drinking in the last 3 years</i>	No
Prepared by: Not applicable	
Report can be accessed via: Not applicable	

**Additional Clarification**

No data

**State Expenditures for the Prevention of Underage Drinking**

<i>Compliance checks in retail outlets:</i>	
Estimate of state funds expended	\$0
Estimate based on the 12 months ending	12/31/2020
<i>Checkpoints and saturation patrols:</i>	
Estimate of state funds expended	\$4,000
Estimate based on the 12 months ending	06/30/2020
<i>Community-based programs to prevent underage drinking:</i>	
Estimate of state funds expended	\$0
Estimate based on the 12 months ending	12/31/2020
<i>K–12 school-based programs to prevent underage drinking:</i>	
Estimate of state funds expended	\$0
Estimate based on the 12 months ending	12/31/2020
<i>Programs targeted to institutes of higher learning:</i>	
Estimate of state funds expended	\$0
Estimate based on the 12 months ending	12/31/2020
<i>Programs that target youth in the juvenile justice system:</i>	
Estimate of state funds expended	\$0
Estimate based on the 12 months ending	12/31/2020
<i>Programs that target youth in the child welfare system:</i>	
Estimate of state funds expended	\$0
Estimate based on the 12 months ending	12/31/2020
<i>Other programs:</i>	
Programs or strategies included: Data not available	
Estimate of state funds expended:	Data not available
Estimate based on the 12 months ending:	Data not available

**Funds Dedicated to Underage Drinking**

<i>State derives funds dedicated to underage drinking from the following revenue streams:</i>	
Taxes	No
Fines	No
Fees	No
Other: 1. Revenue from state-controlled liquor store (Talk It Out NC campaign); 2. 7 percent of sales from distilled spirits sold at the ABC stores	Yes

*Description of funding streams and how they are used:*

1. Talk It Out NC—The ABC Commission campaign is funded by revenue from state-controlled liquor stores. Talk It Out is the theme of the North Carolina ABC Commission campaign developed for broadcast, print, and social media markets across North Carolina. Advertising materials provide links to a website ([Talkitoutnc.org](http://Talkitoutnc.org)) that provides information and resources geared toward helping parents and teens to have important conversations about alcohol and why children should not drink until they are adults. The campaign is part of the larger ABC Commission’s Initiative to Reduce Underage Drinking that includes outreach with the public safety and public health communities, as well as partnership with the alcohol industry to address underage drinking issues head-on.
2. Seven percent of sales from distilled spirits sold at ABC stores are dedicated to training and education and are determined locally through ABC boards and/or county commissioners.

### Additional Clarification

The North Carolina Department of Health and Human Services Preventing Underage Drinking Initiative (NC-PUDI) and the Strategic Prevention Framework-Partnership for Success (NC SPF-PFS) Project and additional complementary efforts are federally funded. No state funds are specifically dedicated to the prevention of underage alcohol use.





**ICCPUD**

**THE INTERAGENCY COORDINATING COMMITTEE  
ON THE PREVENTION OF UNDERAGE DRINKING (ICCPUD)**

