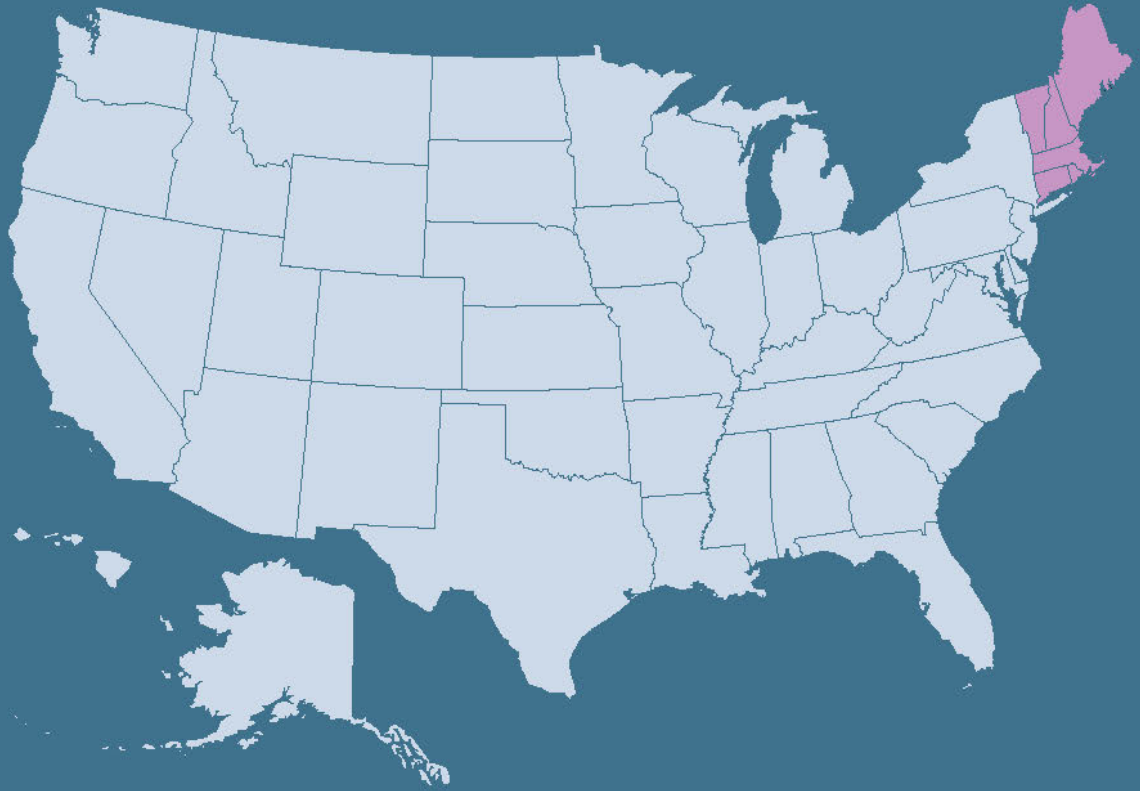


STATE REPORTS

Underage Drinking Prevention and Enforcement

2020



SAMHSA
Substance Abuse and Mental Health
Services Administration

State Reports – Underage Drinking Prevention and Enforcement: Region 1 includes a report on each state in the region. These *State Reports* are required by the Sober Truth on Preventing (STOP) Underage Drinking Act (Pub. L. 109-422), which was enacted by Congress in 2006 and reauthorized in December 2016 as part of the 21st Century Cures Act (Pub. L. 114-255). The STOP Act requires an annual report “on each State’s performance in enacting, enforcing, and creating laws, regulations, and programs to prevent or reduce underage drinking.” As directed by the STOP Act, the *State Reports* were prepared by the Interagency Coordinating Committee on the Prevention of Underage Drinking (ICCPUD), which is chaired by the Assistant Secretary for Mental Health and Substance Use, U.S. Department of Health and Human Services (HHS).

In 2020, the *State Reports* for each of the ten HHS regions are being published together. For more information about the Substance Abuse and Mental Health Services Administration’s (SAMHSA’s) efforts in each HHS region, go to <https://www.samhsa.gov/about-us/who-we-are/regional-administrators>.

Time Period Covered by these *State Reports*: These *State Reports* primarily include data from calendar year 2019. Regional and state profile data were drawn from the most recently available federal survey data as of 2018. State legal data reflect the status of the law as of January 1, 2019. State survey data, collected in 2019, 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 2015 through 2018 National Surveys on Drug Use and Health (NSDUH), SAMHSA’s Center for Behavioral Health Statistics and Quality (CBHSQ), and the NSDUH special data analysis (2018). 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 served as the resource for data about alcohol-attributable deaths from 2006–10 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 2018 data used to present statistics about fatalities among 15-to 20-year-old drivers.

Recommended Citation: U.S. Department of Health and Human Services (HHS), Substance Abuse and Mental Health Services Administration (SAMHSA; 2020). *State Reports–Underage Drinking Prevention and Enforcement: Region 1*. Rockville, MD: SAMHSA.

Staff Chair and Point of Contact, ICCPUD:

Robert M. Vincent, MS.Ed

Public Health Analyst

SAMHSA’s Center for Substance Abuse Prevention (CSAP)

Division of Systems Development

Phone: (240) 276-1582

Email: Robert.Vincent@samhsa.hhs.gov

Region 1 SAMHSA Regional Administrator:

Tom Coderre

JFK Federal Building

Boston, MA 02203

Email: tom.coderre@samhsa.hhs.gov

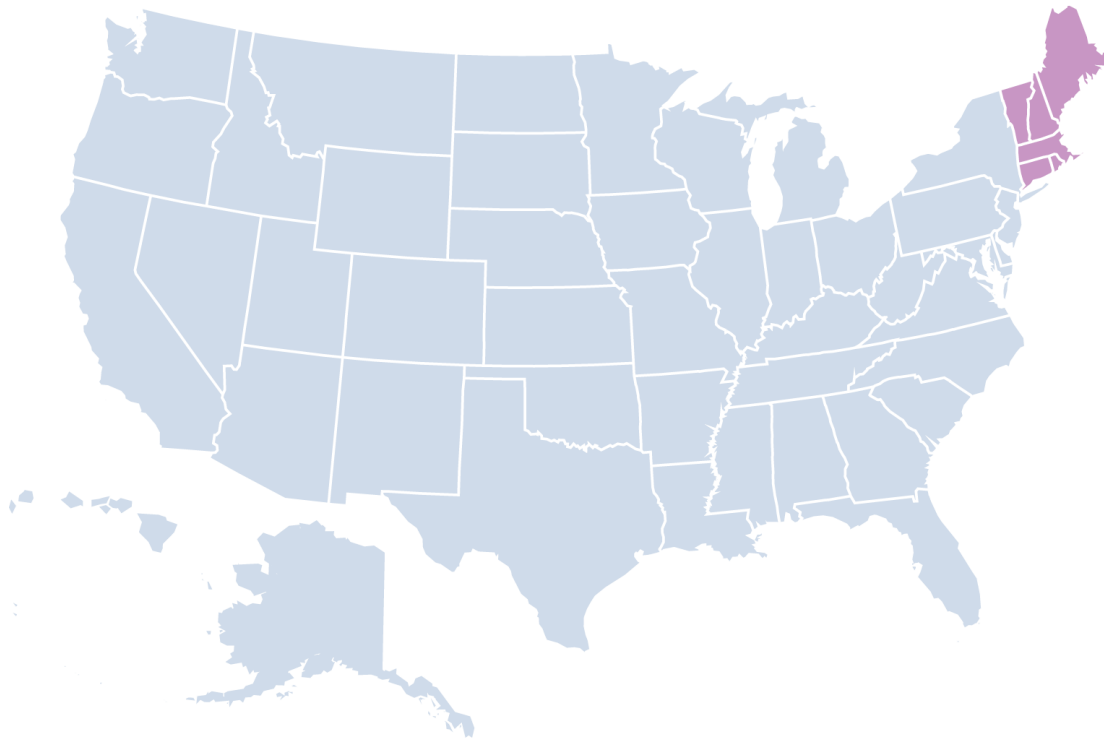
Contents: Region 1 (Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island, and Vermont)

As mandated by the STOP Act, the following state reports for Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island, and Vermont detail each state's performance in enacting, enforcing, and creating laws, regulations, and programs to prevent or reduce underage drinking.

A **regional profile** showing combined data on underage drinking is provided on the next page.

Each state report contains:

- A. State population and underage alcohol consumption data;**
- B. A summary of the state's behavioral health and substance use prevention, treatment, and recovery systems, including expenditures for substance abuse prevention and treatment;**
- C. State laws and policies:** These 26 underage drinking prevention policies have been identified as best practices (or as promising practices suitable for ongoing evaluation) and fall into four categories:
 - (1) Laws addressing minors in possession of alcohol;
 - (2) Laws targeting underage drinking and driving;
 - (3) Laws targeting alcohol suppliers; and
 - (4) Laws affecting alcohol pricing.
- D. 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:
 - (1) Enforcement programs to promote compliance with underage drinking laws and regulations;
 - (2) Programs targeted to youth, parents, and caregivers to deter underage drinking;
 - (3) State interagency collaborations to implement prevention programs, best-practice standards, collaborations with tribal governments, and participation in underage drinking media campaigns; and
 - (4) State expenditures on the prevention of underage drinking.



Region 1

Region Population: 14,810,001
Population Ages 12–20: 1,746,800

Past-Month Alcohol Use Among 12- to 20-Year-Olds	
Past-Month Alcohol Use – Number (Percentage)	510,200 (29.2%)
Past-Month Binge Alcohol Use – Number (Percentage)	329,500 (18.9%)

Alcohol-Attributable Deaths and Years of Potential Life Lost Under the Age of 21	
Alcohol-Attributable Deaths (under 21)	127
Years of Potential Life Lost (under 21)	7,642

Fatal Crashes Involving a 15- to 20-Year-Old Driver With Blood Alcohol Content (BAC) > 0.01% ¹	
Number of Fatalities Involving a 15- to 20-Year-Old Driver With BAC > 0.01	12
Percentage of All Fatal Crashes Involving a 15- to 20-Year-Old Driver	42%

¹ 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.

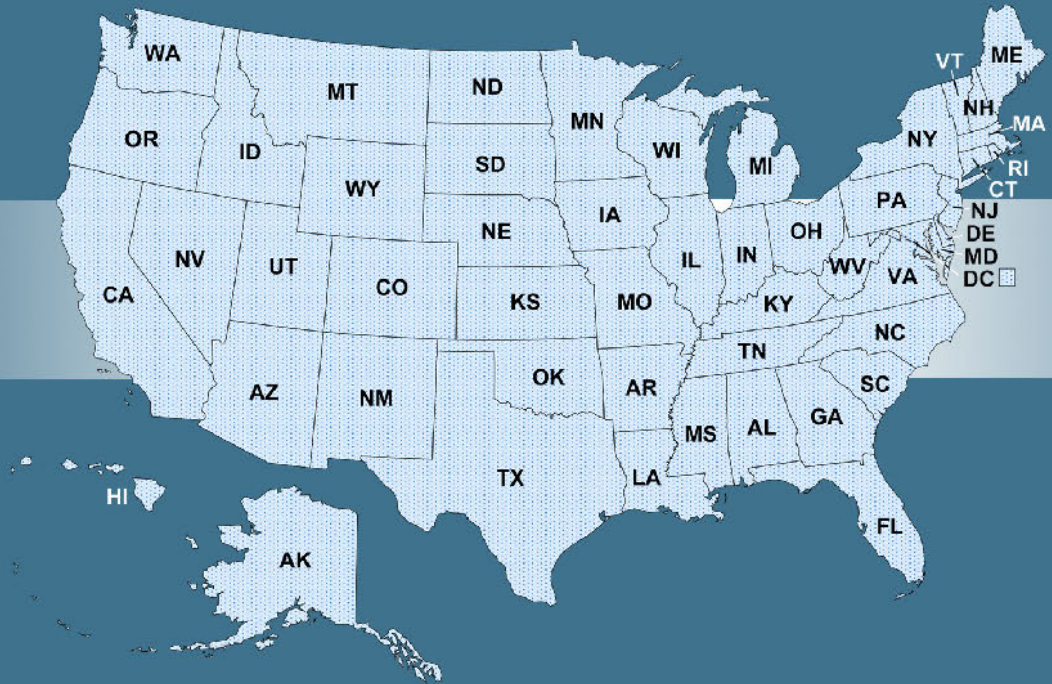


SAMHSA
Substance Abuse and Mental Health
Services Administration

CONNECTICUT STATE REPORT

Underage Drinking Prevention and Enforcement

2020



SAMHSA
Substance Abuse and Mental Health
Services Administration

This *State Report* is required by the Sober Truth on Preventing (STOP) Underage Drinking Act (Pub. L. 109-422), which was enacted by Congress in 2006 and reauthorized in December 2016 as part of the 21st Century Cures Act (Pub. L. 114-255). The STOP Act requires an annual report “on each State’s performance in enacting, enforcing, and creating laws, regulations, and programs to prevent or reduce underage drinking.” As directed by the STOP Act, the *State Reports* were prepared by the Interagency Coordinating Committee on the Prevention of Underage Drinking (ICCPUD), which is chaired by 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 2019. Regional and state profile data were drawn from the most recently available federal survey data as of 2018. State legal data reflect the status of the law as of January 1, 2019. State survey data, collected in 2019, 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 2015 through 2018 National Surveys on Drug Use and Health (NSDUH), SAMHSA’s Center for Behavioral Health Statistics and Quality (CBHSQ), and the NSDUH special data analysis (2018). 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 served as the resource for data about alcohol-attributable deaths from 2006–10 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 2018 data used to present statistics about fatalities among 15-to 20-year-old drivers.

Recommended Citation: U.S. Department of Health and Human Services (HHS), Substance Abuse and Mental Health Services Administration (SAMHSA; 2020). 2020 *Connecticut State Report – Underage Drinking Prevention and Enforcement*. Rockville, MD: SAMHSA.

Staff Chair and Point of Contact, ICCPUD:

Robert M. Vincent, MS.Ed

Public Health Analyst

SAMHSA’s Center for Substance Abuse Prevention (CSAP)

Division of Systems Development

Phone: (240) 276-1582

Email: Robert.Vincent@samhsa.hhs.gov

Connecticut Governor’s Designated Contact for STOP Act State Survey:

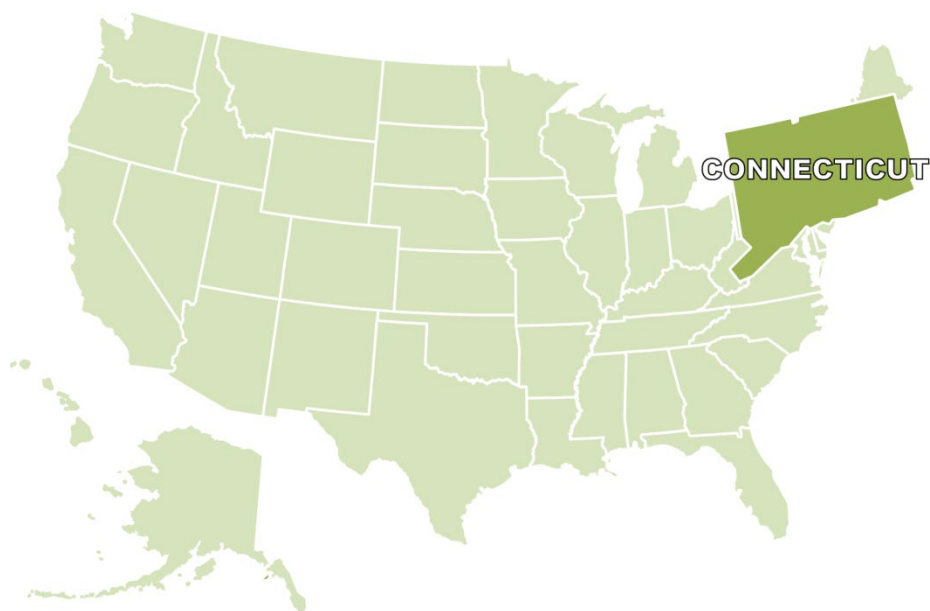
Dawn Grodzki, BS

Behavioral Health Program Manager

Department of Mental Health and Addiction Services Prevention and Health Promotion Unit

Phone: (860) 418-6772

Email: dawn.grodzki@ct.gov



Connecticut

State Population: 3,572,665

Population Ages 12–20: 432,300

Past-Month Alcohol Use Among 12- to 20-Year-Olds	
Ages 12–20	
Past-Month Alcohol Use – Number (Percentage)	121,000 (28.0%)
Past-Month Binge Alcohol Use – Number (Percentage)	78,200 (18.1%)
Ages 12–14	
Past-Month Alcohol Use – Number (Percentage)	4,900 (3.7%)
Past-Month Binge Alcohol Use – Number (Percentage)	1,500 (1.2%)
Ages 15–17	
Past-Month Alcohol Use – Number (Percentage)	30,700 (21.4%)
Past-Month Binge Alcohol Use – Number (Percentage)	17,600 (12.3%)
Ages 18–20	
Past-Month Alcohol Use – Number (Percentage)	85,300 (54.6%)
Past-Month Binge Alcohol Use – Number (Percentage)	59,100 (37.8%)
Alcohol-Attributable Deaths and Years of Potential Life Lost Under the Age of 21	
Alcohol-Attributable Deaths (under 21)	35
Years of Potential Life Lost (under 21)	2,085
Fatal Crashes Involving a 15- to 20-Year-Old Driver With Blood Alcohol Concentration (BAC) > 0.01%¹	
Number of Fatalities Involving 15- to 20-Year-Old Driver With BAC > 0.01%	10
Percentage of All Fatal Crashes Involving a 15- to 20-Year-Old Driver	32%

¹ 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.

Overview of Behavioral Health Services for Children²

Department of Children and Families

Working together with families and communities to improve child safety, ensure that more children and youth have permanent families, and advance the overall well-being of children, youth, and families is the central focus of the Department of Children and Families (DCF). DCF protects children who are being abused or neglected, strengthens families through support and advocacy, and builds on existing family and community strengths to help children and youth who are facing emotional and behavioral challenges, including those committed to the Department by the juvenile justice system.

DCF, established under Section 17a-2 of the Connecticut General Statutes, is one of the nation's few agencies to offer child protection, behavioral health, juvenile justice, and prevention services. This comprehensive approach enables DCF to offer quality services regardless of how a child's problems arise. Whether children and youth are abused and/or neglected, are involved in the juvenile justice system, or have emotional, mental health or substance use issues, the Department can respond to these children and youth in a way that draws upon community and state resources to help.

The Department has five mandated areas, which include child welfare, children's behavioral health, education, juvenile services, and prevention. In addition to the operated facilities, the Department consists of a Central Office and 14 Area Offices that are organized into six regions. At any point in time, the Department serves approximately 26,000 children and 12,000 families across its programs and mandated areas of service. The average number of full-time employees is 3,357. DCF's recurring operational expenses total around \$793,380,378.

Substance Use Treatment Services – Children

Case Management and Recovery Support Programs—This service provides intensive recovery support services and case management and can include random observed alcohol and drug screenings for parents and caregivers with a substance use problem by facilitating treatment and increasing recovery.

Family-Based Recovery—This service is an intensive, in-home clinical treatment program for families with infants or toddlers (birth to 36 months) who are at risk for abuse and/or neglect, poor developmental outcomes, and removal from their home due to parental substance use. The overarching goal of the intervention is to promote stability, safety, and permanence for these families. Treatment and support services are family-focused, strength-based, trauma-informed, culturally competent, and responsive to the individual needs of each child and family. The

² Extracted from FY 2018/2019 – (Connecticut) State Behavioral Health Assessment and Plan, Substance Abuse Prevention and Treatment Block Grant (SABG), Center for Substance Abuse Prevention (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.

clinical team provides intensive psychotherapy and substance use treatment for the parent(s) and attachment-based parent-child therapy.

Project SAFE—This statewide program provides priority access to substance use evaluations, outreach and engagement, and outpatient substance use treatment to parents/caregivers who are involved in an open DCF case. Additional services include assisting families in gaining access to mental health, medical, social, educational, vocational, housing, and other services essential to meeting basic human needs.

Reentry and Family Treatment—This program expands the publicly funded adolescent substance use treatment system to provide enhanced Multidimensional Family Therapy services to juvenile offenders being released after a year or more in a controlled environment back to the cities of Hartford, New Britain, Bridgeport, Milford, New Haven, and Waterbury.

Prevention Services – All

Prevention services are within the Office of the Commissioner and under the oversight of the Director of Prevention and Health Promotion. The Prevention and Health Promotion Division oversees and administers the prevention set-aside funds for the Behavioral Health Block Grant, the implementation of the Synar Amendment, and a number of federal discretionary grants that are earmarked for specific issues. The Division is strategically aligned with the five-step planning process of SAMHSA’s Strategic Prevention Framework (SPF), including: 1) conducting needs assessments, 2) mobilization and capacity building, 3) planning, 4) implementing evidence-based strategies, and 5) monitoring and evaluation. The Division is organized to provide accountability-based, developmentally appropriate, and culturally sensitive behavioral health services based on evidence-based models and best practices, through a comprehensive system that matches services to the needs of the individuals and local communities.

The Department of Mental Health & Addiction Services’ (DMHAS) prevention goal is to promote emotional health and reduce the likelihood of substance use and mental illness. The statewide DMHAS prevention system of services and resources is designed to provide an array of evidence-based universal, selected, and indicated programs and promote increased prevention service capacity and infrastructure improvements to address prevention gaps.

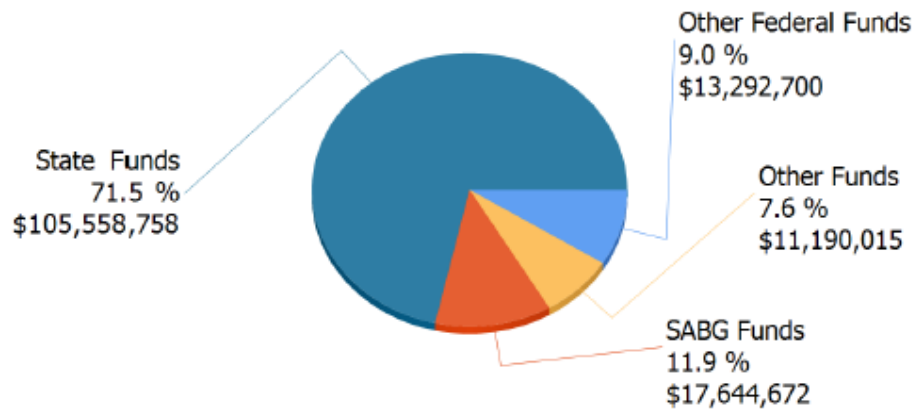
DMHAS prevention programs are organized into two major categories: (1) direct service programs that focus on tobacco prevention and enforcement, underage alcohol use prevention, the prevention of nonmedical use of prescription drugs and opioid overdoses, mental health promotion, and programs that link substance use, mental health and other problem prevention; and (2) prevention infrastructure resources that undergird and support prevention service capacity and infrastructure improvements to address prevention gaps.

Expenditures for Substance Abuse Prevention and Treatment

All states receive federal funds for substance abuse prevention through the Substance Abuse Prevention and Treatment Block Grant (SABG) administered by the Substance Abuse and Mental Health Services Administration (SAMHSA). Exhibit 1 shows the sources that Connecticut used for expenditures on substance abuse prevention and treatment in 2019. As indicated, state funds and SABG funds account for the largest sources (71.5 percent and 11.9 percent, respectively).³

States submit Behavioral Assessment and Plan reports that include their priorities for use of SABG funds, as well as planned expenditures. For fiscal year (FY) 2018–2019, Connecticut did not identify underage drinking as a priority for use of SABG funds.⁴

Exhibit 1: Sources of Connecticut’s 2019 Expenditures for Substance Abuse Prevention and Treatment



³ WebBGAS State Profile, 2019 SABG and Community Mental Health Services Block Grant (MHBG) Reports – Connecticut 2019.

⁴ FY 2018/2019 – (Connecticut) 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 Connecticut'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 26 underage drinking prevention policies have been identified as best practices (or as promising practices suitable for ongoing evaluation) and fall into four categories:

1. Laws addressing minors in possession of alcohol;
2. Laws targeting underage drinking and driving;
3. Laws targeting alcohol suppliers; and
4. Laws affecting alcohol pricing.

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:

1. Enforcement programs to promote compliance with underage drinking laws and regulations.
2. Programs targeted to youth, parents, and caregivers to deter underage drinking.
3. State interagency collaborations to implement prevention programs, best-practice standards, collaborations with tribal governments, and participation in underage drinking media campaigns.
4. State expenditures on the prevention of underage drinking.

Laws Addressing Minors in Possession of Alcohol

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

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

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

Underage-Purchase and Attempted Purchase	
Is the purchase of alcoholic beverages prohibited?	Yes
May youth purchase for law enforcement purposes?	Yes

Underage-False Identification for Obtaining Alcohol	
Provisions Targeting Minors	
Is the use of false identification (ID) prohibited?	Yes
Does the use of a false ID result in minor's driver's license suspension?	Yes, through a judicial process
Provisions Targeting Suppliers	
Is the lending or transferring or selling of a false ID prohibited?	No
Is the production of a false ID in the context of underage alcohol sales specifically prohibited?	No
Retailer Support Provisions	
Is there an incentive for the retailer to use electronic scanners for information digitally encoded on valid IDs?	Yes
Are state driver's licenses for persons under 21 easily distinguishable from licenses for persons 21 and over?	Yes
May retailers seize apparently false IDs without fear of prosecution even if the ID is ultimately deemed valid?	No

Does an affirmative defense exist for the retailer?	Yes
• Is it a specific affirmative defense (retailer reasonably believed ID was valid after examining it)?	Yes
• Is it a general affirmative defense (retailer reasonably believed purchaser was over 21)?	No
Does the retailer have the right to sue the minor for use of a false ID?	No
May a retailer detain a minor who used a false ID?	No

Laws Targeting Underage Drinking and Driving

Youth Blood Alcohol Concentration Limits (Underage Operators of Noncommercial Motor Vehicles)	
What is the maximum blood alcohol concentration (BAC) limit for an underage driver of a motor vehicle?	0.02%
Does a BAC level in excess of limit automatically establish a violation (per se violation)?	Yes
What is the minimum age to which the limit applies?	Not specified
What is the maximum age to which the limit applies?	21

Loss of Driving Privileges for Alcohol Violations by Minors (“Use/Lose” Laws)	
Is there a “use/lose” law that suspends or revokes a minor’s driving privileges for alcohol violations?	Yes
What types of violation lead to license suspension or revocation?	
• Purchase of alcohol	No
• Possession of alcohol	Yes
• Consumption of alcohol	No
The law applies to people under what age?	21
Is suspension or revocation mandatory or discretionary?	Mandatory
What is the length of suspension/revocation?	
Minimum number of days	30
Maximum number of days	30
Notes: In addition to the 30-day suspension penalty mentioned in the table above, Connecticut imposes a license suspension of 60 days if underage possession occurs "on any public street or highway." See Conn. Gen. Stat. §§ 14-111e(a), 30-89(b)(1). APIS does not code provisions that apply only when the minor is located on a public street or highway.	

Graduated Driver’s Licenses	
Learner Stage	
What is the minimum age for permit to drive with parents, guardians, or other adults (other than instructors)?	16
What is the minimum number of months driver must hold learner permit before advancing to intermediate stage?	4 with driver education; 6 months without
What is the minimum number of hours of driving with parents, guardians, or adults before advancing to intermediate stage?	40

Intermediate Stage	
What is the minimum age for driving without adult supervision?	16 years, 4 months
For night driving, when does adult supervision requirement begin?	11:00 PM
Can law enforcement stop a driver for night driving violation as a primary offense?	Yes, officer may stop driver for night driving violation
Are there restrictions on passengers?	Yes, first 6 months, limited to one parent, instructor or licensed adult who is at least 20 years old; second 6 months, expands to include immediate family
Can law enforcement stop driver for violation of passenger restrictions as a primary offense?	Yes, officer may stop driver for passenger restrictions violation
License Stage	
What is the minimum age for full license privileges and lifting of restrictions?	18 (Passenger restrictions expire 12 months after issuance of intermediate license; unsupervised night driving restrictions remain until age 18)
Notes: A parent or guardian of any applicant less than 18 to whom a learner's permit is issued on or after August 1, 2008 shall attend 2 hours of safe driving instruction with such applicant.	

Laws Targeting Alcohol Suppliers

Furnishing Alcohol to Minors	
Is furnishing of alcoholic beverages to minors prohibited?	Yes
Are there exceptions based on family relationships?	
• Is furnishing allowed if the parent or guardian supplies the alcohol?	Yes
• Is furnishing allowed if the spouse supplies the alcohol?	Yes
Is there an exception based on location?	No
Affirmative Defense for Sellers and Licensees	
Does law require seller/licensee to be exonerated of furnishing to a minor if the minor has not been charged?	No

Compliance Check Protocols	
Does the state have a written protocol for when an underage decoy is used in compliance checks?	No data
What is the minimum age a decoy may be to participate in a compliance check?	N/A
What is the maximum age a decoy may be to participate in a compliance check?	N/A
Are there appearance requirements for the decoy?	N/A
Does decoy carry ID during compliance check?	N/A
May decoy verbally exaggerate his or her actual age?	N/A
Is decoy training mandated, recommended, prohibited, or not specified?	N/A

Penalty Guidelines for Sales to Minors	
Are there written guidelines for penalties that are imposed on retailers for furnishing to a minor?	No
What is the time period for defining second, third and subsequent offenses?	N/A
What is the penalty for the first offense?	N/A
What is the penalty for the second offense?	N/A
What is the penalty for the third offense?	N/A
What is the penalty for the fourth offense?	N/A
Note: Penalties by statutory are discretionary by Liquor Control Commission for regulatory matters.	

Responsible Beverage Service (RBS)	
Is there a state law pertaining to Beverage Service Training?	No law
If training is mandatory, who must participate?	N/A
If training is voluntary, which of the following incentives are offered?	
• Defense in dram shop liability lawsuits	N/A
• Discounts in dram shop liability insurance, license fees, or other	N/A
• Mitigation of fines or other administrative penalties for sales to minors or intoxicated persons	N/A
• Protection against license revocation for sales to minors or sales to intoxicated persons	N/A
Does the RBS law apply to on-premises establishments (such as bars and restaurants) or off-premises establishments (such as liquor stores)?	N/A
Does the RBS law apply to new or existing licensees?	N/A

Minimum Ages for Sellers of Alcohol – Off-Premises (i.e., Liquor Stores)	
What is the minimum age requirement for off-premises retail establishments?	
Beer	15
Wine	18
Spirits	18
Does a manager or supervisor have to be present?	Yes
Notes: Although any person 15 years of age or older may be employed by a grocery store beer permittee, as of June 2, 2016, an employee 18 years of age or over must approve all beer sales.	

Minimum Age for Alcohol Servers and Bartenders – On-Premises (i.e., Restaurants and Bars)	
What is the minimum age requirement for servers in on-premises establishments?	
Beer	18
Wine	18
Spirits	18
What is the minimum age requirement for bartenders in on-premises establishments?	
Beer	18
Wine	18

Spirits	18
Does a manager or supervisor have to be present?	No

Distance Limitations Applied to New Alcohol Outlets Near Universities, Colleges, and Primary and Secondary Schools	
Colleges and Universities	
Is there a distance requirement for off-premises outlets (i.e., liquor stores)?	No
Is there a distance requirement for on-premises outlets (i.e., restaurants and bars)?	No
To which alcohol products does requirement apply?	N/A
Primary and Secondary Schools	
Is there a distance requirement for off-premises outlets (i.e., liquor stores)?	No
Is there a distance requirement for on-premises outlets (i.e., restaurants and bars)?	No
To which alcohol products does requirement apply?	N/A

Dram Shop Liability	
Does a statute create dram shop liability?	Yes
Does the statute limit damages that may be recovered?	Yes (\$250,000 per person.)
Does the statute limit who may be sued?	No
Does the statute limit elements or standards of proof?	Yes (Minor must be intoxicated at time of furnishing.)
Does common law dram shop liability exist?	Yes
Notes: A common law cause of action is not precluded by the dram shop statute. Under common law, the limitations on damages may be avoided.	

Social Host Liability	
Does a statute create social host liability?	No
Does the statute limit damages that may be recovered?	N/A
Does the statute limit who may be sued?	N/A
Does the statute limit elements or standards of proof?	N/A
Does common law social host liability exist?	Yes

Prohibitions Against Hosting Underage Drinking Parties	
Does a statute prohibit hosting underage drinking parties?	Yes
Is the statute specific to underage parties, or a general prohibition against permitting underage drinking on the property?	General
What action by underage guest triggers a violation?	Possession
Property type covered by the law?	Residential/Outdoor/Other
What level of knowledge by the host is required?	Criminal Negligence: Host knew or should have known of the party

Does host's preventive action protect him/her from being held liable?	Yes
Are there any exceptions for underage guests?	Yes—Family members
Notes: The "preventive action" provision in Connecticut requires the prosecution to prove that the host failed to take preventive action. Effective October 1, 2012, Connecticut permits prosecution of a person who "knowingly, recklessly, or with criminal negligence" permits a minor to possess alcoholic liquor. See Conn. Gen. Stat. § 30-89a. When a statute specifies more than one level of knowledge that may suffice for a social host offense, APIS codes to the lowest or least demanding of such levels.	

Retailer Interstate Shipments of Alcohol	
Are out-of-state retailers prohibited from sending interstate shipments to in-state consumers?	
Beer	Prohibited
Wine	Prohibited
Spirits	Prohibited

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

Keg Registration	
How is a keg defined (in gallons)?	Equal to or more than 6.00
Prohibitions	
Is it illegal to possess an unregistered or unlabeled keg and if so, what is the penalty?	Yes (Maximum fine/jail, \$500/3 months)
Is it illegal to destroy the label on a keg, and if so, what is the penalty?	No
What purchaser information is collected?	
Must the retailer collect the name and address?	Yes
Must the retailer collect the ID number, name and address on license or other government information?	Yes
Must the retailer collect the address at which keg will be consumed?	No

Must warning information be given to purchaser?	Yes, passive (requires no action by purchaser)
Is a deposit required?	No
Does law cover disposable kegs?	No

Home Delivery	
Is home delivery of alcohol permitted?	
Beer	Yes
Wine	Yes
Spirits	Yes

High-Proof Grain Alcohol Beverages	
Are there restrictions on the sale of high-proof grain alcohol beverages?	No
Are restrictions based on Alcohol by Volume (ABV)?	N/A
Are there exceptions to restrictions?	N/A

Laws Affecting Alcohol Pricing

Alcohol Taxes	
Beer	
Control system for beer?	No
Specific excise tax per gallon for 5% alcohol beer	\$0.24
Ad valorem excise tax (for on-premises sales) on total receipts for 5% alcohol beer	
Wholesale tax rate (if applicable)	N/A
Retail tax rate (if applicable)	N/A
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)	N/A
Retail tax rate (if applicable)	N/A
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	
Notes: Connecticut imposes a tax of \$7.20 per barrel, defined as “not less than 28 nor more than 31 gallons,” and \$0.24 per wine gallon or fraction thereof on quantities less than a quarter barrel. APIS reports the tax rate on 12 oz. bottles and therefore displays the rate as \$0.24 per gallon.	
Wine	
Control system for wine?	No
Specific excise tax per gallon for 12% alcohol wine	\$0.72

Ad valorem excise tax (for on-premises sales) on total receipts for 12% alcohol wine	
Wholesale tax rate (if applicable)	N/A
Retail tax rate (if applicable)	N/A
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)	N/A
Retail tax rate (if applicable)	N/A
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Additional taxes for 6 – 14% alcohol wine if applicable	
Spirits	
Control system for spirits?	No
Specific excise tax per gallon for 40% alcohol spirits	\$5.40
Ad valorem excise tax (for on-premises sales) on total receipts for 40% alcohol spirits	
Wholesale tax rate (if applicable)	N/A
Retail tax rate (if applicable)	N/A
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Ad valorem excise tax (for off-premises sales) on total receipts for 40% alcohol spirits	
Wholesale tax rate (if applicable)	N/A
Retail tax rate (if applicable)	N/A
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Additional taxes for 15 – 50% alcohol spirits if applicable	

Low-Price, High-Volume Drink Specials	
Are on-premises retailers prohibited from offering the following types of drink specials?	
Free beverages	No
Multiple servings at one time	Yes
Multiple servings for same price as single serving	No
Reduced price for a specified day or time (i.e., happy hours)	No

Unlimited beverages for fixed price	Yes
Increased volume without increase in price	No

Wholesaler Pricing Restrictions	
Beer	
Are volume discounts to retailers allowed?	Banned
Must wholesalers establish a minimum markup or maximum discount for each product sold to retailers?	Yes
Must wholesalers publicly post and hold (i.e., not reduce) prices for a set period of time?	Post and Hold (30 days)
Is wholesaler permitted to extend credit to retailer and if so, what is the maximum time period?	Yes (30 days)
Wine	
Are volume discounts to retailers allowed?	Banned
Must wholesalers establish a minimum markup or maximum discount for each product sold to retailers?	Yes
Must wholesalers publicly post and hold (i.e., not reduce) prices for a set period of time?	Post and Hold (30 days)
Is wholesaler permitted to extend credit to retailer and if so, what is the maximum time period?	Yes (30 days)
Spirits	
Are volume discounts to retailers allowed?	Banned
Must wholesalers establish a minimum markup or maximum discount for each product sold to retailers?	Yes
Must wholesalers publicly post and hold (i.e., not reduce) prices for a set period of time?	Post and Hold (30 days)
Is wholesaler permitted to extend credit to retailer and if so, what is the maximum time period?	Yes (30 days)
Notes: Wholesalers may not sell below cost.	

Connecticut State Survey Responses

State Agency Information

Agency with primary responsibility for enforcing underage drinking laws:
Connecticut Department of Consumer Protection, Liquor Control Division

Enforcement Strategies

State law enforcement agencies use:

Cops in Shops	No
Shoulder Tap Operations	No
Party Patrol Operations or Programs	No
Underage Alcohol-Related Fatality Investigations	Yes

Local law enforcement agencies use:

Cops in Shops	No
Shoulder Tap Operations	No
Party Patrol Operations or Programs	Yes
Underage Alcohol-Related Fatality Investigations	Yes

State has a program to investigate and enforce direct sales/shipment laws	Yes
Primary state agency responsible for enforcing laws addressing direct sales/shipments of alcohol to minors	Consumer Protection, Liquor Control
Such laws are also enforced by local law enforcement agencies	Don't know

Enforcement Statistics

State collects data on the number of minors found in possession	Yes
Number of minors found in possession ¹ by state law enforcement agencies	453
Number pertains to the 12 months ending	12/31/2018
Data include arrests/citations issued by local law enforcement agencies	Yes
State conducts underage compliance checks/decoy operations ² to determine whether alcohol retailers are complying with laws prohibiting sales to minors	Yes
Data are collected on these activities	Yes
Number of retail licensees in state ³	7,000
Number of licensees checked for compliance by state agencies (including random checks)	140 estimated
Number of licensees that failed state compliance checks	30 estimated
Numbers pertain to the 12 months ending	12/31/2018
Compliance checks/decoy operations conducted at on-sale, off-sale, or both retail establishments	Both on- and off-sale establishments
State conducts random underage compliance checks/decoy operations	Yes
Number of licensees subject to random state compliance checks/decoy operations	Not available
Number of licensees that failed random state compliance checks	Not available
Local agencies conduct underage compliance checks/decoy operations to determine whether alcohol retailers are complying with laws prohibiting sales to minors	Yes
Data are collected on these activities	No
Number of licensees checked for compliance by local agencies	Not applicable
Number of licensees that failed local compliance checks	Not applicable
Numbers pertain to the 12 months ending	Not applicable
State collects data on fines imposed on retail establishments that furnish to minors	Yes
Number of fines imposed by the state ⁴	150 estimated
Total amount in fines across all licensees	\$291,700
Smallest fine imposed	\$250
Largest fine imposed	\$10,000
Numbers pertain to the 12 months ending	12/31/2018

Sanctions

<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 ⁵	80 estimated
Total days of suspensions across all licensees	No data
Shortest period of suspension imposed (in days)	1 day
Longest period of suspension imposed (in days)	20 days
Numbers pertain to the 12 months ending	12/31/2018
<i>State collects data on license revocations imposed on retail establishments specifically for furnishing to minors</i>	Yes
Number of license revocations imposed ⁶	0
Numbers pertain to the 12 months ending	12/31/2018

Additional Clarification

No data

¹ Or having consumed or purchased per state statutes.

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

³ Excluding special licenses such as temporary, seasonal, and common carrier licenses.

⁴ Does not include fines imposed by local agencies.

⁵ Does not include suspensions imposed by local agencies.

⁶ Does not include revocations imposed by local agencies.

Underage Drinking Prevention Programs Operated or Funded by the State

Strategic Prevention Framework - Partnerships for Success (SPF-PFS) 2015

Number of youth served	2,382
Number of parents served	No data
Number of caregivers served	No data
Program has been evaluated	Yes
Evaluation report is available	Yes
URL for evaluation report:	
	https://www.ct.gov/dmhas/cwp/view.asp?a=2912&q=573108
URL for more program information:	
	https://www.ct.gov/dmhas/cwp/view.asp?a=2912&q=573108

Program Description: Partnerships for Success (PFS) 2015 is a 5-year, \$8.2 million grant awarded to the Connecticut DMHAS through a competitive bid from SAMHSA’s Center for Substance Abuse Prevention (CSAP). The PFS funding, which began on September 30, 2015, allows Connecticut to continue successful community-based approaches that prevent underage drinking through the use of the Strategic Prevention Framework (SPF). This data-driven public health approach builds on the successes of community-based coalitions that specifically address underage drinking. The PFS uses environmental prevention approaches to produce measurable reductions in alcohol consumption patterns and their negative consequences.

The University of Connecticut Health Center conducts evaluations at the state and community levels to track performance targets. Eight funded community coalitions use the SPF 5-step approach to decrease alcohol consumption in youth ages 12 to 20. These coalitions build on existing resources to implement environmental strategies known to be effective in reducing youth alcohol use rates, such as curtailing retail and social access, policy change, enforcement, media advocacy, and parental and merchant education. They also measure changes in underage drinking using student survey and social indicator data. The 8 community coalitions are required to hire a full-time coordinator, use no less than 10 percent of their funding for evaluator/evaluation services, and hire a paid youth advocacy coordinator that works a minimum of 5 hours per week. Connecticut has completed implementation of both the SPF and PFS initiatives, which identified underage drinking as a state priority. The SPF initiative (\$11 million over 5 years) used a coalition approach to bring evidence-based programs, policies, and practices to communities across the state. The PFS was an \$11.5 million initiative. Coalitions were charged with conducting needs and resource assessments, building community capacity to address underage drinking, developing strategic plans, implementing evidence-based programs, and evaluating and sustaining efforts once the

initiative ended. Highlights included prioritizing and addressing underage drinking at the state and community levels; leveraging, redirecting, and realigning resources in support of the SPF and the reduction of underage drinking; and strengthening state/local capacity and infrastructure in support of prevention.

The overall goals of Connecticut's PFS 2015 initiative are to:

1. Reduce substance abuse-related problems in the state, particularly those related to underage alcohol use (among youth ages 12-20),
2. Prevent the onset and reduce the progression of substance abuse, including underage drinking,
3. Strengthen state and community-level capacity and infrastructure in support of substance abuse prevention, and
4. Leverage, redirect, and realign statewide funding streams for prevention.

CT Strategic Prevention Framework Community Coalitions (CSC's)

Number of youth served	5,094
Number of parents served	No data
Number of caregivers served	No data
Program has been evaluated	No
Evaluation report is available	No
URL for evaluation report:	Not applicable
URL for more program information:	

<https://www.ct.gov/dmhas/cwp/view.asp?a=2912&q=570918>

Program Description: Connecticut SPF Community Coalitions (CSC's) consist of 12 multi-focused Substance Abuse Prevention and Treatment (SAPT) Block Grant-funded programs across Connecticut. Formerly the Best Practices programs, many were originally created in the mid-1990s to apply science and research-based innovations to populations across the lifecycle. In 2009, following extensive review of state epidemiological data on underage alcohol use and related consequences, funded agencies were refocused to apply SPF and related strategies to address underage drinking and other substances that were data-identified as problems in chosen communities. All CSC agencies are required to address underage drinking and related consequences. Additionally, they are required to hire a local evaluator to assist with evaluation of their grants and development of an evaluation report. The population-level approach requires agencies to use evidence-based environmental strategies endorsed by CSAP, such as law and policy development, enforcement, and media and marketing campaigns. Similar to Connecticut's PFS 2015 Community Coalitions, these CSC's receive support from DMHAS-funded prevention infrastructure agencies to implement the SPF steps.

Connecticut Healthy Campus Initiative (CHCI)

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	No
URL for evaluation report:	Not applicable
URL for more program information:	

<https://www.ct.gov/dmhas/cwp/view.asp?a=2912&q=439078>

Program Description: The purpose of the Connecticut Healthy Campus Initiative (CHCI) is to develop a comprehensive prevention system that is responsive to the needs of young adults ages 18-25 who are attending public universities throughout Connecticut. CHCI is based on a 3-in-1 Framework recommended by the National Institute on Alcohol Abuse and Alcoholism (NIAAA). The goal is to change the culture of drinking and other substance use/abuse using broad-based, comprehensive, integrated programs with multiple complementary components that target individuals, including at-risk or alcohol-dependent drinkers, the student population as a whole, and the college and surrounding community. Objectives of the initiative are to 1) address gaps in substance abuse prevention and early intervention services, 2) support culturally responsive, age-appropriate, and evidence-based approaches for young adults, and 3) further develop Connecticut's prevention data infrastructure and capacity to collect and analyze outcome data and report on key performance measures.

While the primary target population is college students ages 18-25, programs may also target family members, peers, schools, and communities at large. This initiative requires that programs use multiple strategies (community-, campus-, and individual-level) that are known to be effective. CHCI activities include:

1. Monthly meetings of CHCI, which are open to all Connecticut institutions of higher education. Meetings include training by national experts, technical assistance (TA), networking, and organizational tasks geared toward sustaining efforts and promoting evidence-based activities on college campuses. Forty colleges have signed on to participate in the initiative.
2. Grantee funding opportunities: Following a competitive request-for-proposal process, 3 Connecticut colleges received awards to implement the NIAAA's Alcohol Intervention Matrix (AIM). Colleges receiving the awards will also implement the CORE survey after implementation to measure the effectiveness of the strategies at reducing past-month alcohol use and binge drinking.
3. TA is provided by the Wheeler Clinic, Connecticut Clearinghouse staff to Connecticut institutions of higher education. TA includes face-to-face, telephone, and electronic consultation, as requested by college staff. An electronic listserv of Connecticut colleges will be maintained and used to provide updates on national and state alcohol and drug prevention news and information.

The Governor's Prevention Partnership (GPP)

Number of youth served	667
Number of parents served	No data
Number of caregivers served	No data
Program has been evaluated	No
Evaluation report is available	No
URL for evaluation report:	Not applicable
URL for more program information:	https://www.preventionworksct.org

Program Description: The Governor's Prevention Partnership (GPP), a statewide prevention infrastructure agency, serves as a nonprofit entity between state government and businesses with a mission to keep Connecticut's youth safe, successful, and substance free. The GPP equips, empowers, and connects organizations, communities, and families to prevent substance abuse, underage drinking, and violence among youth, and promotes positive outcomes for all young people in Connecticut. The agency provides leadership and services to help schools, communities, colleges, and businesses create and sustain quality programs in the following areas: mentoring, coalition building, underage drinking prevention, school-based substance abuse and violence prevention, campus community partnerships, parent education, media, and youth advisory. The GPP works closely with DMHAS, state agencies, and community-based organizations to maximize prevention efforts and services based on state needs and policy plans.

Regional Behavioral Health Action Organizations (RBHAO's)

Number of youth served	351
Number of parents served	No data
Number of caregivers served	No data
Program has been evaluated	No
Evaluation report is available	No
URL for evaluation report:	Not applicable
	https://www.ct.gov/dmhas/cwp/view.asp?a=2908&q=601578

Program Description: To maximize resources and improve integration related to mental health and substance use program planning, training, advocacy and resource development, DMHAS reorganized the Regional Mental Health Boards (RMHBs) and Regional Action Councils (RACs). In February 2018, five Regional Behavioral Health Action Organizations (RBHAOs) were awarded through a competitive request for proposal process. The RBHAOs will continue to perform the statutory functions of the RMHBs and the RACs as strategic community partners who will work across the behavioral healthcare continuum. Each RBHAO will be responsible for a range of planning, education, and advocacy of behavioral health needs and services for children and adults within one of DMHAS' Uniform Regions. They will:

- Assess the behavioral health needs of children, adolescents, and adults across the regions;

- Develop regional reports to include priority recommendations for prevention, treatment, and recovery services;
- Administer the Local Prevention Council (LPC) grants to municipalities to stimulate the development and implementation of prevention activities;
- Build the capacity of local communities to understand and address problem gambling;
- Raise awareness and provide advocacy to the general public related to mental health promotion, treating mental illness, and substance abuse prevention, treatment, and recovery;
- Leverage funds to support prevention, treatment, and recovery activities across each region;
- Maintain the statutory requirements for meetings and membership for the organization; and
- Serve on local, regional, and statewide advisory and planning bodies.

Wheeler Clinic, Center for Prevention, Wellness & Recovery, Connecticut Clearinghouse

Number of youth served	439
Number of parents served	No data
Number of caregivers served	No data
Program has been evaluated	No
Evaluation report is available	No
URL for evaluation report:	Not applicable
URL for more program information: www.ctclearinghouse.org	

Program Description: Connecticut Clearinghouse, a program of Wheeler Clinic’s Connecticut Center for Prevention, Wellness, and Recovery (CCPWR), is a statewide library and resource center for information on substance use and mental health disorders, prevention and health promotion, treatment and recovery, wellness, and other related topics. The CCPWR serves as a prevention infrastructure agency for DMHAS. Resources and services are available to anyone who lives or works in the state, including families, teachers, students, professionals, community members, and children. The CCPWR also provides prevention and other training coordination services for several Connecticut state agencies.

Local Prevention Councils (LPC's)

Number of youth served	12
Number of parents served	No data
Number of caregivers served	No data
Program has been evaluated	No
Evaluation report is available	No
URL for evaluation report:	Not applicable
URL for more program information: https://www.ct.gov/dmhas/cwp/view.asp?a=2912&q=335150	

Program Description: LPC support more than 150 local, municipal-based alcohol, tobacco, and drug abuse prevention councils throughout Connecticut. This grant-funded program facilitates the development of prevention initiatives at the local level with the support of chief elected officials. Specific goals of LPCs are to increase public awareness of substance use prevention and stimulate the development and implementation of local prevention activities primarily focused on youth.

Cross Sector Consulting/Prevention Training & Technical Assistance Service Center (TTASC)

Number of youth served	69
Number of parents served	No data
Number of caregivers served	No data
Program has been evaluated	No
Evaluation report is available	No
URL for evaluation report:	Not applicable
URL for more program information: https://preventiontrainingcenter.org/	

Program Description: The Prevention TTASC goal is to increase prevention workforce competencies and improve access of prevention workers to the most relevant, responsive, and culturally appropriate prevention education and training resources by utilizing the SPF process to:

1. Maximize and target training and TA resources by coordinating efforts across multiple sectors to recruit, retain, educate, and train the prevention workforce;
2. Increase the use of evidence-based programs and strategies that address the national outcome measures (NOMs) and lead to measurable outcomes; and
3. Increase the reach of prevention training through the application of technology.

TTASC also will convene a Training and Technical Assistance Workgroup that will advise in the development and implementation of the Needs Assessment and the Workforce Development and Training Plan. Additionally, the Workgroup will:

1. Develop and maintain a website that will provide information on available trainings offered by the vendor;
2. Provide at least five training events annually;
3. Provide TA in a variety of formats, including electronic TA (phone, conference call, email, distance learning) and face-to-face meetings onsite or offsite. TA on the SPF process will be a priority for the PFS 2015 & CSC community subrecipients; and
4. Provide cultural competence training and TA.

University of Connecticut, Center for Prevention Evaluation & Statistics (CPES)

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	No
URL for evaluation report:	Not applicable
URL for more program information:	http://preventionportal.ctdata.org/

Program Description: The UConn Center for Prevention Evaluation and Statistics (CPES) will house the State Epidemiological Outcomes Workgroup (SEOW) and serve as a clearinghouse for epidemiological and evaluation-related services for prevention. The CPES will provide data collection, management, analysis, and dissemination; survey development and implementation; and the provision of TA and training on data and evaluation-related topics. Additionally, the CPES will maintain, chair, and provide logistical support for the SEOW. CPES will:

1. Convene meetings of the SEOW to continue to integrate data about the nature and distribution of substance use and related consequences into the SPF steps at the state and community levels;
2. Determine data needs by a) conducting key informant interviews with stakeholders and end-users, b) conducting a state and community-level scan to identify data availability, format, and areas of duplication, c) establish indicator inclusion criteria for evaluating old indicators and deciding on new indicators (e.g., availability, frequency of collection, validity, reliability), d) build epidemiological capacity and links based on identified needs, e) clean, collect, analyze, interpret and disseminate data, and f) monitor the prevention data system;
3. Maintain a user-friendly and easily accessible web-based SEOW data repository that offers current behavioral health data and the production of community epidemiologic profiles as well as provide training and TA on the use of the online data repository, assist in troubleshooting/responding to end-user questions, and facilitate and promote access to the online data system; and
4. Develop useful statewide substance abuse and related profiles, as well as other relevant data products, disseminating such products to key decision makers.

The CPES will also establish evaluation services to support DHMAS prevention providers, subcontractors, and other related entities, as needed, to:

1. Establish a logic model template to be used statewide throughout DMHAS-funded programs and provide training on the logic model template to local-level evaluators and DMHAS-funded programs to build capacity for tracking outcomes and meeting evaluation needs;

2. Provide training, TA, and consultation through the CPES on developing evaluation plans and reports, interpreting data, and making data-informed choices. Training should be conducted in conjunction with the DMHAS funded TTASC and other applicable entities;
3. Track indicators from existing prevention databases to determine program outcomes as well as develop and disseminate an annual report card that evaluates the progress of each prevention initiative;
4. Assist in the implementation of substance use-related surveys and the maintenance of existing surveys; and
5. Update and maintain the Prevention Data Portal.

Additional Underage Drinking Prevention Programs Operated or Funded by the State

Program description: No data

Additional Clarification

No data

Additional Information Related to Underage Drinking Prevention Programs

State collaborates with federally recognized tribal governments in the prevention of underage drinking Yes

Description of collaboration: Connecticut has two federally recognized Tribal Nations, the Mashantucket Pequot Nation (population: 227) and the Mohegan Tribe (population: 1,700). Connecticut also has four state-recognized Tribal Nations: the Eastern Pequot Nation, the Golden Hill Paugusset Tribe, the Pawcatuck Eastern Pequot Tribe (population: 150), and the Schaghticoke Indian Tribe (population: 300). A seventh Tribal Nation, Nipmuc Indian Association of Connecticut, is currently seeking federal recognition. The state’s two federally recognized Native American Tribes are located in the Norwich/New London area of eastern Connecticut. Both have casinos that contribute slot revenues to the state. The casinos have provided a stable economic foundation for the tribes and have allowed for the preservation of culture and the establishment of tribal departments that provide a broad range of health/social benefits to members on the reservations. Community Coalitions and Regional Behavioral Health Action Organizations (RBHAO's) in close proximity to both tribes have formal linkages and include tribal communities within their community interventions. At the state level, DMHAS is currently working with tribal leadership to educate them on the PFS 2015 initiative, as one of the eight PFS sub-recipients is located in a neighboring community. We also have worked to engage tribal representatives to serve in an advisory role (i.e., as members of the Strategic Prevention Enhancement [SPE] Advisory Council), providing advice on issues facing Native Americans who wish to participate in prevention programs for underage drinking and substance abuse.

State has programs to measure and/or reduce youth exposure to alcohol advertising and marketing No

Description of program: Not applicable

State collaborates with/participates in media campaigns to prevent underage drinking Yes

Federal campaigns: “Talk, They Hear You.” Yes

Regional and local media campaigns: various campaigns sponsored by funded community coalitions and DFC coalitions Yes

Local school district efforts: No

Other: No

State collaborates with/participates in SAMHSA’s national media campaign, “Talk. They Hear You.” Yes

State officially endorses TTHY efforts Yes

State commits state resources for TTHY No

State forwards TTHY materials to local areas Yes

Other: No

State procures funding for TTHY No

Pro bono No

Donated air time No

Earned media No

Other:	No
<i>State has adopted or developed best practice standards for underage drinking prevention programs</i>	Yes
Agencies/organizations that established best practices standards:	
Federal agency(ies): SAMHSA, CSAP	Yes
Agency(ies) within your state: Connecticut DMHAS, Prevention & Health Promotion	Yes
Nongovernmental agency(ies): Cross Sector Consulting, Prevention Training & Technical Assistance Service Center (TTASC), Evidence-Based Workgroup	Yes
Other:	No
<p>Best practice standards description: The DMHAS-funded Connecticut PFS 2015 grantees as well as the CT SPF CSCs utilize evidence-based programs (EBPs). The Cross Sector Consulting, Prevention Training & Technical Assistance Service Center (TTASC) will continue to provide training/TA on selecting and implementing EBP strategies that will most effectively assist PFS 2015 and CSC coalitions with achieving performance target outcomes. The Evidence-Based Workgroup is creating a guidebook for selecting evidence-based programs and strategies as well as a tool to measure fidelity of implementation of strategies.</p> <p>DMHAS, in conjunction with Connecticut prevention provider agencies and organizations, developed "Cultivating Programs that Work: Operating Standards for Prevention and Health Promotion Programs" for prevention programs funded by DMHAS. The standards, guidelines, and supporting documents link state-of-the-art prevention theory to effective, comprehensive, and accountable prevention practice and abide by principles that are divided into 8 categories critical for all prevention programs:</p> <ol style="list-style-type: none"> 1. Human Relationships 2. Program Planning 3. Program Activities 4. Program Settings 5. Health and Safety 6. Program Implementation 7. Program Administration 8. Evaluation <p>The purpose of these standards is to provide assurances to the public that alcohol and drug abuse prevention and early intervention programs are regulated under a set of minimum standards established by DMHAS. Standards establish a minimum level of program operation intended to reflect quality substance abuse prevention programs. The operating standards articulate a service philosophy that helps individuals, families, schools, and communities throughout Connecticut prevent the misuse or abuse of legal or illegal substances. To support prevention staff training and certification, the TTASC provides a wide range of prevention training across the state.</p>	

Additional Clarification

No data

State Interagency Collaboration

A state-level interagency governmental body/committee exists to coordinate or address underage drinking prevention activities Yes

Committee contact information:

Name: Carol Meredith, MPA, Director, DMHAS Prevention & Health Promotion
 Email: carol.meredith@ct.gov
 Address: 410 Capitol Avenue, Hartford, CT 06134
 Phone: 860-418-6826

Agencies/organizations represented on the committee:

Office of the Governor
 Regional Behavioral Health Action Organization
 Department of Mental Health & Addiction Services
 Greater Hartford Harm Reduction Coalition

Yale University
 Connecticut Medical Society
 Governors Prevention Partnership
 Wheeler Clinic/CT Clearinghouse
 New England High Intensity Drug Trafficking Area
 Department of Public Health
 Department of Children & Families
 Advanced Behavioral Health
 UConn School of Pharmacy
 Department of Consumer Protection, Drug Control Division
 First Selectman, Town of Ridgefield
 State Department of Education
 AIDS Connecticut
 Connecticut Community for Addiction & Recovery (CCAR)

A website or other public source exists to describe committee activities Yes
 URL or other means of access: <https://www.ct.gov/dmhas/cwp/view.asp?a=2908&q=334676>

Underage Drinking Reports

State has prepared a plan for preventing underage drinking in the last 3 years No

Prepared by: Not applicable

Plan can be accessed via: Not applicable

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

Prepared by: DMHAS & UConn Center for Prevention Evaluation & Statistics PFS 2015 Evaluation Team

Report can be accessed via: www.ct.gov/dmhas/prevention

Additional Clarification

No data

State Expenditures for the Prevention of Underage Drinking

Compliance checks in retail outlets:

Estimate of state funds expended Not available

Estimate based on the 12 months ending 12/31/2018

Checkpoints and saturation patrols:

Estimate of state funds expended Data not available

Estimate based on the 12 months ending 12/31/2018

Community-based programs to prevent underage drinking:

Estimate of state funds expended Data not available

Estimate based on the 12 months ending Data not available

K–12 school-based programs to prevent underage drinking:

Estimate of state funds expended Data not available

Estimate based on the 12 months ending Data not available

Programs targeted to institutes of higher learning:

Estimate of state funds expended Data not available

Estimate based on the 12 months ending Data not available

Programs that target youth in the juvenile justice system:

Estimate of state funds expended Data not available

Estimate based on the 12 months ending Data not available

Programs that target youth in the child welfare system:

Estimate of state funds expended Data not available

Estimate based on the 12 months ending Data not available

Other programs:

Programs or strategies included: Data not available

Estimate of state funds expended: Data not available

Estimate based on the 12 months ending: Data not available

Funds Dedicated to Underage Drinking

State derives funds dedicated to underage drinking from the following revenue streams:

Taxes	No
Fines	No
Fees	No
Other: Not applicable	No

Description of funding streams and how they are used:
Not applicable

Additional Clarification

No data

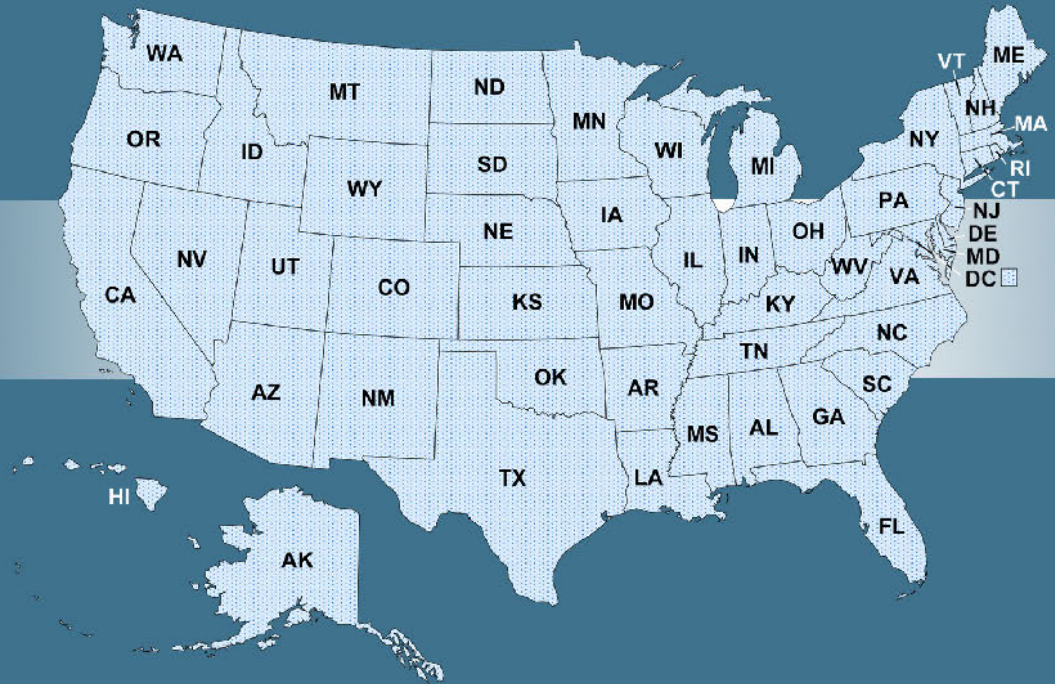


SAMHSA
Substance Abuse and Mental Health
Services Administration

MAINE STATE REPORT

Underage Drinking Prevention and Enforcement

2020



SAMHSA
Substance Abuse and Mental Health
Services Administration

This *State Report* is required by the Sober Truth on Preventing (STOP) Underage Drinking Act (Pub. L. 109-422), which was enacted by Congress in 2006 and reauthorized in December 2016 as part of the 21st Century Cures Act (Pub. L. 114-255). The STOP Act requires an annual report “on each State’s performance in enacting, enforcing, and creating laws, regulations, and programs to prevent or reduce underage drinking.” As directed by the STOP Act, the *State Reports* were prepared by the Interagency Coordinating Committee on the Prevention of Underage Drinking (ICCPUD), which is chaired by 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 2019. Regional and state profile data were drawn from the most recently available federal survey data as of 2018. State legal data reflect the status of the law as of January 1, 2019. State survey data, collected in 2019, 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 2015 through 2018 National Surveys on Drug Use and Health (NSDUH), SAMHSA’s Center for Behavioral Health Statistics and Quality (CBHSQ), and the NSDUH special data analysis (2018). 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 served as the resource for data about alcohol-attributable deaths from 2006–10 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 2018 data used to present statistics about fatalities among 15-to 20-year-old drivers.

Recommended Citation: U.S. Department of Health and Human Services (HHS), Substance Abuse and Mental Health Services Administration (SAMHSA; 2020). 2020 *Maine State Report – Underage Drinking Prevention and Enforcement*. Rockville, MD: SAMHSA.

Staff Chair and Point of Contact, ICCPUD:

Robert M. Vincent, MS.Ed

Public Health Analyst

SAMHSA’s Center for Substance Abuse Prevention (CSAP)

Division of Systems Development

Phone: (240) 276-1582

Email: Robert.Vincent@samhsa.hhs.gov

Maine Governor’s Designated Contact for STOP Act State Survey:

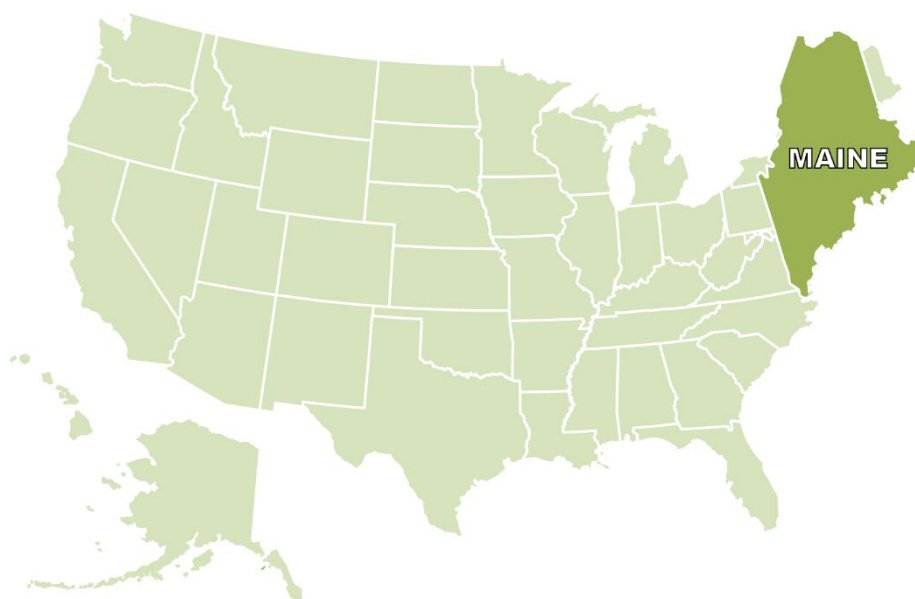
Ellen Blake

Prevention Specialist

Maine Center for Disease Control and Prevention

Phone: (207) 287-5762

Email: Ellen.Blake@maine.gov



Maine

State Population: 1,338,404

Population Ages 12–20: 140,800

Past-Month Alcohol Use Among 12- to 20-Year-Olds	
Ages 12–20	
Past-Month Alcohol Use – Number (Percentage)	33,100 (23.5%)
Past-Month Binge Alcohol Use – Number (Percentage)	21,200 (15.1%)
Ages 12–14	
Past-Month Alcohol Use – Number (Percentage)	900 (2.1%)
Past-Month Binge Alcohol Use – Number (Percentage)	600 (1.3%)
Ages 15–17	
Past-Month Alcohol Use – Number (Percentage)	8,900 (19.3%)
Past-Month Binge Alcohol Use – Number (Percentage)	5,200 (11.2%)
Ages 18–20	
Past-Month Alcohol Use – Number (Percentage)	23,300 (46.5%)
Past-Month Binge Alcohol Use – Number (Percentage)	15,500 (30.9%)
Alcohol-Attributable Deaths and Years of Potential Life Lost Under the Age of 21	
Alcohol-Attributable Deaths (under 21)	13
Years of Potential Life Lost (under 21)	808
Fatal Crashes Involving a 15- to 20-Year-Old Driver With Blood Alcohol Concentration (BAC) > 0.01% ¹	
Number of Fatalities Involving 15- to 20-Year-Old Driver With BAC > 0.01%	5
Percentage of All Fatal Crashes Involving a 15- to 20-Year-Old Driver	43%

¹ 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 System Overview²

Maine's Behavioral Health System is under the purview of the Maine Department of Health and Human Services (MDHHS). It currently consists of the following offices: Office of Substance Abuse and Mental Health Services (SAMHS), Office of Child and Family Services, Office of Aging and Disability Services, Office of Family Independence, the Maine Centers for Disease Control and Prevention (CDC), and the Office of Maine Care Services.

MDHHS's SAMHS provides statewide leadership in defining, measuring, and improving the quality of services and supports to individuals in need of substance abuse services across the continuum of care: intervention, treatment, and recovery. In September 2012, the Office of Substance Abuse and the Office of Adult Mental Health Services were merged to form one state agency: SAMHS. The rationale for this change was to bring the various behavioral health agencies in the state together to further integrate and provide a more holistic milieu of services and support to the people of Maine. The new organization consists of the office of the director and associate directors, treatment and recovery staff, quality and data team, special projects, and financial and administrative personnel.

Both SAMHS and Maine CDC are centralized in the capital of the state, and contract with providers statewide to administer necessary services. Through these contracts, SAMHS and Maine CDC contribute resources at the public health district level, although unlike other offices, they do not have staff located at the public health district level. SAMHS staff is responsible for contract monitoring, providing technical assistance, and site visits to ensure quality of services being provided.

Prevention Services

Maine has a new structure for the implementation of prevention services in the state. This new system (called Maine Prevention Services) includes five domains:

- Domain 1: Substance Use
- Domain 2: Tobacco Prevention
- Domain 3: Youth Engagement
- Domain 4: Mass Reach Health Communications
- Domain 5: Obesity

Maine contracts with five vendors to provide statewide services under each domain. Each domain (except Domain 4) has subrecipients who provide these services to local communities across the state.

Statewide substance use prevention services are implemented through a Maine CDC contract with the University of New England (Domain 1 of Maine Prevention Services), which has 21 subrecipients across the state that are implementing prevention by using the Strategic Prevention Framework Model (SPF). Subrecipients are required to complete an assessment of their

² Extracted from fiscal year (FY) 2018/2019 – (Maine) State Behavioral Health Assessment and Plan, Substance Abuse Prevention and Treatment Block Grant (SABG), Center for Substance Abuse Prevention (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.

communities utilizing data from the State Epidemiology Outcomes Workgroup (SEOW), local level data, and environmental scanning and then determine capacity to implement prevention services. In addition, this assessment includes any special populations within the community to be served and all subrecipients are required to address any health disparities that may exist. Subrecipients then develop a workplan based on those assessments after they are provided with a pre-approved list of interventions and activities that they can implement. Subrecipients then implement the interventions, report on these monthly, and go through a process to evaluate the effectiveness of that intervention for their community.

Youth-Related Prevention Activities

Enforcing Underage Drinking Laws—One vendor coordinates services and distributes funding to subrecipients (law enforcement agencies) across Maine to implement evidence-based underage drinking enforcement details. This includes funding for details, training for law enforcement, and coordination of a statewide task force.

Youth Engagement—The Maine Youth Action Network (MYAN) oversees a statewide network of prevention-focused youth-adult partnerships and youth groups with the overall goals of increasing resilience among youth and reducing youth substance use. This is Domain 3 of Maine Prevention Services. Youth groups include youth policy boards at the district and state level designed to research and implement public health policy change projects, as well as youth groups working more generally on health- and prevention-related efforts. MYAN provides technical assistance (TA) to bolster and develop youth-adult partnerships across the state through education and training grounded in positive youth development and social-emotional learning principles.

Expenditures for Substance Abuse Prevention and Treatment

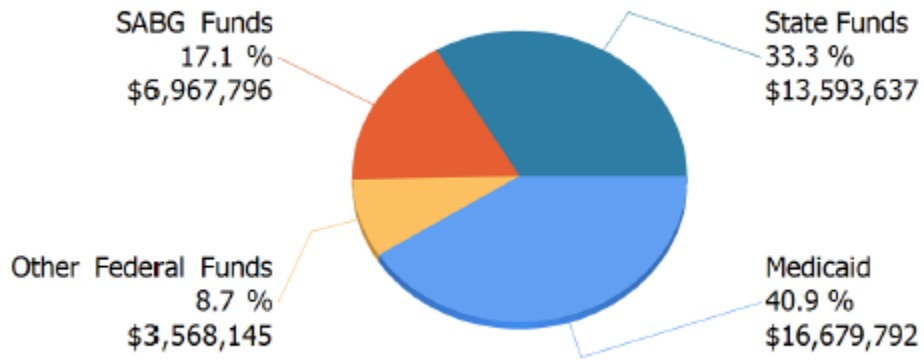
All states receive federal funds for substance abuse prevention through the Substance Abuse Prevention and Treatment Block Grant (SABG) administered by the Substance Abuse and Mental Health Services Administration (SAMHSA). Exhibit 1 shows the sources that Maine used for expenditures on substance abuse prevention and treatment in 2019. As indicated, Medicaid funds and state funds account for the largest sources (40.9 percent and 33.3 percent, respectively).³

States submit Behavioral Assessment and Plan reports that include their priorities for use of SABG funds, as well as planned expenditures. For fiscal year (FY) 2018–2019, Maine designated reduction of alcohol and other drugs use among youth and young adults as priority number one for use of SABG funds.⁴

³ WebBGAS State Profile, 2019 SABG and MHBG Reports – Maine 2019.

⁴ FY 2018/2019 – (Maine) 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.

Exhibit 1: Sources of Maine's 2019 Expenditures for Substance Abuse Prevention and Treatment



State Performance: Laws, Enforcement, and Programs

As mandated by the STOP Act, this report details Maine’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 26 underage drinking prevention policies have been identified as best practices (or as promising practices suitable for ongoing evaluation) and fall into four categories:

1. Laws addressing minors in possession of alcohol;
2. Laws targeting underage drinking and driving;
3. Laws targeting alcohol suppliers; and
4. Laws affecting alcohol pricing.

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:

1. Enforcement programs to promote compliance with underage drinking laws and regulations.
2. Programs targeted to youth, parents, and caregivers to deter underage drinking.
3. State interagency collaborations to implement prevention programs, best-practice standards, collaborations with tribal governments, and participation in underage drinking media campaigns.
4. State expenditures on the prevention of underage drinking.

Laws Addressing Minors in Possession of Alcohol

Underage-Possession	
Is underage possession of alcoholic beverages prohibited?	Yes
Are there exceptions based on family relationships?	
• Is possession allowed if parent or guardian is present or consents?	Yes, in specified locations – see below
• Is possession allowed if spouse is present or consents?	No
Is there an exception based on location?	Yes, in any private residence if parent/guardian is present or consents

Underage-Consumption	
Is underage consumption of alcoholic beverages prohibited?	Yes
Are there exceptions based on family relationships?	
• Is consumption allowed if the parent or guardian is present or consents?	Yes, in specified locations – see below
• Is consumption allowed if the spouse is present or consents?	No
Is there an exception based on location?	Yes, in any private residence if parent/guardian is present or consents

Underage-Internal Possession	
Is underage internal possession of alcoholic beverages prohibited?	No law
Are there exceptions based on family relationships?	
• Is internal possession allowed if the parent or guardian is present or consents?	N/A
• Is internal possession allowed if the spouse is present or consents?	N/A
Is there an exception based on location?	N/A

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

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?	No

Are state driver's licenses for persons under 21 easily distinguishable from licenses for persons 21 and over?	Yes
May retailers seize apparently false IDs without fear of prosecution even if the ID is ultimately deemed valid?	Yes
Does an affirmative defense exist for the retailer?	No
<ul style="list-style-type: none"> Is it a specific affirmative defense (retailer reasonably believed ID was valid after examining it)? 	N/A
<ul style="list-style-type: none"> Is it a general affirmative defense (retailer reasonably believed purchaser was over 21)? 	N/A
Does the retailer have the right to sue the minor for use of a false ID?	No
May a retailer detain a minor who used a false ID?	No
Notes: In Maine, the Provisions Targeting Suppliers apply to acts prohibited by minors. The more general laws that address adults are not collected here as they are not, for APIS purposes, specific to the lending, transfer, sale, or production of false identification for a minor's obtaining alcoholic beverages.	

Laws Targeting Underage Drinking and Driving

Youth Blood Alcohol Concentration Limits (Underage Operators of Noncommercial Motor Vehicles)	
What is the maximum blood alcohol concentration (BAC) limit for an underage driver of a motor vehicle?	0.00%
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?	Not specified
What is the maximum age to which the limit applies?	21

Loss of Driving Privileges for Alcohol Violations by Minors ("Use/Lose" Laws)	
Is there a "use/lose" law that suspends or revokes a minor's driving privileges for alcohol violations?	No law
What types of violation lead to license suspension or revocation?	
<ul style="list-style-type: none"> Purchase of alcohol 	N/A
<ul style="list-style-type: none"> Possession of alcohol 	N/A
<ul style="list-style-type: none"> Consumption of alcohol 	N/A
The law applies to people under what age?	N/A
Is suspension or revocation mandatory or discretionary?	N/A
What is the length of suspension/revocation?	
Minimum number of days	N/A
Maximum number of days	N/A

Graduated Driver's Licenses	
Learner Stage	
What is the minimum age for permit to drive with parents, guardians, or other adults (other than instructors)?	15

What is the minimum number of months driver must hold learner permit before advancing to intermediate stage?	6
What is the minimum number of hours of driving with parents, guardians, or adults before advancing to intermediate stage?	70 (10 of which must be at night)
Intermediate Stage	
What is the minimum age for driving without adult supervision?	16
For night driving, when does adult supervision requirement begin?	12:00 AM
Can law enforcement stop a driver for night driving violation as a primary offense?	Yes, officer may stop driver for night driving violation
Are there restrictions on passengers?	Yes, immediate family members only, unless accompanied by licensed driver who is at least 20 years old
Can law enforcement stop driver for violation of passenger restrictions as a primary offense?	Yes, officer may stop driver for passenger restrictions violation
License Stage	
What is the minimum age for full license privileges and lifting of restrictions?	16 years, 9 months

Laws Targeting Alcohol Suppliers

Furnishing Alcohol to Minors	
Is furnishing of alcoholic beverages to minors prohibited?	Yes
Are there exceptions based on family relationships?	
• Is furnishing allowed if the parent or guardian supplies the alcohol?	Yes, in specified locations
• Is furnishing allowed if the spouse supplies the alcohol?	No
Is there an exception based on location?	Yes, in any private residence if parent/guardian supplies alcohol
Affirmative Defense for Sellers and Licensees	
Does law require seller/licensee to be exonerated of furnishing to a minor if the minor has not been charged?	No

Compliance Check Protocols	
Does the state have a written protocol for when an underage decoy is used in compliance checks?	Yes
What is the minimum age a decoy may be to participate in a compliance check?	18
What is the maximum age a decoy may be to participate in a compliance check?	20
Are there appearance requirements for the decoy?	Yes, dressed in a manner consistent with age. No sunglasses or baseball caps.

	Male: No facial hair. Female: Little or no makeup.
Does decoy carry ID during compliance check?	Prohibited
May decoy verbally exaggerate his or her actual age?	Prohibited
Is decoy training mandated, recommended, prohibited, or not specified?	Not specified

Penalty Guidelines for Sales to Minors	
Are there written guidelines for penalties that are imposed on retailers for furnishing to a minor?	Yes
What is the time period for defining second, third and subsequent offenses?	Not specified
What is the penalty for the first offense?	16 year-old: \$1,500 fine and/or 14-day suspension 17- year-old: \$1,200 fine and/or 7-day suspension 18-year-old: \$750 fine 19-year-old: \$600 fine 20-year-old: \$450 fine
What is the penalty for the second offense?	Not specified
What is the penalty for the third offense?	Not specified
What is the penalty for the fourth offense?	Not specified

Responsible Beverage Service (RBS)–Voluntary	
Is there a state law pertaining to Beverage Service Training?	Yes–Voluntary
If training is mandatory, who must participate?	N/A
If training is voluntary, which of the following incentives are offered?	
• Defense in dram shop liability lawsuits	Yes
• Discounts in dram shop liability insurance, license fees, or other	No
• Mitigation of fines or other administrative penalties for sales to minors or intoxicated persons	No
• Protection against license revocation for sales to minors or sales to intoxicated persons	No
Does the RBS law apply to on-premises establishments (such as bars and restaurants) or off-premises establishments (such as liquor stores)?	Not specified
Does the RBS law apply to new or existing licensees?	Not specified

Minimum Ages for Sellers of Alcohol – Off-Premises (i.e., Liquor Stores)	
What is the minimum age requirement for off-premises retail establishments?	
Beer	17
Wine	17
Spirits	17
Does a manager or supervisor have to be present?	Yes

Minimum Age for Alcohol Servers and Bartenders – On-Premises (i.e., Restaurants and Bars)	
What is the minimum age requirement for servers in on-premises establishments?	
Beer	17
Wine	17
Spirits	17
What is the minimum age requirement for bartenders in on-premises establishments?	
Beer	17
Wine	17
Spirits	17
Does a manager or supervisor have to be present?	Yes

Distance Limitations Applied to New Alcohol Outlets Near Universities, Colleges, and Primary and Secondary Schools	
Colleges and Universities	
Is there a distance requirement for off-premises outlets (i.e., liquor stores)?	No
Is there a distance requirement for on-premises outlets (i.e., restaurants and bars)?	No
To which alcohol products does requirement apply?	N/A
Primary and Secondary Schools	
Is there a distance requirement for off-premises outlets (i.e., liquor stores)?	No
Is there a distance requirement for on-premises outlets (i.e., restaurants and bars)?	Yes, within 300 feet
To which alcohol products does requirement apply?	Beer, Wine, Spirits
Notes: Exception is downtown location.	

Dram Shop Liability	
Does a statute create dram shop liability?	Yes
Does the statute limit damages that may be recovered?	Yes (\$350,000 limit for all claims per occurrence. Medical care and treatment costs excluded from limit.)
Does the statute limit who may be sued?	No
Does the statute limit elements or standards of proof?	No
Does common law dram shop liability exist?	No
Notes: Me. Rev. Stat. Ann. tit. 28-A, § 2515 includes a responsible beverage service defense.	

Social Host Liability	
Does a statute create social host liability?	Yes
Does the statute limit damages that may be recovered?	Yes (\$350,000 limit for all claims per occurrence. Medical care and treatment costs excluded from limit.)

Does the statute limit who may be sued?	No
Does the statute limit elements or standards of proof?	No
Does common law social host liability exist?	No

Prohibitions Against Hosting Underage Drinking Parties	
Does a statute prohibit hosting underage drinking parties?	Yes
Is the statute specific to underage parties, or a general prohibition against permitting underage drinking on the property?	General
What action by underage guest triggers a violation?	Possession/Consumption
Property type covered by the law?	Residential/Outdoor/Other
What level of knowledge by the host is required?	Knowledge: Host must have actual knowledge of party
Does host's preventive action protect him/her from being held liable?	No
Are there any exceptions for underage guests?	Yes –Family members

Retailer Interstate Shipments of Alcohol	
Are out-of-state retailers prohibited from sending interstate shipments to in-state consumers?	
Beer	Prohibited
Wine	Prohibited
Spirits	Prohibited

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

Keg Registration	
How is a keg defined (in gallons)?	Equal to or more than 5.00
Prohibitions	
Is it illegal to possess an unregistered or unlabeled keg and if so, what is the penalty?	Yes (Maximum fine/jail, \$500)

Is it illegal to destroy the label on a keg, and if so, what is the penalty?	Yes (Maximum fine/jail, \$1,000/6 months)
What purchaser information is collected?	
Must the retailer collect the name and address?	Yes
Must the retailer collect the ID number, name and address on license or other government information?	No
Must the retailer collect the address at which keg will be consumed?	No
Must warning information be given to purchaser?	Yes, passive (requires no action by purchaser)
Is a deposit required?	No
Does law cover disposable kegs?	No

Home Delivery	
Is home delivery of alcohol permitted?	
Beer	No law
Wine	No law
Spirits	No law

High-Proof Grain Alcohol Beverages	
Are there restrictions on the sale of high-proof grain alcohol beverages?	No. However, 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)?	N/A
Are there exceptions to restrictions?	N/A

Laws Affecting Alcohol Pricing

Alcohol Taxes	
Beer	
Control system for beer?	No
Specific excise tax per gallon for 5% alcohol beer	\$0.35
Ad valorem excise tax (for on-premises sales) on total receipts for 5% alcohol beer	
Wholesale tax rate (if applicable)	N/A
Retail tax rate (if applicable)	8.00%
If retail tax rate applies, is there an exemption from general sales tax?	Yes
• General sales tax rate	5.50%
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	2.50%
Ad valorem excise tax (for off-premises sales) on total receipts for 5% alcohol beer	
Wholesale tax rate (if applicable)	N/A
Retail tax rate (if applicable)	N/A
If retail tax rate applies, is there an exemption from general sales tax?	No

• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Additional taxes for 3.2 – 6% alcohol beer if applicable	
Wine	
Control system for wine?	Yes
Specific excise tax per gallon for 12% alcohol wine	N/A
Ad valorem excise tax (for on-premises sales) on total receipts for 12% alcohol wine	
Wholesale tax rate (if applicable)	N/A
Retail tax rate (if applicable)	N/A
If retail tax rate applies, is there an exemption from general sales tax?	N/A
• General sales tax rate	N/A
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	N/A
Ad valorem excise tax (for off-premises sales) on total receipts for 12% alcohol wine	
Wholesale tax rate (if applicable)	N/A
Retail tax rate (if applicable)	N/A
If retail tax rate applies, is there an exemption from general sales tax?	N/A
• General sales tax rate	N/A
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	N/A
Additional taxes for 6 – 14% alcohol wine if applicable	
Spirits	
Control system for spirits?	Yes
Specific excise tax per gallon for 40% alcohol spirits	N/A
Ad valorem excise tax (for on-premises sales) on total receipts for 40% alcohol spirits	
Wholesale tax rate (if applicable)	N/A
Retail tax rate (if applicable)	N/A
If retail tax rate applies, is there an exemption from general sales tax?	N/A
• General sales tax rate	N/A
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	N/A
Ad valorem excise tax (for off-premises sales) on total receipts for 40% alcohol spirits	
Wholesale tax rate (if applicable)	N/A
Retail tax rate (if applicable)	N/A
If retail tax rate applies, is there an exemption from general sales tax?	N/A
• General sales tax rate	N/A
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	N/A
Additional taxes for 15 – 50% alcohol spirits if applicable	

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

Wholesaler Pricing Restrictions	
Beer	
Are volume discounts to retailers allowed?	Banned
Must wholesalers establish a minimum markup or maximum discount for each product sold to retailers?	No law
Must wholesalers publicly post and hold (i.e., not reduce) prices for a set period of time?	Post and Hold (30 days)
Is wholesaler permitted to extend credit to retailer and if so, what is the maximum time period?	No
Wine	
Are volume discounts to retailers allowed?	N/A
Must wholesalers establish a minimum markup or maximum discount for each product sold to retailers?	N/A
Must wholesalers publicly post and hold (i.e., not reduce) prices for a set period of time?	N/A
Is wholesaler permitted to extend credit to retailer and if so, what is the maximum time period?	N/A
Spirits	
Are volume discounts to retailers allowed?	N/A
Must wholesalers establish a minimum markup or maximum discount for each product sold to retailers?	N/A
Must wholesalers publicly post and hold (i.e., not reduce) prices for a set period of time?	N/A
Is wholesaler permitted to extend credit to retailer and if so, what is the maximum time period?	N/A

Maine State Survey Responses

State Agency Information

Agency with primary responsibility for enforcing underage drinking laws:

Maine Department of Public Safety, Maine Department of Administrative and Financial Services, Bureau of Alcoholic Beverages and Lottery Operations (BABLO)

Enforcement Strategies

State law enforcement agencies use:

Cops in Shops	No
Shoulder Tap Operations	No
Party Patrol Operations or Programs	No
Underage Alcohol-Related Fatality Investigations	Yes

Local law enforcement agencies use:

Cops in Shops	No
Shoulder Tap Operations	Yes
Party Patrol Operations or Programs	Yes
Underage Alcohol-Related Fatality Investigations	Yes

State has a program to investigate and enforce direct sales/shipment laws

Yes

Primary state agency responsible for enforcing laws addressing direct sales/shipments of alcohol to minors

BABLO conducts investigations on detection of abnormalities under Direct Shipper law, though not as pertains to interstate illegal retail sales

Such laws are also enforced by local law enforcement agencies

No

Enforcement Statistics

State collects data on the number of minors found in possession

Yes

Number of minors found in possession¹ by state law enforcement agencies

121

Number pertains to the 12 months ending

12/31/2018

Data include arrests/citations issued by local law enforcement agencies

Yes

State conducts underage compliance checks/decoy operations² to determine whether alcohol retailers are complying with laws prohibiting sales to minors

Yes

Data are collected on these activities

Yes

Number of retail licensees in state³

1,338

Number of licensees checked for compliance by state agencies

1,541

(including random checks)

Number of licensees that failed state compliance checks

325

Numbers pertain to the 12 months ending

12/31/2018

Compliance checks/decoy operations conducted at on-sale, off-sale, or both retail establishments

Both on- and off-sale establishments

*State conducts **random** underage compliance checks/decoy operations*

Yes

Number of licensees subject to **random** state compliance checks/decoy operations

1,541

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

325

Local agencies conduct underage compliance checks/decoy operations to determine whether alcohol retailers are complying with laws prohibiting sales to minors

Yes

Data are collected on these activities

Yes

Number of licensees checked for compliance by local agencies

1,965

Number of licensees that failed local compliance checks

159

Numbers pertain to the 12 months ending

12/31/2018

Sanctions	
<i>State collects data on fines imposed on retail establishments that furnish to minors</i>	Yes
Number of fines imposed by the state ⁴	115
Total amount in fines across all licensees	\$84,435
Smallest fine imposed	\$315
Largest fine imposed	\$925
Numbers pertain to the 12 months ending	12/31/2018
<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 ⁵	0
Total days of suspensions across all licensees	Not applicable
Shortest period of suspension imposed (in days)	Not applicable
Longest period of suspension imposed (in days)	Not applicable
Numbers pertain to the 12 months ending	12/31/2018
<i>State collects data on license revocations imposed on retail establishments specifically for furnishing to minors</i>	Yes
Number of license revocations imposed ⁶	0
Numbers pertain to the 12 months ending	12/31/2018

Additional Clarification

The Maine Enforcing Underage Drinking Laws program (EUDL) is overseen by the Maine Department of Health and Human Services (DHHS). The EUDL program in Maine seeks to increase the perception among youth that police will catch them if they illegally use and/or possess alcohol and, as a result, decrease underage access to alcohol. One of the ways in which DHHS tries to achieve the goals of the EUDL program is by focusing on recruiting law enforcement agencies to implement approved EUDL strategies and to take action through their officers.

The EUDL program collects data on the number of licensees checked for compliance and the number of licensees that failed local compliance checks; however, local community partners are not consistently tracking the number of licensees that failed local compliance checks. Local community partners account for only 47 of the licensees checked for compliance.

¹ Or having consumed or purchased per state statutes.

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

³ Excluding special licenses such as temporary, seasonal, and common carrier licenses.

⁴ Does not include fines imposed by local agencies.

⁵ Does not include suspensions imposed by local agencies.

⁶ Does not include revocations imposed by local agencies.

Underage Drinking Prevention Programs Operated or Funded by the State

Maine Prevention Services

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	No
URL for evaluation report:	Not applicable
URL for more program information:	No data

Program Description: Maine DHHS, through various grants such as the Federal Block Grant and Partnerships for Success, provides funding to the University of New England, Maine Prevention Services. Maine Prevention Services contracts with 21 subrecipients throughout the state who engage in substance use prevention. Through these services, the following Substance Abuse and Mental Health Services Administration (SAMHSA) Center for Substance Abuse Prevention (CSAP) interventions aimed at underage drinking prevention were implemented:

1. Information Dissemination—material and message dissemination around underage drinking prevention information (increasing awareness of risks and harms, tips for talking with young people about alcohol, limiting access to alcohol, parental monitoring tips)
2. Education—substance abuse/misuse education sessions for groups on a variety of issues (a Teen Center Group and a Move More Kids Day)
3. Environmental—training for people selling/serving alcohol; social hosting; establishing/reviewing/changing policies; prevention and underage drinking enforcement patrols; Parents Who Host, Lose the Most; underage drinking tip solicitation initiatives
4. Community-Based Processes—multijurisdictional/multi-organizational coordination and planning of underage drinking prevention and enforcement efforts
5. Problem Identification and Referral—promotion of alcoholscreening.org tool. The program and strategies serve a variety of individuals, including youth, parents, caregivers, retailers, law enforcement, and the general population.

Additional Underage Drinking Prevention Programs Operated or Funded by the State

Program description: Maine DHHS, CDC, Tobacco and Substance Use Prevention and Control, manages the Prevention for ME site (<https://preventionforme.org/>), which includes youth- and alcohol-specific information, an internal policy-building tool for liquor licensees, and more. The site also contains the Maine Prevention Store and catalogs available alcohol resources. The Tobacco and Substance Use Prevention and Control Program supports the implementation of Prime For Life® through its various sources of funding. Prime For Life® is an evidence-based motivational prevention, intervention, and pretreatment program designed by the Prevention Research Institute (PRI). Prime For Life® is implemented as an educational tool and strategic approach to preventing high-risk substance use choices by youth, young adults, and adults. The Tobacco and Substance Use Prevention Program also created and facilitates a monthly Alcohol Stakeholder Prevention Work Group made up of partners from various sectors across the state that have a vested interest in alcohol use prevention (partners listed in “State Interagency Collaboration” section).

Additional Clarification

Community Prevention programs aimed at underage drinking prevention are funded through a variety of federal grant opportunities—not through state funding.

Additional Information Related to Underage Drinking Prevention Programs

<i>State collaborates with federally recognized tribal governments in the prevention of underage drinking</i>	Yes
Description of collaboration: Maine's Substance Use Prevention Program works with the state's Tribal Public Health District—Wabanaki Public Health—to implement underage drinking and alcohol use prevention strategies in the communities it serves. Wabanaki Public Health serves four tribes located in five communities: the Houlton Band of Maliseet Indians; The Aroostook Band of Micmac Indians; the Passamaquoddy at Indian Township and Pleasant Point; and the Penobscot Nation members, on- and off-reservation.	
<i>State has programs to measure and/or reduce youth exposure to alcohol advertising and marketing</i>	Yes
Description of program: Maine has implemented the CardME program to restrict youth access to alcohol at the point of sale. It includes guidelines for the pricing and promotion of alcohol. CardME can be found at http://www.maine.gov/dhhs/mecdc/population-health/prevention/community/licensee/cardme/index.htm Maine also uses its pricing and promotion program to limit the number of alcohol advertisements that target youth. More information can be found here: http://www.maine.gov/dhhs/mecdc/population-health/prevention/community/licensee/pricepromo.htm	
<i>State collaborates with/participates in media campaigns to prevent underage drinking</i>	Don't know/No answer
Federal campaigns:	Not applicable

Regional and local media campaigns:	Not applicable
Local school district efforts:	Not applicable
Other:	Not applicable
<i>State collaborates with/participates in SAMHSA’s national media campaign, “Talk. They Hear You.”</i>	Not applicable
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
<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
<i>State has adopted or developed best practice standards for underage drinking prevention programs</i>	Yes
Agencies/organizations that established best practices standards:	
Federal agency(ies): Office of Juvenile Justice and Delinquency Prevention (OJJDP)	Yes
Agency(ies) within your state: Maine DHHS; BABLO; Maine Department of Public Safety	Yes
Nongovernmental agency(ies):	No
Other:	No
Best practice standards description: Maine developed a list of approved strategies that may be utilized by the EUDL programs it funds. This was developed through federal grants from the OJJDP and state-level task forces involving state and local law enforcement and prevention professionals. The Maine Department of Public Safety has a model underage drinking policy for law enforcement agencies through the Maine Chiefs of Police. BABLO maintains policies and agreements for the best practices and protocol of compliance checks. All funding provided by Maine DHHS for underage drinking and alcohol use prevention must adhere to the standards developed through the process described above.	

Additional Clarification

No data

State Interagency Collaboration

A state-level interagency governmental body/committee exists to coordinate or address underage drinking prevention activities Yes

Committee contact information:

Name: Katie MacDonald
 Email: kathryn.macdonald@maine.gov
 Address: 286 Water Street, 4th Floor, Augusta, Maine 04330
 Phone: 207-287-5762

Agencies/organizations represented on the committee:

- Maine Centers for Disease Control and Prevention
- University of New England
- BABLO
- Dirigo Safety, LLC
- Adcare Educational Institute of Maine
- Maine Bureau of Highway Safety
- Maine Department of Education
- Maine Youth Action Network
- Maine Department of Public Safety
- Maine Department of Corrections
- Maine Sheriffs Association
- Maine Criminal Justice Academy

Public Consulting Group, Inc.
 Maine Alliance for Addiction and Mental Health Services
 AAA Northern New England
 American Liver Foundation
 Maine Department of Transportation
 Rinck Advertising

<i>A website or other public source exists to describe committee activities</i>	No
URL or other means of access: Not applicable	

Underage Drinking Reports

<i>State has prepared a plan for preventing underage drinking in the last 3 years</i>	Yes
Prepared by: Hornby Zellar Associates, Maine CDC, and the Maine State Epidemiology Outcomes Workgroup (SEOW) prepared Maine's Substance Use Prevention Strategic Plan. Plan can be accessed via: http://www.maine.gov/dhhs/samhs/osa/pubs/prev/2012/StrategicPrevPlan.pdf	

<i>State has prepared a report on preventing underage drinking in the last 3 years</i>	Yes
Prepared by: The Maine State Epidemiology Outcomes Workgroup (SEOW) Report can be accessed via: https://www.maineoseow.com/Documents/2018/SEOW%20EpiProfile%202018%20with%20sub%20state%20data%2011302018.pdf	

Additional Clarification

No data

State Expenditures for the Prevention of Underage Drinking

<i>Compliance checks in retail outlets:</i>	
Estimate of state funds expended	\$273,505
Estimate based on the 12 months ending	12/31/2018
<i>Checkpoints and saturation patrols:</i>	
Estimate of state funds expended	Data not available
Estimate based on the 12 months ending	Data not available
<i>Community-based programs to prevent underage drinking:</i>	
Estimate of state funds expended	Data not available
Estimate based on the 12 months ending	12/31/2018
<i>K–12 school-based programs to prevent underage drinking:</i>	
Estimate of state funds expended	Data not available
Estimate based on the 12 months ending	Data not available
<i>Programs targeted to institutes of higher learning:</i>	
Estimate of state funds expended	Data not available
Estimate based on the 12 months ending	Data not available
<i>Programs that target youth in the juvenile justice system:</i>	
Estimate of state funds expended	Data not available
Estimate based on the 12 months ending	Data not available
<i>Programs that target youth in the child welfare system:</i>	
Estimate of state funds expended	Data not available
Estimate based on the 12 months ending	Data not available
<i>Other programs:</i>	
Programs or strategies included:	Data not available
Estimate of state funds expended:	Data not available
Estimate based on the 12 months ending:	Data not available

Funds Dedicated to Underage Drinking

<i>State derives funds dedicated to underage drinking from the following revenue streams:</i>	
Taxes	No

Fines	No
Fees	No
Other: Premiums	Yes

Description of funding streams and how they are used:

Per Maine statute, premiums are applied to certain liquor products sold within the state. These premiums are collected by BABLO and appropriated from the state general fund to Maine DHHS (MRSA, Title 28-A, section 1703; <http://legislature.maine.gov/legis/statutes/28-A/title28-Asec1703.html>): "The amount of funds appropriated from the General Fund to the Department of Health and Human Services for substance abuse prevention and treatment may not be less than the dollar amount collected or received by the bureau under this section."

Additional Clarification

Starting July 1, 2017, a contracted vendor has been administering the EUDL program in partnership with law enforcement agencies throughout the state. Allowable use of funds has and continues to include compliance inspections, party patrols, underage drinking details, cops in shops, shoulder tap operations, and surveillance. The total amount of state dollars administered through EUDL for these combined efforts in 2018 was \$273,505. Several community organizations complement the work of the EUDL program and the enforcement activities of BABLO by providing funds to their local departments to execute approved EUDL strategies.

The estimation of community-based funding for underage drinking prevention includes federal grant funds disbursed from Maine DHHS through the University of New England, Maine Prevention Services, to community coalitions supporting underage drinking prevention activities, such as community education, information dissemination, and environmental strategies. The amount estimated to be spent on underage drinking prevention initiatives by community prevention providers between January 1, 2018, and December 31, 2018, is \$421,553.90.

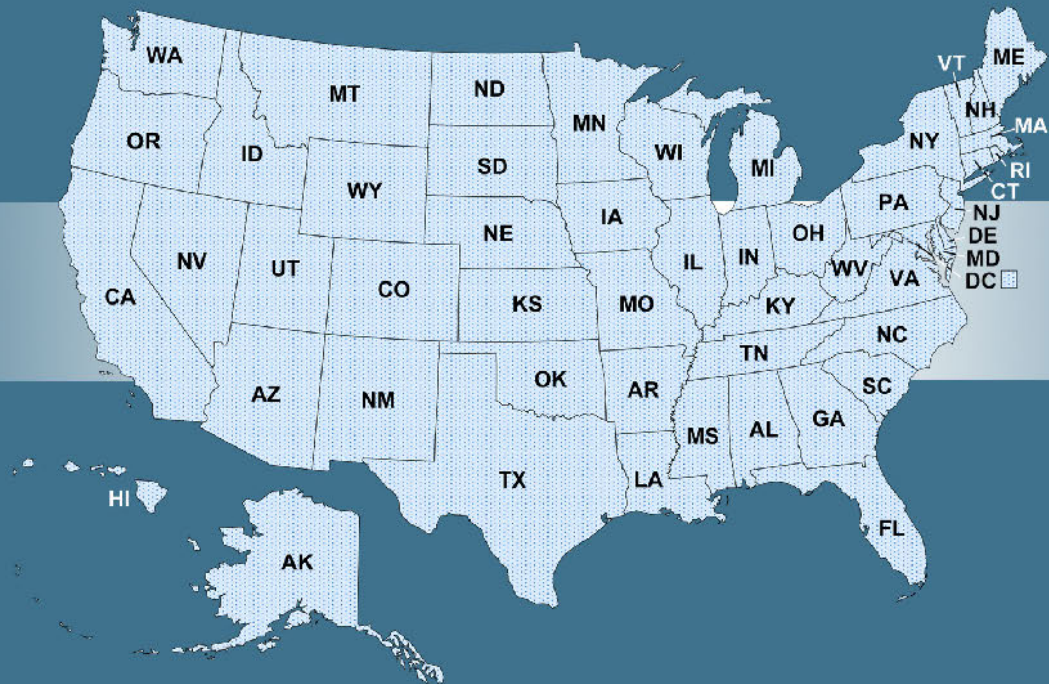


SAMHSA
Substance Abuse and Mental Health
Services Administration

MASSACHUSETTS STATE REPORT

Underage Drinking Prevention and Enforcement

2020



SAMHSA
Substance Abuse and Mental Health
Services Administration

This *State Report* is required by the Sober Truth on Preventing (STOP) Underage Drinking Act (Pub. L. 109-422), which was enacted by Congress in 2006 and reauthorized in December 2016 as part of the 21st Century Cures Act (Pub. L. 114-255). The STOP Act requires an annual report “on each State’s performance in enacting, enforcing, and creating laws, regulations, and programs to prevent or reduce underage drinking.” As directed by the STOP Act, the *State Reports* were prepared by the Interagency Coordinating Committee on the Prevention of Underage Drinking (ICCPUD), which is chaired by 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 2019. Regional and state profile data were drawn from the most recently available federal survey data as of 2018. State legal data reflect the status of the law as of January 1, 2019. State survey data, collected in 2019, 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 2015 through 2018 National Surveys on Drug Use and Health (NSDUH), SAMHSA’s Center for Behavioral Health Statistics and Quality (CBHSQ), and the NSDUH special data analysis (2018). 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 served as the resource for data about alcohol-attributable deaths from 2006–10 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 2018 data used to present statistics about fatalities among 15-to 20-year-old drivers.

Recommended Citation: U.S. Department of Health and Human Services (HHS), Substance Abuse and Mental Health Services Administration (SAMHSA; 2020). 2020 *Massachusetts State Report – Underage Drinking Prevention and Enforcement*. Rockville, MD: SAMHSA.

Staff Chair and Point of Contact, ICCPUD:

Robert M. Vincent, MS.Ed

Public Health Analyst

SAMHSA’s Center for Substance Abuse Prevention (CSAP)

Division of Systems Development

Phone: (240) 276-1582

Email: Robert.Vincent@samhsa.hhs.gov

Massachusetts Governor’s Designated Contact for STOP Act State Survey:

José Morales

Director of Prevention Services

Massachusetts Department of Public Health

Phone: (617) 624-5141

Email: jose.morales@state.ma.us



Massachusetts

State Population: 6,902,149

Population Ages 12–20: 834,700

Past-Month Alcohol Use Among 12- to 20-Year-Olds	
Ages 12–20	
Past-Month Alcohol Use – Number (Percentage)	262,300 (31.4%)
Past-Month Binge Alcohol Use – Number (Percentage)	167,700 (20.1%)
Ages 12–14	
Past-Month Alcohol Use – Number (Percentage)	5,800 (2.6%)
Past-Month Binge Alcohol Use – Number (Percentage)	2,800 (1.3%)
Ages 15–17	
Past-Month Alcohol Use – Number (Percentage)	58,000 (22.2%)
Past-Month Binge Alcohol Use – Number (Percentage)	32,800 (12.5%)
Ages 18–20	
Past-Month Alcohol Use – Number (Percentage)	198,500 (56.7%)
Past-Month Binge Alcohol Use – Number (Percentage)	132,200 (37.7%)
Alcohol-Attributable Deaths and Years of Potential Life Lost Under the Age of 21	
Alcohol-Attributable Deaths (under 21)	54
Years of Potential Life Lost (under 21)	3,244
Fatal Crashes Involving a 15- to 20-Year-Old Driver With Blood Alcohol Concentration (BAC) > 0.01% ¹	
Number of Fatalities Involving 15- to 20-Year-Old Driver With BAC > 0.01%	11
Percentage of All Fatal Crashes Involving a 15- to 20-Year-Old Driver	40%

¹ 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 System Overview²

The behavioral health system in Massachusetts is overseen and managed by the Department of Public Health (DPH), the Department of Mental Health (DMH), and MassHealth. There is collaboration between these departments to ensure coordinated and comprehensive service delivery is achieved.

The DPH, Bureau of Substance Addiction Services (BSAS, formerly known as the Bureau of Substance Abuse Services), is the Single State Authority (SSA) responsible for the licensing of programs and addiction counselors as well as the purchase and oversight of drug and alcohol prevention, intervention, treatment, and recovery support services in Massachusetts. The role of the SSA is to ensure that services are viewed through the lens of substance use disorder prevention, intervention, treatment, and recovery, and that the delivery of those services is appropriate based on the individual's level of care needs. To achieve this goal, BSAS funds and monitors a comprehensive continuum of prevention, intervention, treatment, and recovery support services for alcohol and other drugs in addition to filling other critical functions such as provider training and technical assistance (TA), and data analytics. Public awareness, counselor education, and treatment of problem gambling are also funded through a legislative appropriation from the Massachusetts State Lottery and by the Massachusetts Gaming Commission.

In Massachusetts, the full continuum of care includes prevention; outreach and engagement; acute treatment; stabilization; long-term residential, outpatient, and medication-assisted treatment (methadone and office-based addiction treatment [OBAT]); and recovery support services. These services are provided by community-based behavioral health providers contracted directly by DPH/BSAS, DMH, and/or MassHealth. In Massachusetts, behavioral health services are not managed at the county level or by an intermediary. In addition to the continuum of care, BSAS funds case management services for homeless individuals with co-occurring substance use and mental health disorders in federally funded housing and urban development programs. These levels of care are available in gender-specific and age-appropriate modalities for adults, adolescents and young adults, and families.

Prevention

The state has a TA contract with the Educational Development Center (EDC), which hosts Massachusetts Technical Assistance Partnership for Prevention (MassTAPP) to support the planning, implementation, and evaluation of evidence-based substance use prevention programs across the state. MassTAPP—through the use of in-person, group, and distance learning—provides specific assistance and support to programs in the understanding and implementation of all five steps of the Strategic Prevention Framework (SPF) and environmental substance use prevention strategies.

MassTAPP staff also provides consultation and training to municipalities, community-based groups, coalitions, and organizations. These efforts focus on how to maximize the effectiveness

² Extracted from fiscal year (FY) 2018/2019 – (Massachusetts) State Behavioral Health Assessment and Plan, Substance Abuse Prevention and Treatment Block Grant (SABG), Center for Substance Abuse Prevention (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.

of evidence-based substance use environmental prevention strategies to influence systemic changes related to alcohol, tobacco, and other drugs (ATOD) policies, rules/regulations, and community norms at local, regional, and state levels as funds allow.

BSAS currently funds 29 cities and towns to follow a data-informed process focusing primarily on evidence-based environmental strategies that can be sustained through local policy, practice, and system changes to prevent and reduce underage drinking and other drug use in Massachusetts communities.

BSAS also conducts media and social media initiatives directed at youth, seniors, health care providers, parents and other caretakers, and teachers and school staff. Printed documents, advertising on public transportation systems, use of the Mass.gov website, blogs, and YouTube videos are some of the other vehicles used to convey the bureau's prevention message.

Youth Services

The BSAS Office of Youth and Young Adult Services (OYYAS) oversees the substance use services continuum of care for adolescents and young adults in the state. Adolescent services include youth intervention, youth-specific outpatient treatment, youth and young adult acute stabilization, youth residential programs, residential programs for transitional age youth and young adults, and recovery high schools.

MassSTART is a school-centered intervention program, which has proven positive outcomes for youth, their families, and the community. MassSTART serves youth 8 to 13 years old at high risk for or experiencing criminal justice involvement, substance use, family violence and school, social, and/or behavioral problems. Caseworkers use a positive youth development framework to coordinate and provide support and services at school and in the home. BSAS funds and supports the MassSTART intervention model with programs currently running in three sites.

Expenditures for Substance Abuse Prevention and Treatment

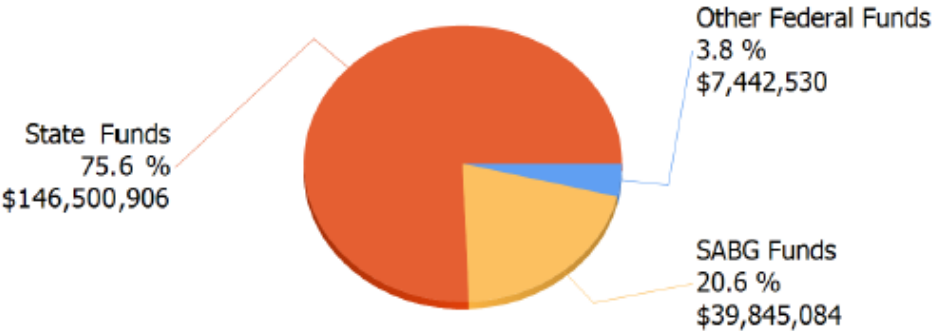
All states receive federal funds for substance abuse prevention through the Substance Abuse Prevention and Treatment Block Grant (SABG) administered by the Substance Abuse and Mental Health Services Administration (SAMHSA). Exhibit 1 shows the sources that Massachusetts used for expenditures on substance abuse prevention and treatment in 2019. As indicated, state funds and SABG funds account for the largest sources (75.6 percent and 20.6 percent, respectively).³

States submit Behavioral Assessment and Plan reports that include their priorities for use of SABG funds, as well as planned expenditures. For FY 2018–2019, Massachusetts designated improving prevention to decrease substance use among young people as part of priority number three for use of SABG funds.⁴

³ WebBGAS State Profile, 2019 SABG and Community Mental Health Block Grant (MHBG) Reports – Massachusetts 2019.

⁴ FY 2018/2019 – (Massachusetts) 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.

Exhibit 1: Sources of Massachusetts’s 2019 Expenditures for Substance Abuse Prevention and Treatment



State Performance: Laws, Enforcement, and Programs

As mandated by the STOP Act, this report details Massachusetts'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 26 underage drinking prevention policies have been identified as best practices (or as promising practices suitable for ongoing evaluation) and fall into four categories:

1. Laws addressing minors in possession of alcohol;
2. Laws targeting underage drinking and driving;
3. Laws targeting alcohol suppliers; and
4. Laws affecting alcohol pricing.

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:

1. Enforcement programs to promote compliance with underage drinking laws and regulations.
2. Programs targeted to youth, parents, and caregivers to deter underage drinking.
3. State interagency collaborations to implement prevention programs, best-practice standards, collaborations with tribal governments, and participation in underage drinking media campaigns.
4. State expenditures on the prevention of underage drinking.

Laws Addressing Minors in Possession of Alcohol

Underage-Possession	
Is underage possession of alcoholic beverages prohibited?	Yes
Are there exceptions based on family relationships?	
• Is possession allowed if parent or guardian is present or consents?	Yes
• Is possession allowed if spouse is present or consents?	No
Is there an exception based on location?	No

Underage-Consumption	
Is underage consumption of alcoholic beverages prohibited?	No law
Are there exceptions based on family relationships?	
• Is consumption allowed if the parent or guardian is present or consents?	N/A
• Is consumption allowed if the spouse is present or consents?	N/A
Is there an exception based on location?	N/A

Underage-Internal Possession	
Is underage internal possession of alcoholic beverages prohibited?	No law
Are there exceptions based on family relationships?	
• Is internal possession allowed if the parent or guardian is present or consents?	N/A
• Is internal possession allowed if the spouse is present or consents?	N/A
Is there an exception based on location?	N/A

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

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?	Yes
Retailer Support Provisions	
Is there an incentive for the retailer to use electronic scanners for information digitally encoded on valid IDs?	No
Are state driver's licenses for persons under 21 easily distinguishable from licenses for persons 21 and over?	Yes
May retailers seize apparently false IDs without fear of prosecution even if the ID is ultimately deemed valid?	No
Does an affirmative defense exist for the retailer?	Yes

• Is it a specific affirmative defense (retailer reasonably believed ID was valid after examining it)?	Yes
• Is it a general affirmative defense (retailer reasonably believed purchaser was over 21)?	No
Does the retailer have the right to sue the minor for use of a false ID?	No
May a retailer detain a minor who used a false ID?	No

Laws Targeting Underage Drinking and Driving

Youth Blood Alcohol Concentration Limits (Underage Operators of Noncommercial Motor Vehicles)	
What is the maximum blood alcohol concentration (BAC) limit for an underage driver of a motor vehicle?	0.02%
Does a BAC level in excess of limit automatically establish a violation (per se violation)?	Yes
What is the minimum age to which the limit applies?	Not specified
What is the maximum age to which the limit applies?	21

Loss of Driving Privileges for Alcohol Violations by Minors (“Use/Lose” Laws)—For Possession	
Is there a “use/lose” law that suspends or revokes a minor’s driving privileges for alcohol violations?	Yes
What types of violation lead to license suspension or revocation?	
• Purchase of alcohol	No
• Possession of alcohol	Yes
• Consumption of alcohol	No
The law applies to people under what age?	21
Is suspension or revocation mandatory or discretionary?	Mandatory
What is the length of suspension/revocation?	
Minimum number of days	90
Maximum number of days	90

Graduated Driver’s Licenses	
Learner Stage	
What is the minimum age for permit to drive with parents, guardians or other adults (other than instructors)?	16
What is the minimum number of months driver must hold learner permit before advancing to intermediate stage?	6
What is the minimum number of hours of driving with parents, guardians or adults before advancing to intermediate stage?	40 (or 30 hours of supervised driving if applicant completes driver skills program)
Intermediate Stage	
What is the minimum age for driving without adult supervision?	16 years, 6 months
For night driving, when does adult supervision requirement begin?	12:30 AM

Can law enforcement stop a driver for night driving violation as a primary offense?	Yes (exception: secondary enforcement between 12:30 AM and 1:00 AM and between 4:00 AM and 5:00 AM)
Are there restrictions on passengers?	Yes, no passengers under 18 who are not immediate family members, unless accompanied by licensed driver over 21
Can law enforcement stop driver for violation of passenger restrictions as a primary offense?	Yes, officer may stop driver for passenger restrictions violation
License Stage	
What is the minimum age for full license privileges and lifting of restrictions?	18 (Passenger restrictions expire 6 months after issuance of intermediate license; unsupervised night driving restrictions remain until full licensure is obtained)

Laws Targeting Alcohol Suppliers

Furnishing Alcohol to Minors	
Is furnishing of alcoholic beverages to minors prohibited?	Yes
Are there exceptions based on family relationships?	
• Is furnishing allowed if the parent or guardian supplies the alcohol?	Yes
• Is furnishing allowed if the spouse supplies the alcohol?	Yes
Is there an exception based on location?	No
Affirmative Defense for Sellers and Licensees	
Does law require seller/licensee to be exonerated of furnishing to a minor if the minor has not been charged?	No

Compliance Check Protocols	
Does the state have a written protocol for when an underage decoy is used in compliance checks?	Yes
What is the minimum age a decoy may be to participate in a compliance check?	Not specified
What is the maximum age a decoy may be to participate in a compliance check?	Not specified
Are there appearance requirements for the decoy?	Yes, age-appropriate appearance
Does decoy carry ID during compliance check?	Prohibited
May decoy verbally exaggerate his or her actual age?	Prohibited
Is decoy training mandated, recommended, prohibited, or not specified?	Not specified

Penalty Guidelines for Sales to Minors	
Are there written guidelines for penalties that are imposed on retailers for furnishing to a minor?	No
What is the time period for defining second, third and subsequent offenses?	N/A
What is the penalty for the first offense?	N/A

What is the penalty for the second offense?	N/A
What is the penalty for the third offense?	N/A
What is the penalty for the fourth offense?	N/A

Responsible Beverage Service (RBS)	
Is there a state law pertaining to Beverage Service Training?	No law
If training is mandatory, who must participate?	N/A
If training is voluntary, which of the following incentives are offered?	
• Defense in dram shop liability lawsuits	N/A
• Discounts in dram shop liability insurance, license fees, or other	N/A
• Mitigation of fines or other administrative penalties for sales to minors or intoxicated persons	N/A
• Protection against license revocation for sales to minors or sales to intoxicated persons	N/A
Does the RBS law apply to on-premises establishments (such as bars and restaurants) or off-premises establishments (such as liquor stores)?	N/A
Does the RBS law apply to new or existing licensees?	N/A

Minimum Ages for Sellers of Alcohol – Off-Premises (i.e., Liquor Stores)	
What is the minimum age requirement for off-premises retail establishments?	
Beer	18
Wine	18
Spirits	18
Does a manager or supervisor have to be present?	No

Minimum Age for Alcohol Servers and Bartenders – On-Premises (i.e., Restaurants and Bars)	
What is the minimum age requirement for servers in on-premises establishments?	
Beer	18
Wine	18
Spirits	18
What is the minimum age requirement for bartenders in on-premises establishments?	
Beer	18
Wine	18
Spirits	18
Does a manager or supervisor have to be present?	No

Distance Limitations Applied to New Alcohol Outlets Near Universities, Colleges, and Primary and Secondary Schools	
Colleges and Universities	
Is there a distance requirement for off-premises outlets (i.e., liquor stores)?	No

Is there a distance requirement for on-premises outlets (i.e., restaurants and bars)?	No
To which alcohol products does requirement apply?	N/A
Primary and Secondary Schools	
Is there a distance requirement for off-premises outlets (i.e., liquor stores)?	Yes, within 500 feet. Local government has authority to override state restrictions.
Is there a distance requirement for on-premises outlets (i.e., restaurants and bars)?	Yes, within 500 feet. Local government has authority to override state restrictions.
To which alcohol products does requirement apply?	Beer, Wine, Spirits
Notes: Exceptions are 1) inns and parts of buildings located ten or more floors above street level; 2) extension of licensed premises that do not exceed 50 feet.	
Dram Shop Liability	
Does a statute create dram shop liability?	No
Does the statute limit damages that may be recovered?	N/A
Does the statute limit who may be sued?	N/A
Does the statute limit elements or standards of proof?	N/A
Does common law dram shop liability exist?	Yes

Social Host Liability	
Does a statute create social host liability?	No
Does the statute limit damages that may be recovered?	N/A
Does the statute limit who may be sued?	N/A
Does the statute limit elements or standards of proof?	N/A
Does common law social host liability exist?	Yes

Prohibitions Against Hosting Underage Drinking Parties	
Does a statute prohibit hosting underage drinking parties?	Yes
Is the statute specific to underage parties, or a general prohibition against permitting underage drinking on the property?	General
What action by underage guest triggers a violation?	Possession
Property type covered by the law?	Residential/Outdoor/Other
What level of knowledge by the host is required?	Knowledge: Host must have actual knowledge of party
Does host’s preventive action protect him/her from being held liable?	No
Are there any exceptions for underage guests?	Yes—Family members

Retailer Interstate Shipments of Alcohol	
Are out-of-state retailers prohibited from sending interstate shipments to in-state consumers?	
Beer	Prohibited
Wine	Prohibited
Spirits	Prohibited

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

Keg Registration	
How is a keg defined (in gallons)?	More than 2.00
Prohibitions	
Is it illegal to possess an unregistered or unlabeled keg and if so, what is the penalty?	No
Is it illegal to destroy the label on a keg, and if so, what is the penalty?	No
What purchaser information is collected?	
Must the retailer collect the name and address?	Yes
Must the retailer collect the ID number, name and address on license or other government information?	No
Must the retailer collect the address at which keg will be consumed?	No
Must warning information be given to purchaser?	Yes, active (requires an action by purchaser)
Is a deposit required?	Yes, \$5.00
Does law cover disposable kegs?	No
Notes: The deposit provisions in Massachusetts require that a purchaser pay the following: (a) a container fee of not less than \$10.00 for each keg having a capacity of 6 or more gallons and of not less than \$1.00 for each container having a capacity of less than 6 gallons; and (b) a registration fee of \$10.00 for each keg having a capacity of 6 or more gallons and of \$4.00 for each keg having a capacity of less than 6 gallons. The comparison tables display the minimum required amount.	

Home Delivery	
Is home delivery of alcohol permitted?	
Beer	Yes (Each vehicle used for transportation and delivery must be covered by a permit issued by the commission.)
Wine	Yes (Each vehicle used for transportation and delivery must be covered by a permit issued by the commission.)
Spirits	Yes (Each vehicle used for transportation and delivery must be covered by a permit issued by the commission.)

High-Proof Grain Alcohol Beverages	
Are there restrictions on the sale of high-proof grain alcohol beverages?	No
Are restrictions based on Alcohol by Volume (ABV)?	N/A
Are there exceptions to restrictions?	N/A

Laws Affecting Alcohol Pricing

Alcohol Taxes	
Beer	
Control system for beer?	No
Specific excise tax per gallon for 5% alcohol beer	\$0.11
Ad valorem excise tax (for on-premises sales) on total receipts for 5% alcohol beer	
Wholesale tax rate (if applicable)	N/A
Retail tax rate (if applicable)	N/A
If retail tax rate applies, is there an exemption from general sales tax?	No
<ul style="list-style-type: none"> General sales tax rate 	Not relevant
<ul style="list-style-type: none"> 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)	N/A
Retail tax rate (if applicable)	N/A
If retail tax rate applies, is there an exemption from general sales tax?	No
<ul style="list-style-type: none"> General sales tax rate 	Not relevant
<ul style="list-style-type: none"> Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax) 	Not relevant
Additional taxes for 3.2 – 6% alcohol beer if applicable	
Wine	
Control system for wine?	No

Specific excise tax per gallon for 12% alcohol wine	\$0.55
Ad valorem excise tax (for on-premises sales) on total receipts for 12% alcohol wine	
Wholesale tax rate (if applicable)	N/A
Retail tax rate (if applicable)	N/A
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)	N/A
Retail tax rate (if applicable)	N/A
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Additional taxes for 6 – 14% alcohol wine if applicable	
Spirits	
Control system for spirits?	No
Specific excise tax per gallon for 40% alcohol spirits	\$4.05
Ad valorem excise tax (for on-premises sales) on total receipts for 40% alcohol spirits	
Wholesale tax rate (if applicable)	N/A
Retail tax rate (if applicable)	N/A
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Ad valorem excise tax (for off-premises sales) on total receipts for 40% alcohol spirits	
Wholesale tax rate (if applicable)	N/A
Retail tax rate (if applicable)	N/A
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Additional taxes for 15 – 50% alcohol spirits if applicable	

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

Wholesaler Pricing Restrictions	
Beer	
Are volume discounts to retailers allowed?	No law
Must wholesalers establish a minimum markup or maximum discount for each product sold to retailers?	No law
Must wholesalers publicly post and hold (i.e., not reduce) prices for a set period of time?	Post and Hold (30 days)
Is wholesaler permitted to extend credit to retailer and if so, what is the maximum time period?	Yes (60 days)
Wine	
Are volume discounts to retailers allowed?	No law
Must wholesalers establish a minimum markup or maximum discount for each product sold to retailers?	No law
Must wholesalers publicly post and hold (i.e., not reduce) prices for a set period of time?	Post and Hold (30 days)
Is wholesaler permitted to extend credit to retailer and if so, what is the maximum time period?	Yes (60 days)
Spirits	
Are volume discounts to retailers allowed?	No law
Must wholesalers establish a minimum markup or maximum discount for each product sold to retailers?	No law
Must wholesalers publicly post and hold (i.e., not reduce) prices for a set period of time?	Post and Hold (30 days)
Is wholesaler permitted to extend credit to retailer and if so, what is the maximum time period?	Yes (60 days)

Massachusetts State Survey Responses

State Agency Information

Agency with primary responsibility for enforcing underage drinking laws:

Massachusetts Alcoholic Beverages Control Commission (ABCC)

Enforcement Strategies

State law enforcement agencies use:

Cops in Shops	Yes
Shoulder Tap Operations	No
Party Patrol Operations or Programs	No
Underage Alcohol-Related Fatality Investigations	Yes

Local law enforcement agencies use:

Cops in Shops	No
Shoulder Tap Operations	Yes
Party Patrol Operations or Programs	Yes
Underage Alcohol-Related Fatality Investigations	No

State has a program to investigate and enforce direct sales/shipment laws Yes

Primary state agency responsible for enforcing laws addressing direct sales/shipments of alcohol to minors Massachusetts ABCC

Such laws are also enforced by local law enforcement agencies No

Enforcement Statistics

State collects data on the number of minors found in possession Yes

Number of minors found in possession¹ by state law enforcement agencies 1,268

Number pertains to the 12 months ending 12/31/2018

Data include arrests/citations issued by local law enforcement agencies No

State conducts underage compliance checks/decoy operations² to determine whether alcohol retailers are complying with laws prohibiting sales to minors Yes

Data are collected on these activities Yes

Number of retail licensees in state³ 12,000

Number of licensees checked for compliance by state agencies (including random checks) 1,699

Number of licensees that failed state compliance checks 45

Numbers pertain to the 12 months ending 12/31/2018

Compliance checks/decoy operations conducted at on-sale, off-sale, or both retail establishments Both on- and off-sale establishments

State conducts **random** underage compliance checks/decoy operations Yes

Number of licensees subject to **random** state compliance checks/decoy operations 1,699

Number of licensees that failed **random** state compliance checks 45

Local agencies conduct underage compliance checks/decoy operations to determine whether alcohol retailers are complying with laws prohibiting sales to minors Yes

Data are collected on these activities No

Number of licensees checked for compliance by local agencies Not applicable

Number of licensees that failed local compliance checks Not applicable

Numbers pertain to the 12 months ending Not applicable

Sanctions

State collects data on fines imposed on retail establishments that furnish to minors No

Number of fines imposed by the state⁴ Not applicable

Total amount in fines across all licensees Not applicable

Smallest fine imposed	Not applicable
Largest fine imposed	Not applicable
Numbers pertain to the 12 months ending	Not applicable
<i>State collects data on license suspensions imposed on retail establishments specifically for furnishing to minors</i>	No
Number of suspensions imposed by the state ⁵	Not applicable
Total days of suspensions across all licensees	Not applicable
Shortest period of suspension imposed (in days)	Not applicable
Longest period of suspension imposed (in days)	Not applicable
Numbers pertain to the 12 months ending	Not applicable
<i>State collects data on license revocations imposed on retail establishments specifically for furnishing to minors</i>	Yes
Number of license revocations imposed ⁶	0
Numbers pertain to the 12 months ending	12/31/2018

Additional Clarification

Special Investigators of the Investigation and Enforcement Division are appointed by the Commission pursuant to Massachusetts General Laws Chapter 10 §72. Accordingly, Investigators are authorized and directed, pursuant to Massachusetts General Laws Chapter 138 §56, to make all needful and appropriate investigations to enforce the Liquor Control Act.

Pursuant to this statutory mandate, the Enforcement Division objectives include the following:

1. To prevent the sale or delivery of alcoholic beverages to underage individuals;
2. To prevent the sale or delivery of alcoholic beverages to intoxicated individuals and potential impaired drivers;
3. To prevent the sale of alcoholic beverages that are illegally imported or purchased from an illegal source and to prevent the tampering or dilution of alcoholic beverages;
4. To prevent illegal gambling on licensed premises;
5. To prevent the sale, delivery, or use of illegal narcotics on licensed premises;
6. To prevent unlawful ownership of licensed establishments by individuals or criminal organizations;
7. To provide suppliers, wholesalers, and retailers of the alcoholic beverage industry with a fair and even playing field to conduct their licensed business;
8. To prevent unlawful interstate sale and transportation of alcoholic beverages;
9. To ensure the lawful sale and delivery of wine by Direct Wine Shippers pursuant to MGL Chapter 138 §19F; and
10. To prevent unlawful trade practices in the alcoholic beverage industry.

In 2018, there were 349 complaints filed with the Commission relative to, but not limited to, the sale of alcohol to underage or intoxicated individuals, illegal gambling activity, illegal alcoholic beverages, illegal narcotics activity, and unlawful ownership.

In 2018, the Enforcement Division conducted operations in approximately 200 municipalities throughout the Commonwealth, filing 164 reports detailing approximately 272 violations of the Liquor Control Act that included, but were not limited to, the sale of alcohol to underage or intoxicated individuals, illegal gambling, illegal alcoholic beverages, criminal ownership of licensed premises, and unlawful trade practices.

Minimum Purchase Age Compliance Checks

The objective of this program is to prevent the sale of alcoholic beverages to underage individuals by licensed establishments throughout the Commonwealth. The primary focus is to educate licensees and to increase their vigilance in the checking of identification. To achieve this objective, the Investigation and Enforcement Division conducts compliance check enforcement in cooperation with community groups and police departments.

In 2018, the Enforcement Division conducted compliance checks in 134 municipalities across the Commonwealth. There were 1699 licensed establishments checked, of which 45 failed (3%) the check. Of these licensees, there were 654 off-premise licensees checked of which 32 failed (5%) the check; 1045 on-premise licensees checked of which 13 failed (1%) the check. It should be noted that the coverage in 2018 was significantly less than in 2017 due to a reduction in federal funding for the program.

Massachusetts has the fifth lowest ratio of enforcement agents to licensees in the country. Accordingly, the Enforcement Division has developed Enhanced Liquor Enforcement Programs that are scheduled to address specific geographic and seasonal challenges relating to underage drinking and impaired driving, as well as alcohol-related community problems.

Operation Safe Campus is conducted at bars and liquor stores in college communities over a 6-week period at the beginning of each school year. Operation Safe Prom and Graduation is conducted at liquor stores throughout the Commonwealth over an 8-week period during May and June. Operation Safe Summer is conducted at bars and liquor stores in summer communities over a 6-week period during July and August. Lastly, Operation Safe Holidays is conducted at liquor stores throughout the Commonwealth from Thanksgiving through December 31st.

To encourage family involvement and intervention in addressing the problem of underage drinking, the Enforcement Division maintains a parent notification program to inform parents, at the time of the incident, of the situation in which their child is involved. Investigators have found this intervention to be very effective and well received by parents.

In 2018, these programs produced the following results: 998 minors in possession or transporting alcoholic beverages; 174 adults procuring alcohol for minors; 164 individuals in possession of false identification; 378 cases of beer and 508 bottles of alcohol confiscated by Investigators, preventing delivery to approximately 6592 underage individuals.

Cooperative Enforcement Operations with Municipal and State Law Enforcement

The Enforcement Division works in cooperation with municipal and state law enforcement agencies in order to obtain optimal enforcement coverage. Most often, these efforts are generated through requests for assistance from municipal police chiefs who have problematic licensees in their communities. Further, when a complaint is received at the ABCC, investigators reach out to police departments to conduct cooperative enforcement operations when feasible.

In 2018, the Enforcement Division conducted enforcement operations at concert and sports venues in cooperation with municipal, state, and county law enforcement agencies, as well as with the assistance of venue management. ABCC enforcement includes area liquor stores prior to the event, parking lot enforcement up until the beginning of the event, and enforcement within the licensed premises. The Enforcement Division conducted these operations at the Xfinity Center, Gillette Stadium, and Fenway Park, and the results of this enforcement operation included: 373 minors in possession of alcohol; 46 furnishing alcohol to minors; numerous medical, intoxicated or incapacitated assists; and the seizure of 271 bottles of alcohol and 122 cases of beer, preventing delivery to approximately 3198 underage individuals.

Data Driven Impaired Driving Prevention

Place of Last Drink (POLD) reports are filed with the Commission pursuant to Massachusetts General Laws Chapter 90 §24J, which requires that “In every case of a conviction of or a plea of guilty to a violation of operating a motor vehicle under the influence of intoxicating liquor, the court shall inquire of the defendant, before sentencing, regarding whether he was served alcohol prior to his violation of said section at an establishment licensed to serve alcohol on the premises and the name and location of said establishment. Any information so acquired by the court shall be transmitted to the alcohol beverage control commission.”

In 2018, the Enforcement Division, in coordination with National Highway Traffic Safety Administration (NHTSA) Impaired Driving Enforcement Crackdowns, conducted these enforcement and high-visibility operations to deter impaired driving throughout the Commonwealth. Of the approximately 1415 bars investigated, 13 charges and 151 warnings were issued pertaining to the sale of alcoholic beverages to an intoxicated person; 68 charges and 22 warnings were issued pertaining to associated issues such as sale to a minor, overcrowding, or open bar regulations.

Source Investigations

Source Investigations are conducted 1) to investigate alcohol-related motor vehicle accidents that result in death or serious bodily injury and alcohol-related incidents that involve persons under the legal age to possess or consume alcoholic beverages; and 2) to discover the source of the alcoholic beverages consumed by the individual(s) involved in the incident and investigate whether the source of the alcohol violated Massachusetts law.

¹ Or having consumed or purchased per state statutes.

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

³ Excluding special licenses such as temporary, seasonal, and common carrier licenses.

⁴ Does not include fines imposed by local agencies.

⁵ Does not include suspensions imposed by local agencies.

⁶ Does not include revocations imposed by local agencies.

Underage Drinking Prevention Programs Operated or Funded by the State

Substance Abuse Prevention Collaborative (SAPC)

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

Program Description: The purpose of the Substance Abuse Prevention Collaborative (SAPC) grant program is to prevent underage drinking and other drug abuse across the Commonwealth. This grant program serves to increase both the number and the capacity of municipalities across the Commonwealth addressing these issues. The Bureau of Substance Addiction Services (note our new name, but the initials remain BSAS) is funding 28 local municipalities across the Commonwealth to prevent underage drinking and other drug use through local evidence-based policy, practice, systems, and environmental change(s). The SAPC program emphasizes the integration of the Substance Abuse and Mental Health Services’ (SAMHSA) Strategic Prevention Framework (SPF) model into overall prevention systems. This comprehensive process informs consistent, data-driven planning across the Commonwealth focused on implementing culturally competent and sustainable strategies that will have a measurable effect on preventing and reducing underage drinking and other drug use in Massachusetts. Additionally, this program provides financial support for groups of municipalities to enter into formal, long-term agreements to share resources and coordinate activities in order to increase the scope of this work and their capacity to address these issues in their combined populations. In implementing these grants, funded programs (“lead municipalities”) must work in partnership with neighboring municipalities to form a “prevention cluster.” For example, local SAPCs create and/or sustain coalitions of municipal leadership, schools, police, preventionists, faith communities, and others to assess their community, build its capacity, and plan, implement, and evaluate evidence-based strategies in their prevention clusters.

MA Health Promotion Clearinghouse

Number of youth served	Not applicable
Number of parents served	Not applicable
Number of caregivers served	Not applicable
Program has been evaluated	No
Evaluation report is available	No
URL for evaluation report:	Not applicable
URL for more program information:	https://massclearinghouse.ehs.state.ma.us/

Program Description: Specific underage drinking prevention resources (in English and Spanish) were updated and approved for future responsive design (readable on any digital device) and limited reprinting. A revised website was developed and has worked well. Resources include concepts from evidence-based programs and models of health-promoting behaviors for parents and youth.

MDPH BSAS Native American Team

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

URL for more program information:

Not applicable

Program Description: In 2018, the Cross-Tribal/BSAS Team (the Team) had a two-pronged approach to prevention: 1) to develop, and support the implementation of a Native-focused prevention supplement to an evidence-based program; and 2) to conduct outreach to tribal parents and youth to inform the prevention of alcohol and other drug use using Coming Home, and Stories and Poems for Northeastern Native Tribal Families, which are jointly created resources for Native parents to use with their youth.

LifeSkills® Training (LST) is an evidence-based program to prevent alcohol and other drug misuse. The Team developed an LST-approved supplement that includes inter-tribal cultural content and illustrations to promote healthy choices among youth and complements 13 of the evidence-based prevention sessions. Culturally-specific resources for parents/caregivers are available at no charge at:

<https://massclearinghouse.ehs.state.ma.us/category/NativeAmerican.html>.

BSAS wrote a request for proposal for a contract to:

- Continue the outreach initiative at cultural events to Massachusetts Native communities with Native cultural consultants,
- Recruit and train a cohort of Native college students who will serve as prevention specialists to deliver an evidence-based program with an approved Native supplement in 2 Massachusetts Native communities, while collaborating with Native cultural consultants on facilitating this process and participating in an evaluation,
- Develop trainings for BSAS staff and providers related to cultural humility and best practices for working with Native communities, and
- Assist tribes in their applications for prevention of substance misuse funding.

Tribal members have shared that they are particularly committed to the prevention of alcohol misuse. To “meet people where they are,” the Team sponsored a specific dance and a distribution table at multiple powwows and socials this year. These events afforded the chance to open the discussion and offer resources on the prevention and treatment of substance misuse to large groups of Native peoples. Participants were all invited to pick up copies of native-specific BSAS resources and learn more about BSAS services. The Team is also partnering with a more diverse group of tribes and two Native cultural organizations on this project.

Additional Underage Drinking Prevention Programs Operated or Funded by the State

Program description: No data

Additional Clarification

Not applicable

Additional Information Related to Underage Drinking Prevention Programs

State collaborates with federally recognized tribal governments in the prevention of underage drinking Yes

Description of collaboration: The BSAS Native American Cross-Tribal Team also is partnering with a more diverse group of tribes and two Native cultural organizations on a prevention project. We accompanied one of our tribes to a 2-day meeting in New Mexico regarding these issues.

BSAS is an active member of the new Department of Public Health-wide Interagency Native American Working Group, which is assessing their needs around a range of health issues and developing a strategic plan.

Please see program section for more details.

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

Description of program: Please see SAPC in Program Section.

State collaborates with/participates in media campaigns to prevent underage drinking Yes

Federal campaigns: No

Regional and local media campaigns: No

Local school district efforts: Yes

Other: Website <https://www.mass.gov/substance-use-prevention-for-parents> Yes

<i>State collaborates with/participates in SAMHSA’s national media campaign, “Talk. They Hear You.”</i>	Don't know/No answer
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
<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
<i>State has adopted or developed best practice standards for underage drinking prevention programs</i>	Yes
Agencies/organizations that established best practices standards:	
Federal agency(ies): SAMHSA	Yes
Agency(ies) within your state: BSAS	Yes
Nongovernmental agency(ies):	No
Other:	No
Best practice standards description: BSAS implements best practices through (1) a competitive request-for-response (RFR) process; (2) trainings (including ethics, evidence-based programming) and strategy meetings; and (3) site visits, as needed. The RFR requires selection of an evidence-based model. A 4-day Substance Abuse Prevention Skills Training is offered periodically to providers. Regular meetings provide technical assistance to ensure implementation of SPF sustainability as well as cultural competence. The community’s logic model, action plan, accomplishments, and challenges are reviewed throughout the year. If concerns arise, site visits are conducted.	

Additional Clarification
Not Applicable

State Interagency Collaboration

<i>A state-level interagency governmental body/committee exists to coordinate or address underage drinking prevention activities</i>	Yes
<i>Committee contact information:</i>	
Name: Dee Calvert	
Email: Deirdre.C.Calvert@MassMail.State.MA	
Address: 250 Washington St, 3rd, Boston, MA 02108	
Phone: 617-624-5050	
<i>Agencies/organizations represented on the committee:</i>	
The Massachusetts Interagency Council is currently undergoing changes. Will Luzier, former Executive Director of the Council, recently retired from state service and this position is vacant. The Commonwealth will be reactivating this Council soon, and we will provide an update as soon as possible. In addition, the Interagency Tribal Partners Group includes the Department of Mental Health as well as DPH.	
<i>A website or other public source exists to describe committee activities</i>	No
URL or other means of access: Not applicable	

Underage Drinking Reports

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

Additional Clarification

Not applicable

State Expenditures for the Prevention of Underage Drinking*Compliance checks in retail outlets:*

Estimate of state funds expended	\$960,000
Estimate based on the 12 months ending	12/31/2018

Checkpoints and saturation patrols:

Estimate of state funds expended	Data not available
Estimate based on the 12 months ending	Data not available

Community-based programs to prevent underage drinking:

Estimate of state funds expended	Data not available
Estimate based on the 12 months ending	Data not available

K-12 school-based programs to prevent underage drinking:

Estimate of state funds expended	No data
Estimate based on the 12 months ending	No data

Programs targeted to institutes of higher learning:

Estimate of state funds expended	Data not available
Estimate based on the 12 months ending	Data not available

Programs that target youth in the juvenile justice system:

Estimate of state funds expended	Data not available
Estimate based on the 12 months ending	Data not available

Programs that target youth in the child welfare system:

Estimate of state funds expended	Data not available
Estimate based on the 12 months ending	Data not available

Other programs:

Programs or strategies included:	Data not available
Estimate of state funds expended:	Data not available
Estimate based on the 12 months ending:	Data not available

Funds Dedicated to Underage Drinking*State derives funds dedicated to underage drinking from the following revenue streams:*

Taxes	No
Fines	No
Fees	No
Other: Not applicable	No

Description of funding streams and how they are used:

Not applicable

Additional Clarification

No data

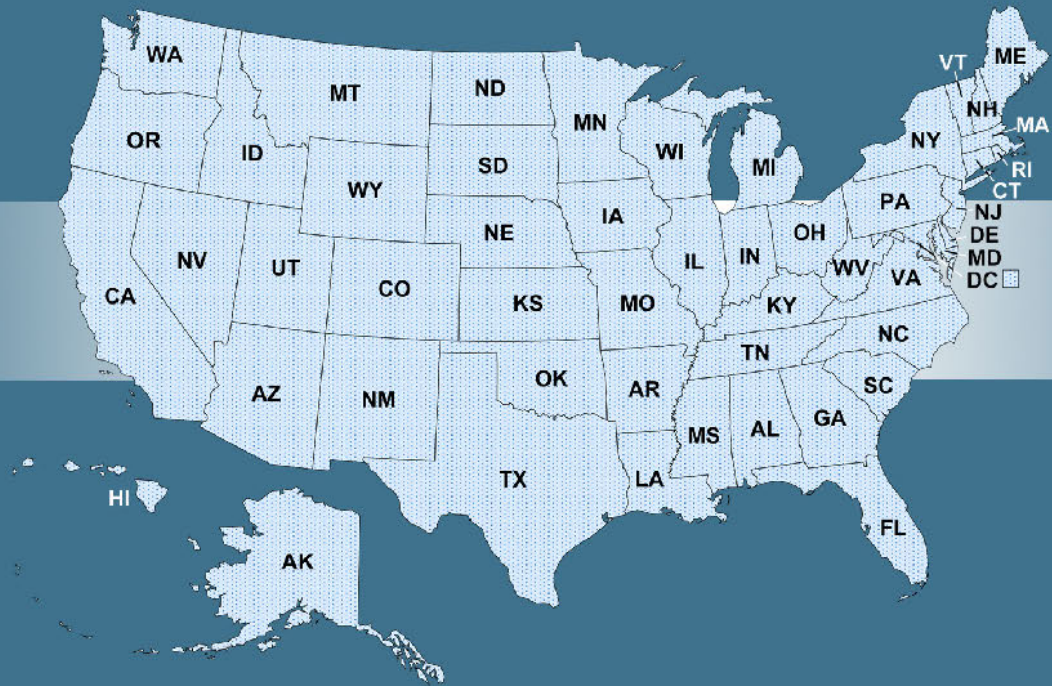


SAMHSA
Substance Abuse and Mental Health
Services Administration

NEW HAMPSHIRE STATE REPORT

Underage Drinking Prevention and Enforcement

2020



SAMHSA
Substance Abuse and Mental Health
Services Administration

This *State Report* is required by the Sober Truth on Preventing (STOP) Underage Drinking Act (Pub. L. 109-422), which was enacted by Congress in 2006 and reauthorized in December 2016 as part of the 21st Century Cures Act (Pub. L. 114-255). The STOP Act requires an annual report “on each State’s performance in enacting, enforcing, and creating laws, regulations, and programs to prevent or reduce underage drinking.” As directed by the STOP Act, the *State Reports* were prepared by the Interagency Coordinating Committee on the Prevention of Underage Drinking (ICCPUD), which is chaired by 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 2019. Regional and state profile data were drawn from the most recently available federal survey data as of 2018. State legal data reflect the status of the law as of January 1, 2019. State survey data, collected in 2019, 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 2015 through 2018 National Surveys on Drug Use and Health (NSDUH), SAMHSA’s Center for Behavioral Health Statistics and Quality (CBHSQ), and the NSDUH special data analysis (2018). 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 served as the resource for data about alcohol-attributable deaths from 2006–10 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 2018 data used to present statistics about fatalities among 15-to 20-year-old drivers.

Recommended Citation: U.S. Department of Health and Human Services (HHS), Substance Abuse and Mental Health Services Administration (SAMHSA; 2020). 2020 *New Hampshire State Report – Underage Drinking Prevention and Enforcement*. Rockville, MD: SAMHSA.

Staff Chair and Point of Contact, ICCPUD

Robert M. Vincent, MS.Ed

Public Health Analyst

SAMHSA’s Center for Substance Abuse Prevention (CSAP)

Division of Systems Development

Phone: (240) 276-1582

Email: Robert.Vincent@samhsa.hhs.gov

New Hampshire Governor’s Designated Contact for STOP Act State Survey:

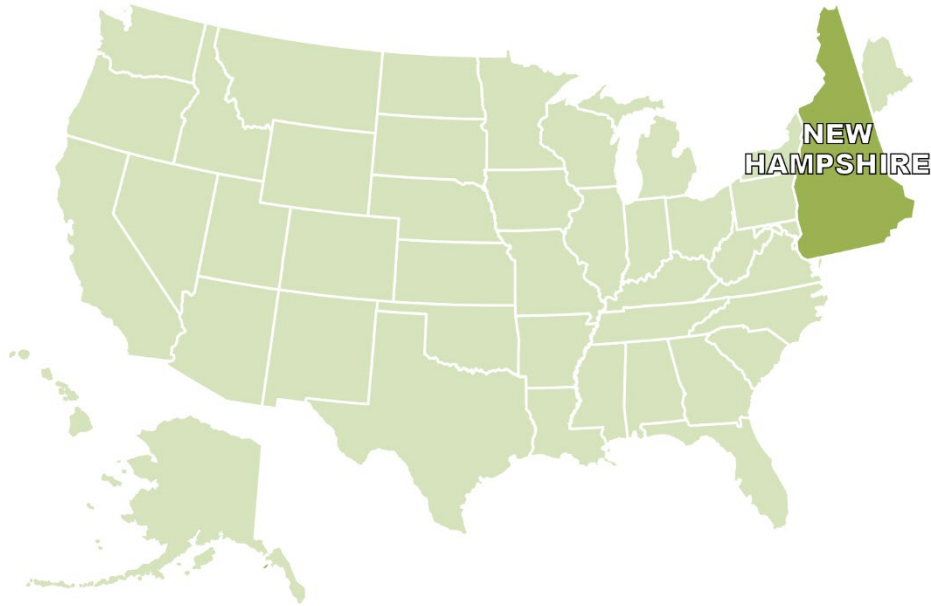
Annette Escalante

Director, Bureau of Drug and Alcohol Services

New Hampshire Department of Health and Human Services

Phone: (603) 271-8554

Email: Annette.Escalante@dhhs.nh.gov



New Hampshire

State Population: 1,356,458

Population Ages 12–20: 149,700

Past-Month Alcohol Use Among 12- to 20-Year-Olds	
Ages 12–20	
Past-Month Alcohol Use – Number (Percentage)	37,400 (25.0%)
Past-Month Binge Alcohol Use – Number (Percentage)	24,600 (16.4%)
Ages 12–14	
Past-Month Alcohol Use – Number (Percentage)	1,100 (2.2%)
Past-Month Binge Alcohol Use – Number (Percentage)	300 (0.7%)
Ages 15–17	
Past-Month Alcohol Use – Number (Percentage)	8,800 (19.2%)
Past-Month Binge Alcohol Use – Number (Percentage)	5,000 (10.8%)
Ages 18–20	
Past-Month Alcohol Use – Number (Percentage)	27,500 (51.0%)
Past-Month Binge Alcohol Use – Number (Percentage)	19,300 (35.8%)
Alcohol-Attributable Deaths and Years of Potential Life Lost Under the Age of 21	
Alcohol-Attributable Deaths (under 21)	9
Years of Potential Life Lost (under 21)	543
Fatal Crashes Involving a 15- to 20-Year-Old Driver With Blood Alcohol Concentration (BAC) > 0.01% ¹	
Number of Fatalities Involving 15- to 20-Year-Old Driver With BAC > 0.01%	0
Percentage of All Fatal Crashes Involving a 15- to 20-Year-Old Driver	0%

¹ 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.

Substance Abuse System Overview²

The Bureau of Drug and Alcohol Services (BDAS) is located in the New Hampshire Department of Health and Human Services (NH DHHS), Division for Behavioral Health (DBH). Also included under the DBH umbrella are the Bureaus for Mental Health, Developmental Services, Elderly and Adult Services, the New Hampshire Acute Psychiatric Hospital, and the Glenclyff Home.

BDAS is responsible for managing the federal substance abuse prevention and treatment block grant (primary funding source) as well as the administration of a full continuum of substance misuse services under contract with the NH DHHS that are supported by resources from the block grant and the Governor's Commission on Alcohol and Drug Abuse Prevention, Treatment and Recovery.

BDAS provides administrative / regulatory oversight, on behalf of NH DHHS, over the private for-profit methadone clinics (opioid treatment programs) and all impaired driving programs in the state. BDAS also serves as the NH DHHS' subject matter resource for alcohol and drugs, for managing alcohol and drug-related public awareness efforts and training, and for technical assistance (TA) resources for prevention, treatment, and recovery services.

BDAS has a primary role in representing NH DHHS, in concert with numerous stakeholders from the public and private sector at both the state and local level, that are working together to implement the Governor's Commission plan for the state. This plan utilizes a comprehensive public health approach to address the misuse of alcohol and drugs in New Hampshire.

To address the prevalence of drug and alcohol misuse among New Hampshire citizens, a full Resiliency and Recovery Oriented Continuum of Care (RROSC CoC) that includes substance misuse strategies and services continues to be developed at the regional/community level and is an integral part of each region / community's larger health care system. This continuum of services includes: population-level strategies (e.g., public awareness campaigns, laws, regulations, policies, safe prescribing practices, safe storage and disposal of controlled prescription drugs, service capacity, health benefits and other resources to pay for services, service coordination and access, community norms on the use of alcohol and drugs); targeted prevention services (e.g., targeting individuals, groups, communities at high risk); early identification and intervention services; crisis and care coordination; integrated/coordinated medication-assisted treatment (MAT) and withdrawal management services; and specialty substance use disorders (SUDs) treatment and recovery support services.

The BDAS vision and development of a RROSC CoC has resulted in the establishment of 13 Regional Public Health Networks (RPHNs), geographically designed to cover every community in the state. The regional structure is an initiative of the Department of Public Health Services (DPHS) and BDAS in alignment of their respective regional initiatives to create efficiencies, eliminate duplication, and build upon the strengths of the two systems.

² Extracted from fiscal year (FY) 2018/2019 – (New Hampshire) State Behavioral Health Assessment and Plan, Substance Abuse Prevention and Treatment Block Grant (SABG), Center for Substance Abuse Prevention (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.

Prevention and Treatment Services

New Hampshire’s prevention structures and efforts are supported by a public and private partnership that provides additional funds toward prevention. The New Hampshire Charitable Foundation invests approximately \$3 million per year to “reduce the burden caused to the citizens of New Hampshire by alcohol, tobacco and other drugs.” Core to the strategy is policy and advocacy to improve public financing, research, and evaluation of best practices in substance use disorder services, as well as funding for proven strategies. In 2012, the foundation approved a 10-year strategy dedicated to the prevention of substance use disorders. Approximately \$1.2 million per year will be allocated from the portfolio in furtherance of this strategy. This strategy is implemented in close partnership with the DHHS. This includes strategic co-funding, integrated planning, and grantee reporting systems.

Like CoC facilitators, substance misuse prevention (SMP) coordinators are also positioned within each of the 13 regions. SMP coordinators utilize the Strategic Prevention Framework (SPF) model (assessment, capacity, planning, implementation and evaluation), a data-driven public health approach, to address the misuse of alcohol and drugs in their area by convening and collaborating with the core sectors (local government, education, community organizations, safety, businesses, health/medical) to increase service capacity and to reduce “factors that put people, families and communities at risk” and increase “factors that protect people, families and communities” in the prevention of misuse of alcohol and drugs.

BDAS provides treatment and recovery support services to individuals with a substance use disorder who are residents of or homeless in New Hampshire; are under 400 percent of federal poverty level; and who do not have public or private insurance that will pay for the required services. Contracted services include outpatient, intensive outpatient, partial hospitalization, transitional living, low and high intensity residential treatment services (including specialty services for pregnant and parenting women and their children), withdrawal management, and MAT. All treatment providers are strongly encouraged to enroll and credential with managed care organizations (MCOs), qualified health plans (QHPs), and other private insurers to better support patients and their ability to access available services.

Expenditures for Substance Abuse Prevention and Treatment

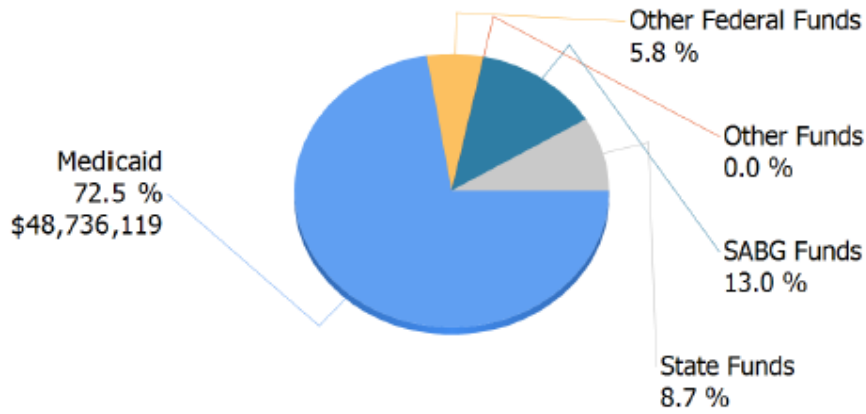
All states receive federal funds for substance abuse prevention through the Substance Abuse Prevention and Treatment Block Grant (SABG) administered by the Substance Abuse and Mental Health Services Administration (SAMHSA). Exhibit 1 shows the sources that New Hampshire used for expenditures on substance abuse prevention and treatment in 2019. As indicated, Medicaid funds and SABG funds account for the largest sources (72.5 percent and 13.0 percent, respectively).³

States submit Behavioral Assessment and Plan reports that include their priorities for use of SABG funds, as well as planned expenditures. For FY 2018-2019, New Hampshire designated

³ WebBGAS State Profile, 2019 SABG and Community Mental Health Block Grant (MHBG) Reports – New Hampshire 2019.

the reduction of youth use of alcohol, marijuana, and prescription drugs as priority number six for use of SABG funds.⁴

Exhibit 1: Sources of New Hampshire’s 2019 Expenditures for Substance Abuse Prevention and Treatment



⁴ FY 2018/2019 – (New Hampshire) 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 New Hampshire'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 26 underage drinking prevention policies have been identified as best practices (or as promising practices suitable for ongoing evaluation) and fall into four categories:

1. Laws addressing minors in possession of alcohol;
2. Laws targeting underage drinking and driving;
3. Laws targeting alcohol suppliers; and
4. Laws affecting alcohol pricing.

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:

1. Enforcement programs to promote compliance with underage drinking laws and regulations.
2. Programs targeted to youth, parents, and caregivers to deter underage drinking.
3. State interagency collaborations to implement prevention programs, best-practice standards, collaborations with tribal governments, and participation in underage drinking media campaigns.
4. State expenditures on the prevention of underage drinking.

Laws Addressing Minors in Possession of Alcohol

Underage-Possession	
Is underage possession of alcoholic beverages prohibited?	Yes
Are there exceptions based on family relationships?	
• Is possession allowed if parent or guardian is present or consents?	No
• Is possession allowed if spouse is present or consents?	No
Is there an exception based on location?	No

Underage-Consumption	
Is underage consumption of alcoholic beverages prohibited?	No law
Are there exceptions based on family relationships?	
• Is consumption allowed if the parent or guardian is present or consents?	N/A
• Is consumption allowed if the spouse is present or consents?	N/A
Is there an exception based on location?	N/A

Underage-Internal Possession	
Is underage internal possession of alcoholic beverages prohibited?	Yes
Are there exceptions based on family relationships?	
• Is internal possession allowed if the parent or guardian is present or consents?	No
• Is internal possession allowed if the spouse is present or consents?	No
Is there an exception based on location?	No

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

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?	No
Are state driver's licenses for persons under 21 easily distinguishable from licenses for persons 21 and over?	Yes
May retailers seize apparently false IDs without fear of prosecution even if the ID is ultimately deemed valid?	No
Does an affirmative defense exist for the retailer?	Yes

• Is it a specific affirmative defense (retailer reasonably believed ID was valid after examining it)?	Yes
• Is it a general affirmative defense (retailer reasonably believed purchaser was over 21)?	No
Does the retailer have the right to sue the minor for use of a false ID?	Yes
May a retailer detain a minor who used a false ID?	No
Notes: In New Hampshire, the prohibition against the use of a false ID for purchasing alcoholic beverages applies to persons less than 21 years of age. Before January 1, 2003, the denial of driving privileges as a penalty for violating this prohibition only applied to persons less than 18 years of age. After January 1, 2003, the denial of driving privileges applies to those under 21 years of age.	

Laws Targeting Underage Drinking and Driving

Youth Blood Alcohol Concentration Limits (Underage Operators of Noncommercial Motor Vehicles)	
What is the maximum blood alcohol concentration (BAC) limit for an underage driver of a motor vehicle?	0.02%
Does a BAC level in excess of limit automatically establish a violation (per se violation)?	Yes
What is the minimum age to which the limit applies?	Not specified
What is the maximum age to which the limit applies?	21

Loss of Driving Privileges for Alcohol Violations by Minors ("Use/Lose" Laws)	
Is there a "use/lose" law that suspends or revokes a minor's driving privileges for alcohol violations?	Yes
What types of violation lead to license suspension or revocation?	
• Purchase of alcohol	Yes
• Possession of alcohol	Yes
• Consumption of alcohol	No
The law applies to people under what age?	21
Is suspension or revocation mandatory or discretionary?	Discretionary
What is the length of suspension/revocation?	
Minimum number of days	90
Maximum number of days	365
Notes: Although New Hampshire does not authorize a Use / Lose penalty for all underage consumption, a law that became effective on January 1, 2003 imposes a discretionary license sanction on minors who are "intoxicated by consumption of an alcoholic beverage," and provides that an alcohol concentration "of .02 or more shall be prima facie evidence of intoxication." See N.H. Rev. Stat. Ann. §§ 179:10(I), 263:56-b.	

Graduated Driver's Licenses	
Learner Stage	
What is the minimum age for permit to drive with parents, guardians, or other adults (other than instructors)?	15 years, 6 months

What is the minimum number of months driver must hold learner permit before advancing to intermediate stage?	0
What is the minimum number of hours of driving with parents, guardians, or adults before advancing to intermediate stage?	40 (10 of which must be at night)
Intermediate Stage	
What is the minimum age for driving without adult supervision?	16
For night driving, when does adult supervision requirement begin?	1:00 AM
Can law enforcement stop a driver for night driving violation as a primary offense?	Yes, officer may stop driver for night driving violation
Are there restrictions on passengers?	Yes, no more than one non-family passenger under 25, unless accompanied by driver over 25.
Can law enforcement stop driver for violation of passenger restrictions as a primary offense?	Yes, officer may stop driver for passenger restrictions violation
License Stage	
What is the minimum age for full license privileges and lifting of restrictions?	18 (Passenger restrictions expire after 6 months; unsupervised night driving restrictions remain until age 18)

Laws Targeting Alcohol Suppliers

Furnishing Alcohol to Minors	
Is furnishing of alcoholic beverages to minors prohibited?	Yes
Are there exceptions based on family relationships?	
• Is furnishing allowed if the parent or guardian supplies the alcohol?	No
• Is furnishing allowed if the spouse supplies the alcohol?	No
Is there an exception based on location?	No
Affirmative Defense for Sellers and Licensees	
Does law require seller/licensee to be exonerated of furnishing to a minor if the minor has not been charged?	No

Compliance Check Protocols	
Does the state have a written protocol for when an underage decoy is used in compliance checks?	Yes
What is the minimum age a decoy may be to participate in a compliance check?	17
What is the maximum age a decoy may be to participate in a compliance check?	20
Are there appearance requirements for the decoy?	Yes, Age assessment panel. Casual attire; average height and build. If decoy is 20 years of age, must appear to be between 17-19. Male: No facial hair. Female: Minimal makeup.

Does decoy carry ID during compliance check?	Required
May decoy verbally exaggerate his or her actual age?	Not specified
Is decoy training mandated, recommended, prohibited, or not specified?	Mandated

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?	2 years
What is the penalty for the first offense?	\$500 fine, 4 license points, 3-day suspension (for non-compliance check violations)
What is the penalty for the second offense?	Not specified
What is the penalty for the third offense?	Not specified
What is the penalty for the fourth offense?	Not specified
Notes: Mitigating and aggravating factors considered. Only one compliance check annually shall incur license points.	

Responsible Beverage Service (RBS)–Mandatory	
Is there a state law pertaining to Beverage Service Training?	Yes–Mandatory
If training is mandatory, who must participate?	Managers
If training is voluntary, which of the following incentives are offered?	
• Defense in dram shop liability lawsuits	N/A
• Discounts in dram shop liability insurance, license fees, or other	N/A
• Mitigation of fines or other administrative penalties for sales to minors or intoxicated persons	N/A
• Protection against license revocation for sales to minors or sales to intoxicated persons	N/A
Does the RBS law apply to on-premises establishments (such as bars and restaurants) or off-premises establishments (such as liquor stores)?	Both
Does the RBS law apply to new or existing licensees?	New

Minimum Ages for Sellers of Alcohol – Off-Premises (i.e., Liquor Stores)	
What is the minimum age requirement for off-premises retail establishments?	
Beer	16
Wine	16
Spirits	16
Does a manager or supervisor have to be present?	Yes
Notes: To act as a cashier in a selling capacity, a minor is required to be at least 16 years of age, providing a person at least 18 years of age is in attendance and is designated in charge of the employees and business.	

Minimum Age for Alcohol Servers and Bartenders – On-Premises (i.e., Restaurants and Bars)	
What is the minimum age requirement for servers in on-premises establishments?	
Beer	18
Wine	18
Spirits	18
What is the minimum age requirement for bartenders in on-premises establishments?	
Beer	18
Wine	18
Spirits	18
Does a manager or supervisor have to be present?	No

Distance Limitations Applied to New Alcohol Outlets Near Universities, Colleges, and Primary and Secondary Schools	
Colleges and Universities	
Is there a distance requirement for off-premises outlets (i.e., liquor stores)?	No
Is there a distance requirement for on-premises outlets (i.e., restaurants and bars)?	No
To which alcohol products does requirement apply?	N/A
Primary and Secondary Schools	
Is there a distance requirement for off-premises outlets (i.e., liquor stores)?	No
Is there a distance requirement for on-premises outlets (i.e., restaurants and bars)?	No
To which alcohol products does requirement apply?	N/A

Dram Shop Liability	
Does a statute create dram shop liability?	Yes
Does the statute limit damages that may be recovered?	No
Does the statute limit who may be sued?	No
Does the statute limit elements or standards of proof?	No
Does common law dram shop liability exist?	No
Notes: N.H. Rev. Stat. § 507-F:6 includes a responsible beverage service defense.	

Social Host Liability	
Does a statute create social host liability?	No
Does the statute limit damages that may be recovered?	N/A
Does the statute limit who may be sued?	N/A
Does the statute limit elements or standards of proof?	N/A
Does common law social host liability exist?	Yes

Prohibitions Against Hosting Underage Drinking Parties	
Does a statute prohibit hosting underage drinking parties?	Yes

Is the statute specific to underage parties, or a general prohibition against permitting underage drinking on the property?	Specific
What action by underage guest triggers a violation?	Possession/Consumption/Intention to possess or consume
Property type covered by the law?	Residential/Outdoor/Other
What level of knowledge by the host is required?	Overt act: Host must have actual knowledge and commit act that contributes to party's occurrence
Does host's preventive action protect him/her from being held liable?	Yes
Are there any exceptions for underage guests?	Yes – Family members
Notes: In New Hampshire, an "underage alcohol house party" means a gathering of five or more people under the age of 21 at any occupied structure, dwelling, or curtilage, where at least one person under the age of 21 unlawfully possesses or consumes an alcoholic beverage. A person is guilty of a misdemeanor if he or she owns or has control of the occupied structure, dwelling, or curtilage where an underage alcohol house party is held and he or she knowingly commits an overt act in furtherance of the occurrence of the underage alcohol house party knowing persons under the age of 21 possess or intend to consume alcoholic beverages. The "preventive action" provision in New Hampshire allows the defendant to avoid criminal liability by establishing, as an affirmative defense, that he or she took preventive action with respect to the underage alcohol house party.	

Retailer Interstate Shipments of Alcohol

Are out-of-state retailers prohibited from sending interstate shipments to in-state consumers?	
Beer	Permitted
Wine	Permitted
Spirits	Permitted

Direct Shipments/Sales

May alcohol producers ship directly to consumers?	Yes
What alcohol types may be shipped?	Beer, Wine, Distilled Spirits
Must purchaser make mandatory trip to producer before delivery is authorized?	No
Age verification requirements	
Must the producer/shipper verify purchaser's age before sale?	No
Must the common carrier (deliverer) verify age of recipients?	No
State approval/permit requirements	
Must the producer/manufacture obtain state license or permit?	Yes
Must the common carrier (deliverer) be approved by a state agency?	Yes
Recording/reporting requirements	
Must the producer/manufacture record/report purchaser's name?	Yes
Must the common carrier (deliverer) record/report recipient's name?	Yes
Shipping label requirements	

Must the label state "Package contains alcohol"?	Yes
Must the label state "Recipient must be 21 years old"?	Yes

-Keg Registration	
How is a keg defined (in gallons)?	More than 7.00
Prohibitions	
Is it illegal to possess an unregistered or unlabeled keg and if so, what is the penalty?	Yes (Maximum fine/jail, \$1,000)
Is it illegal to destroy the label on a keg, and if so, what is the penalty?	Yes (Maximum fine/jail, \$1,000)
What purchaser information is collected?	
Must the retailer collect the name and address?	Yes
Must the retailer collect the ID number, name and address on license or other government information?	Yes
Must the retailer collect the address at which keg will be consumed?	No
Must warning information be given to purchaser?	Yes, active (requires an action by purchaser)
Is a deposit required?	No
Does law cover disposable kegs?	No

Home Delivery	
Is home delivery of alcohol permitted?	
Beer	Yes
Wine	Yes
Spirits	No law

High-Proof Grain Alcohol Beverages	
Are there restrictions on the sale of high-proof grain alcohol beverages?	No. However, 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)?	N/A
Are there exceptions to restrictions?	N/A

Laws Affecting Alcohol Pricing

Alcohol Taxes	
Beer	
Control system for beer?	No
Specific excise tax per gallon for 5% alcohol beer	\$0.30
Ad valorem excise tax (for on-premises sales) on total receipts for 5% alcohol beer	
Wholesale tax rate (if applicable)	N/A
Retail tax rate (if applicable)	N/A

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)	N/A
Retail tax rate (if applicable)	N/A
If retail tax rate applies, is there an exemption from general sales tax?	No
• General sales tax rate	Not relevant
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	Not relevant
Additional taxes for 3.2 – 6% alcohol beer if applicable	
Wine	
Control system for wine?	Yes
Specific excise tax per gallon for 12% alcohol wine	N/A
Ad valorem excise tax (for on-premises sales) on total receipts for 12% alcohol wine	
Wholesale tax rate (if applicable)	N/A
Retail tax rate (if applicable)	N/A
If retail tax rate applies, is there an exemption from general sales tax?	N/A
• General sales tax rate	N/A
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	N/A
Ad valorem excise tax (for off-premises sales) on total receipts for 12% alcohol wine	
Wholesale tax rate (if applicable)	N/A
Retail tax rate (if applicable)	N/A
If retail tax rate applies, is there an exemption from general sales tax?	N/A
• General sales tax rate	N/A
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	N/A
Additional taxes for 6 – 14% alcohol wine if applicable	
Spirits	
Control system for spirits?	Yes
Specific excise tax per gallon for 40% alcohol spirits	N/A
Ad valorem excise tax (for on-premises sales) on total receipts for 40% alcohol spirits	
Wholesale tax rate (if applicable)	N/A
Retail tax rate (if applicable)	N/A

If retail tax rate applies, is there an exemption from general sales tax?	N/A
• General sales tax rate	N/A
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	N/A
Ad valorem excise tax (for off-premises sales) on total receipts for 40% alcohol spirits	
Wholesale tax rate (if applicable)	N/A
Retail tax rate (if applicable)	N/A
If retail tax rate applies, is there an exemption from general sales tax?	N/A
• General sales tax rate	N/A
• Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax)	N/A
Additional taxes for 15 – 50% alcohol spirits if applicable	

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

Wholesaler Pricing Restrictions	
Beer	
Are volume discounts to retailers allowed?	No law
Must wholesalers establish a minimum markup or maximum discount for each product sold to retailers?	No law
Must wholesalers publicly post and hold (i.e., not reduce) prices for a set period of time?	Post
Is wholesaler permitted to extend credit to retailer and if so, what is the maximum time period?	Yes (10 days)
Wine	Control
Are volume discounts to retailers allowed?	N/A
Must wholesalers establish a minimum markup or maximum discount for each product sold to retailers?	N/A
Must wholesalers publicly post and hold (i.e., not reduce) prices for a set period of time?	N/A
Is wholesaler permitted to extend credit to retailer and if so, what is the maximum time period?	N/A
Spirits	Control
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
Notes: Wholesalers are required to make their current beer prices available to the commission in writing.	

New Hampshire State Survey Responses

State Agency Information	
<i>Agency with primary responsibility for enforcing underage drinking laws:</i>	
The New Hampshire Liquor Commission, Division of Enforcement	
Enforcement Strategies	
<i>State law enforcement agencies use:</i>	
Cops in Shops	No
Shoulder Tap Operations	No
Party Patrol Operations or Programs	No
Underage Alcohol–Related Fatality Investigations	Yes
<i>Local law enforcement agencies use:</i>	
Cops in Shops	No
Shoulder Tap Operations	No
Party Patrol Operations or Programs	No
Underage Alcohol–Related Fatality Investigations	No
<i>State has a program to investigate and enforce direct sales/shipment laws</i>	Yes
Primary state agency responsible for enforcing laws addressing direct sales/shipments of alcohol to minors	NH Liquor Commission, Division of Enforcement
Such laws are also enforced by local law enforcement agencies	No
Enforcement Statistics	
<i>State collects data on the number of minors found in possession</i>	Yes
Number of minors found in possession ¹ by state law enforcement agencies	121
Number pertains to the 12 months ending	12/31/2018
Data include arrests/citations issued by local law enforcement agencies	No
<i>State conducts underage compliance checks/decoy operations² to determine whether alcohol retailers are complying with laws prohibiting sales to minors</i>	Yes
Data are collected on these activities	Yes
Number of retail licensees in state ³	3,379
Number of licensees checked for compliance by state agencies (including random checks)	767
Number of licensees that failed state compliance checks	72
Numbers pertain to the 12 months ending	12/31/2018
Compliance checks/decoy operations conducted at on-sale, off-sale, or both retail establishments	On-sale establishments only
<i>State conducts random underage compliance checks/decoy operations</i>	Yes
Number of licensees subject to random state compliance checks/decoy operations	3,379
Number of licensees that failed random state compliance checks	51
<i>Local agencies conduct underage compliance checks/decoy operations to determine whether alcohol retailers are complying with laws prohibiting sales to minors</i>	Don't know/No answer
Data are collected on these activities	Don't know/No answer
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 ⁴	No data
Total amount in fines across all licensees	\$5,000
Smallest fine imposed	\$500
Largest fine imposed	\$2,000
Numbers pertain to the 12 months ending	12/31/2018

<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 ⁵	No data
Total days of suspensions across all licensees	No data
Shortest period of suspension imposed (in days)	1
Longest period of suspension imposed (in days)	10
Numbers pertain to the 12 months ending	12/31/2018
<i>State collects data on license revocations imposed on retail establishments specifically for furnishing to minors</i>	Yes
Number of license revocations imposed ⁶	No data
Numbers pertain to the 12 months ending	12/31/2018

Additional Clarification

No data

¹ Or having consumed or purchased per state statutes.

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

³ Excluding special licenses such as temporary, seasonal, and common carrier licenses.

⁴ Does not include fines imposed by local agencies.

⁵ Does not include suspensions imposed by local agencies.

⁶ Does not include revocations imposed by local agencies.

Underage Drinking Prevention Programs Operated or Funded by the State

Life of an Athlete (LOA)

Number of youth served	2,783
Number of parents served	N/A
Number of caregivers served	94
Program has been evaluated	Yes
Evaluation report is available	No
URL for evaluation report:	Not applicable
URL for more program information:	No data

Program Description: The Life of An Athlete (LOA) program is a comprehensive, multicomponent prevention program that empowers and motivates youth participating in athletics and leadership programs to make healthy choices and decisions by educating them on the impact that alcohol and other drugs have on performance. The program blends prevention and athletics together, focusing on the immediate impact that lifestyle choices have on athletic performance with an emphasis on understanding the impact alcohol, other drugs, and tobacco have on success in academics and athletics. The program is administered by the New Hampshire Interscholastic Athletic Association, whose staff recruit schools to implement the program and train school personnel, including the athletes and other student leaders, on how to implement the program.

Student Assistance Programs (SAP)

Number of youth served	21,000
Number of parents served	21,000
Number of caregivers served	Not applicable
Program has been evaluated	Yes
Evaluation report is available	No
URL for evaluation report:	Not applicable
URL for more program information:	No data

Program Description: Student Assistance Program (SAP) services administered by the Bureau of Drug and Alcohol Services are based on the Project SUCCESS evidence-based practice. The program is designed to prevent and reduce alcohol and other drug misuse among students ages 12 to 25. The school-based program combines schoolwide alcohol and other drug prevention awareness activities, classroom-based prevention education, individual and group counseling sessions for students, parent education, and referral to community resources. The

program reaches middle and high schools as well as colleges and universities using trained SAP counselors to deliver the services.

Juvenile Diversion Program - New Hampshire Juvenile Diversion Network

Number of youth served	91
Number of parents served	91
Number of caregivers served	26
Program has been evaluated	Yes
Evaluation report is available	No
URL for evaluation report:	Not applicable
URL for more program information:	No data

Program Description: The New Hampshire Juvenile Diversion Network is contracted to expand capacity to underserved regions and to incorporate evidence-based screening, brief intervention, and referral to treatment into programming. There are currently 16 accredited Juvenile Court Diversion Programs that hold youth accountable for disruptive behavior while ensuring they benefit from education and support services to reduce the youth’s involvement in the law enforcement and judicial systems. New Hampshire RSA169 Delinquent Children-B:10 Juvenile Diversion includes provisions for police and courts to refer first-time offenders for accredited diversion services. Whether housed in police departments, governmental systems, or community-based organizations, New Hampshire’s Juvenile Court Diversion Programs share common goals, core values, and an evidence-base for strategies and practices being implemented across the state.

Direct Prevention Services

Number of youth served	600
Number of parents served	400
Number of caregivers served	8
Program has been evaluated	No
Evaluation report is available	No
URL for evaluation report:	Not applicable
URL for more program information:	No data

Program Description: Programs offered by these vendors will target a subset of the population that is at higher risk for substance use disorder due to certain risk factors that are identified by the vendors, which may include, but are not limited to, parents/peers misuse of substances; low academic achievement; or school suspension. Services provided are designed to mediate risk factors and increase protective factors in order to diminish the onset of substance use behavior and the progression of substance use disorder.

Parent/caregiver services include providing support, knowledge, and insight to aid adults in increasing their confidence to talk to their children, set reasonable limits on their children, and monitor their children to keep them safe. Well informed parents/caregivers that monitor behaviors of their children are considered protective factors that reduce instances of drug and alcohol misuse.

Regional Public Health Network Substance Misuse Coordination and Continuum of Care Facilitation

Number of youth served	100,000
Number of parents served	No data
Number of caregivers served	No data
Program has been evaluated	No data
Evaluation report is available	No data
URL for evaluation report:	No data
URL for more program information:	No data

Program Description: BDAS supported resources in each of the 13 Regional Public Health Networks that facilitate a community approach to address the misuse of alcohol and drugs and increase access to care. Each network completed an alcohol and other drug misuse and disorders service assets and gaps assessment. Additionally, they have created a 3-year plan that addresses the misuse of alcohol and other drugs and the related consequences for individuals, families, and communities.

Substance Misuse Prevention Coordinators and Continuum of Care Facilitators convene and collaborate with local government, education, community, safety, business, and health organizations and sectors in communities to 1) increase access to needed services and address the factors that protect people, families, and communities, and 2) reduce the factors that put these groups at risk for the misuse of alcohol and drugs. They also participate with the regions' Public Health Advisory Council to provide priorities for their Community Health Improvement Plan and coordinate with the Integrated Delivery Networks within their network.

Additional Underage Drinking Prevention Programs Operated or Funded by the State

Program description: No data

Additional Clarification

No data

Additional Information Related to Underage Drinking Prevention Programs

<i>State collaborates with federally recognized tribal governments in the prevention of underage drinking</i>	No recognized tribal governments
Description of collaboration: Not applicable	
<i>State has programs to measure and/or reduce youth exposure to alcohol advertising and marketing</i>	Yes
Description of program: See previous section on Regional Public Health Networks	
<i>State collaborates with/participates in media campaigns to prevent underage drinking</i>	No
Federal campaigns:	Not applicable
Regional and local media campaigns:	Not applicable
Local school district efforts:	Not applicable
Other:	Not applicable
<i>State collaborates with/participates in SAMHSA's national media campaign, "Talk. They Hear You."</i>	Not applicable
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
<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
<i>State has adopted or developed best practice standards for underage drinking prevention programs</i>	Yes
Agencies/organizations that established best practices standards:	
Federal agency(ies): SAMHSA	Yes
Agency(ies) within your state: NH Department of Health and Human Services (DHHS) – Bureau of Drug and Alcohol Services (BDAS)	Yes
Nongovernmental agency(ies):	No
Other:	No
Best practice standards description: Strategy recommendations can be developed by reviewing the researched best practices relevant to the problem and local conditions that have been identified. Sources of information for evidence-informed substance misuse prevention strategies include but are not limited to:	
Six Core Community Sectors Resources— http://nhcenterforexcellence.org/resources/	
OJJDP Model Programs Guide— https://www.ojjdp.gov/mpg	
Exemplary and Promising Safe, Disciplined and Drug-Free Schools Programs— https://www2.ed.gov/print/admins/lead/safety/exemplary01/report.html	
The Community Guide— https://www.thecommunityguide.org/	
What Works for Health— http://www.countyhealthrankings.org/roadmaps/what-works-for-health	

Peer-reviewed literature can also be found using search engines and databases, such as:

- Google Scholar: <http://scholar.google.com/>
- PubMed: <http://www.ncbi.nlm.nih.gov/pubmed>

Literature Reviews can be requested through the New Hampshire Center for Excellence Technical Assistance Request Form—<http://nhcenterforexcellence.org/center-services/request-ta/>

Additional Clarification

No data

State Interagency Collaboration

A state-level interagency governmental body/committee exists to coordinate or address underage drinking prevention activities Yes

Committee contact information:

Name: Annette Escalante, Executive Director, Governor's Commission on Alcohol and Other Drugs-Prevention, Treatment and Recovery

Email: Annette.Escalante@dhhs.nh.gov

Agencies/organizations represented on the committee:

Every NH State Agency

Governor Appointed Citizen Members

A website or other public source exists to describe committee activities Yes

URL or other means of access: <https://nhcenterforexcellence.org/governors-commission/>

Underage Drinking Reports

State has prepared a plan for preventing underage drinking in the last 3 years Yes

Prepared by: Governor's Commission on Alcohol and Other Drugs-Prevention, Treatment and Recovery

Plan can be accessed via: <https://nhcenterforexcellence.org/governors-commission/>

State has prepared a report on preventing underage drinking in the last 3 years No

Prepared by: Not applicable

Report can be accessed via: Not applicable

Additional Clarification

No data

State Expenditures for the Prevention of Underage Drinking

Compliance checks in retail outlets:

Estimate of state funds expended Data not available

Estimate based on the 12 months ending Data not available

Checkpoints and saturation patrols:

Estimate of state funds expended Data not available

Estimate based on the 12 months ending Data not available

Community-based programs to prevent underage drinking:

Estimate of state funds expended \$5,694,014

Estimate based on the 12 months ending 06/30/2019

K-12 school-based programs to prevent underage drinking:

Estimate of state funds expended \$1,620,000

Estimate based on the 12 months ending 06/30/2019

Programs targeted to institutes of higher learning:

Estimate of state funds expended \$180,000

Estimate based on the 12 months ending 06/30/2019

Programs that target youth in the juvenile justice system:

Estimate of state funds expended \$307,924

Estimate based on the 12 months ending 06/30/2019

Programs that target youth in the child welfare system:

Estimate of state funds expended	Not applicable
Estimate based on the 12 months ending	Data not available

<i>Other programs:</i>	
Programs or strategies included: Life of an Athlete, Juvenile Diversion Program, Prevention Direct Services	
Estimate of state funds expended:	\$1,527,251
Estimate based on the 12 months ending:	06/30/2019

Funds Dedicated to Underage Drinking

State derives funds dedicated to underage drinking from the following revenue streams:

Taxes	No data
Fines	No data
Fees	No data
Other: Percent of profits from the sale of alcohol	Yes

Description of funding streams and how they are used:

CHAPTER 176-A
 ALCOHOL ABUSE PREVENTION AND TREATMENT FUND
 Section 176-A:1
 176-A:1 Alcohol Abuse Prevention and Treatment Fund.

- I. There is hereby established an alcohol abuse prevention and treatment fund to fund alcohol education and abuse prevention and treatment programs.
- II. The fund shall be non-lapsing and continually appropriated for the purposes of funding alcohol education and abuse prevention and treatment programs. The state treasurer shall invest the moneys deposited in the fund as provided by law. Interest earned on moneys deposited in the fund shall be deposited into the fund.
- III. Moneys shall be disbursed from the fund upon the authorization of the governor's commission on alcohol and drug abuse prevention, intervention, and treatment established pursuant to RSA 12-J:1. Funds disbursed shall be used for alcohol and other drug abuse prevention, intervention, and treatment services, and other purposes related to the duties of the commission under RSA 12-J:3. Effective: July 1, 2005

Additional Clarification

No data

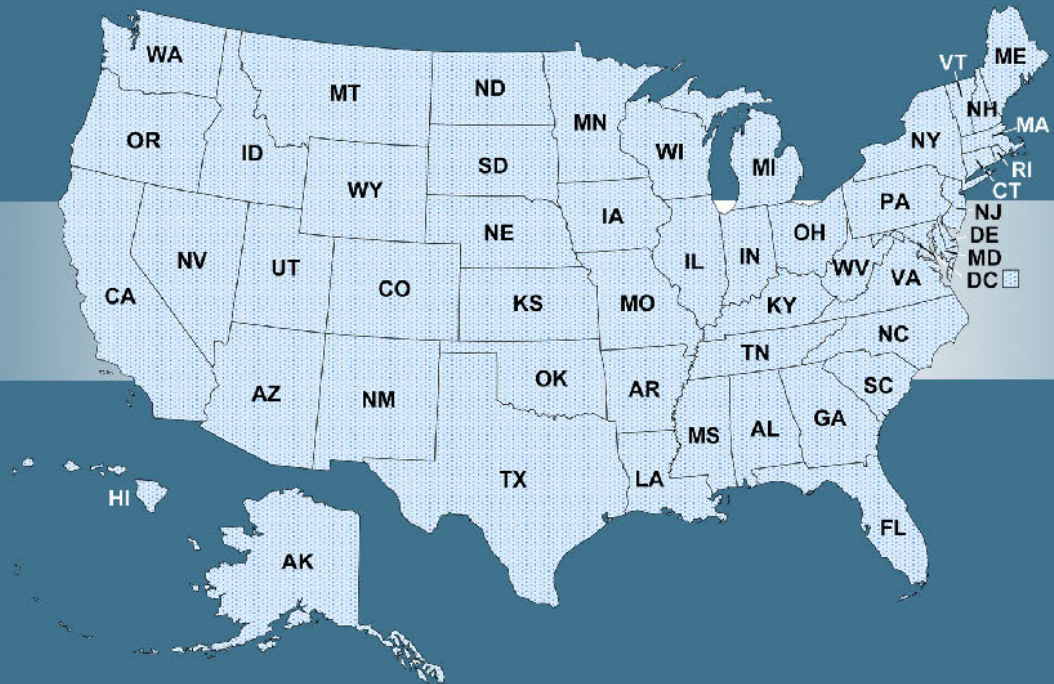


SAMHSA
Substance Abuse and Mental Health
Services Administration

RHODE ISLAND STATE REPORT

Underage Drinking Prevention and Enforcement

2020



SAMHSA
Substance Abuse and Mental Health
Services Administration

This *State Report* is required by the Sober Truth on Preventing (STOP) Underage Drinking Act (Pub. L. 109-422), which was enacted by Congress in 2006 and reauthorized in December 2016 as part of the 21st Century Cures Act (Pub. L. 114-255). The STOP Act requires an annual report “on each State’s performance in enacting, enforcing, and creating laws, regulations, and programs to prevent or reduce underage drinking.” As directed by the STOP Act, the *State Reports* were prepared by the Interagency Coordinating Committee on the Prevention of Underage Drinking (ICCPUD), which is chaired by 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 2019. Regional and state profile data were drawn from the most recently available federal survey data as of 2018. State legal data reflect the status of the law as of January 1, 2019. State survey data, collected in 2019, 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 2015 through 2018 National Surveys on Drug Use and Health (NSDUH), SAMHSA’s Center for Behavioral Health Statistics and Quality (CBHSQ), and the NSDUH special data analysis (2018). 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 served as the resource for data about alcohol-attributable deaths from 2006–10 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 2018 data used to present statistics about fatalities among 15-to 20-year-old drivers.

Recommended Citation: U.S. Department of Health and Human Services (HHS), Substance Abuse and Mental Health Services Administration (SAMHSA; 2020). 2020 *Rhode Island State Report – Underage Drinking Prevention and Enforcement*. Rockville, MD: SAMHSA.

Staff Chair and Point of Contact, ICCPUD:

Robert M. Vincent, MS.Ed

Public Health Analyst

SAMHSA’s Center for Substance Abuse Prevention (CSAP)

Division of Systems Development

Phone: (240) 276-1582

Email: Robert.Vincent@samhsa.hhs.gov

Rhode Island Governor’s Designated Contact for STOP Act State Survey:

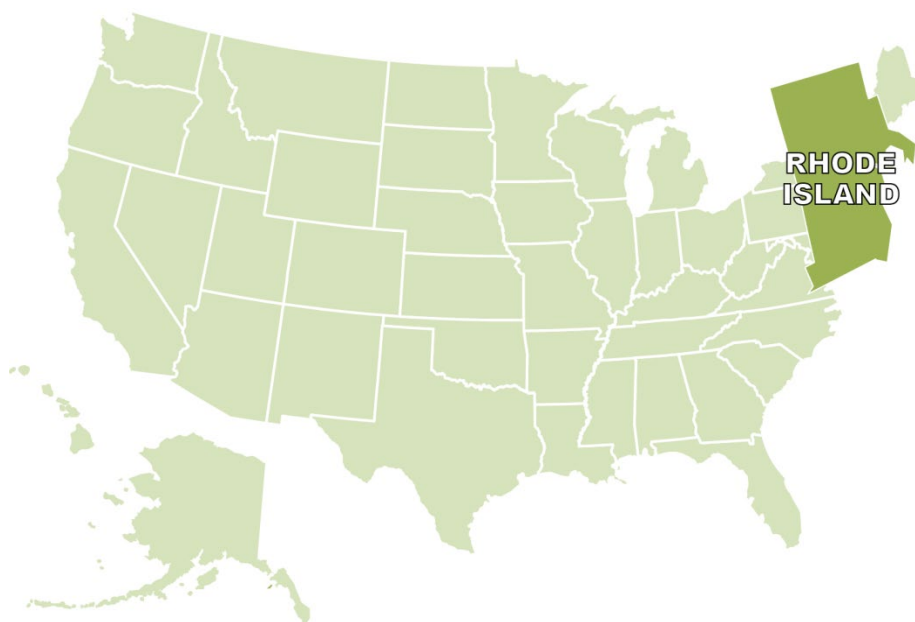
Rebecca Boss

Director

Rhode Island Department of Behavior Healthcare, Developmental Disabilities and Hospitals

Phone: (401) 462-2339

Email: Rebecca.boss@bhddh.ri.gov



Rhode Island

State Population: 1,057,315

Population Ages 12–20: 121,500

Past-Month Alcohol Use Among 12- to 20-Year-Olds	
Ages 12–20	
Past-Month Alcohol Use – Number (Percentage)	34,000 (28.0%)
Past-Month Binge Alcohol Use – Number (Percentage)	21,500 (17.7%)
Ages 12–14	
Past-Month Alcohol Use – Number (Percentage)	700 (2.1%)
Past-Month Binge Alcohol Use – Number (Percentage)	400 (1.2%)
Ages 15–17	
Past-Month Alcohol Use – Number (Percentage)	7,700 (20.2%)
Past-Month Binge Alcohol Use – Number (Percentage)	3,800 (10.0%)
Ages 18–20	
Past-Month Alcohol Use – Number (Percentage)	25,500 (53.4%)
Past-Month Binge Alcohol Use – Number (Percentage)	17,200 (36.0%)
Alcohol-Attributable Deaths and Years of Potential Life Lost Under the Age of 21	
Alcohol-Attributable Deaths (under 21)	10
Years of Potential Life Lost (under 21)	575
Fatal Crashes Involving a 15- to 20-Year-Old Driver With Blood Alcohol Concentration (BAC) > 0.01% ¹	
Number of Fatalities Involving 15- to 20-Year-Old Driver With BAC > 0.01%	2
Percentage of All Fatal Crashes Involving a 15- to 20-Year-Old Driver	36%

¹ 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 Healthcare Overview²

The Rhode Island Executive Office of Health and Human Services (EOHHS) was established in 2007 to strengthen the publicly-funded health care system; increase efficiency, transparency, and accountability of EOHHS and its departments; promote data-driven and evidence-based strategic decision making, analytical orientation, and EOHHS-wide training in data analysis; improve the customer experience; and integrate budget and finance.

Under state law, EOHHS serves as “the principal agency of the executive branch of state government” (R.I.G.L. §42-7.2-2) responsible for managing the departments of: Health (DOH); Human Services (DHS); Children, Youth and Families (DCYF); and Behavioral Healthcare, Developmental Disabilities and Hospitals (BHDDH). These agencies provide direct services to nearly 306,000 Rhode Islanders as well as an array of regulatory, protective and health promotion services to our communities. Health and human services benefits represent \$3.1 billion spending per year, or over 40 percent of the entire state budget.

In 2014, the State consolidated all behavioral health Medicaid funding under the Executive EOHHS, therefore, the state has requested that BHDDH and EOHHS be co-designated as the State Single Agency (SSA) between the BHDDH and the Executive Office of Health and Human Services (OHHS), per the provisions established in 42 U.S.C § 300x30(a), solely for the purposes of calculating the Substance Abuse Prevention and Treatment Block Grant (SABG) maintenance of effort (MOE). Specifically, the designees, BHDDH and OHHS, are to be jointly designated as administering agencies for federal aid purposes; BHDDH remains the substance abuse authority with sole responsibility for the activities outlined in the pertinent federal substance abuse laws and regulations, including 42 U.S.C § 300x-21 et seq.

The BHDDH mission is to serve Rhode Islanders who live with mental illness, substance use disorder (SUD) and/or a developmental disability by maintaining a system of high quality, safe, affordable and coordinated care across the spectrum of behavioral health care and developmental services. To promote the health, safety, and well-being of all Rhode Islanders by developing policies and programs that address the issues of mental illness, addiction, recovery, and community support. The Department’s vision is to be a leader in the development of innovative, evidence-based programs that improve care delivery, strengthen the service delivery network, and best serve those who use the system. In collaboration with our community partners, we strive to be champions of the people we serve, addressing their needs in a timely, efficient and effective manner.

SUD Services for Youth and Young Adults

BHDDH is the SSA for program and policy development and implementation for adolescents. The adolescent treatment system has been in flux due to the changes in the landscape of Rhode Island’s Medicaid system, the carve-in of behavioral health into managed care, the affiliation of smaller treatment agencies with larger behavioral healthcare organizations, and marijuana

² Extracted from fiscal year (FY) 2018/2019 – (Rhode Island) State Behavioral Health Assessment and Plan, SABG, Center for Substance Abuse Prevention (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.

possession legislation. Thus, the Department applied for and received a State Youth Treatment Planning grant to review the current system for youth and young adults ages 12-25 who have SUDs or co-occurring substance use and serious emotional disorders; to identify need and gaps in the system, and to develop plans to address the needs. Plans include services, funding, and workforce development. The grant is ending September 30, 2017, and BHDDH has received an implementation grant to address the funding of the planning grant.

The goal of the implementation grant is to create community-based treatment programs for youth and young adults that are evidence-based practices. Rhode Island will implement Seven Challenges in four to six sites across the state.

The current system includes:

- Outpatient programs of varying size that are operated by hospitals and licensed behavioral healthcare organizations.
- Intensive outpatient programs operated by a hospital-based organization and a licensed behavioral healthcare organization.
- Short-term residential programs that are hospital-based.
- Private clinicians.

Prevention

The Department's prevention system consists of four major components: 1) regional task forces (coalitions); 2) student assistance programs established by legislation; 3) community-based programs (largely curricular in nature); and 4) the Synar compliance program.

Regional Prevention Task Forces—were established in 1988 by state statute. Rhode Island has a statewide network of community-based substance abuse prevention coalitions, called Task Forces. The state's 32 Task Forces are primarily responsible for the development and implementation of comprehensive prevention plans for their respective communities, which are based on the results of a community needs assessment.

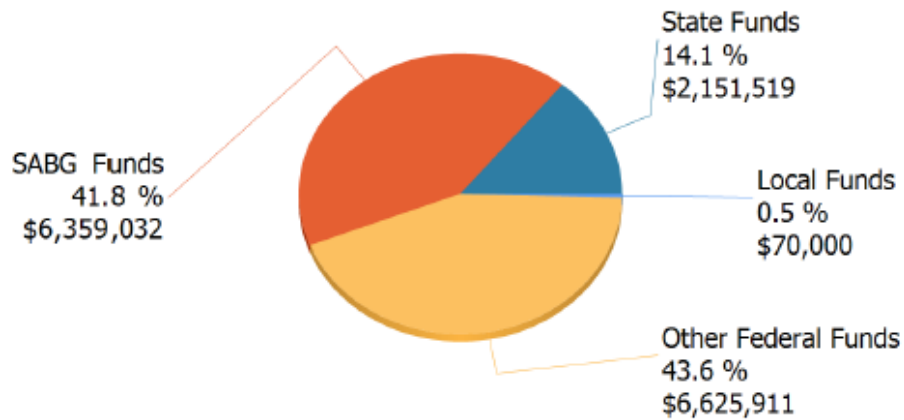
Rhode Island Student Assistance Services (RISAS)—The Rhode Island Junior High/Middle School Student Assistance Act (R.I. General Laws 16-21.3) was established by the Rhode Island General Assembly in 1989. The Statute authorized funding to establish student assistance programs (SAPs) in junior high and middle schools throughout the state. SAPs focus on behavior and performance at school, using a process to screen students for alcohol and other drug problems. The counselor provides early identification, comprehensive assessment, intervention, and referral, if necessary, to adolescents who are experiencing high-risk behaviors. BHDDH's overarching goal is to identify individuals ages 12-18 who are exposed to risks or experiencing early symptoms that increase the potential that they will use or misuse alcohol and/or other substances.

Expenditures for Substance Abuse Prevention and Treatment

All states receive federal funds for substance abuse prevention through the Substance Abuse Prevention and Treatment Block Grant (SABG) administered by the Substance Abuse and Mental Health Services Administration (SAMHSA). Exhibit 1 shows the sources that Rhode Island used for expenditures on substance abuse prevention and treatment in 2019. As indicated, other federal funds and SABG funds account for the largest sources (43.6 percent and 41.8 percent, respectively).³

States submit Behavioral Assessment and Plan reports that include their priorities for use of SABG funds, as well as planned expenditures. For FY 2018–2019, Rhode Island designated reducing use, misuse, and abuse of alcohol and other drugs among youth ages 12 to 17 as the number one priority for use of SABG funds.⁴

Exhibit 1: Sources of Rhode Island’s 2019 Expenditures for Substance Abuse Prevention and Treatment



³ WebBGAS State Profile, 2019 SABG and Community Mental Health Block Grant (MHBG) Reports – Rhode Island 2019.

⁴ FY 2018/2019 – (Rhode Island) 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 Rhode Island'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 26 underage drinking prevention policies have been identified as best practices (or as promising practices suitable for ongoing evaluation) and fall into four categories:

1. Laws addressing minors in possession of alcohol;
2. Laws targeting underage drinking and driving;
3. Laws targeting alcohol suppliers; and
4. Laws affecting alcohol pricing.

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:

1. Enforcement programs to promote compliance with underage drinking laws and regulations.
2. Programs targeted to youth, parents, and caregivers to deter underage drinking.
3. State interagency collaborations to implement prevention programs, best-practice standards, collaborations with tribal governments, and participation in underage drinking media campaigns.
4. State expenditures on the prevention of underage drinking.

Laws Addressing Minors in Possession of Alcohol

Underage-Possession	
Is underage possession of alcoholic beverages prohibited?	Yes
Are there exceptions based on family relationships?	
• Is possession allowed if parent or guardian is present or consents?	No
• Is possession allowed if spouse is present or consents?	No
Is there an exception based on location?	No

Underage-Consumption	
Is underage consumption of alcoholic beverages prohibited?	No law
Are there exceptions based on family relationships?	
• Is consumption allowed if the parent or guardian is present or consents?	N/A
• Is consumption allowed if the spouse is present or consents?	N/A
Is there an exception based on location?	N/A

Underage-Internal Possession	
Is underage internal possession of alcoholic beverages prohibited?	No law
Are there exceptions based on family relationships?	
• Is internal possession allowed if the parent or guardian is present or consents?	N/A
• Is internal possession allowed if the spouse is present or consents?	N/A
Is there an exception based on location?	N/A

Underage-Purchase and Attempted Purchase	
Is the purchase of alcoholic beverages prohibited?	Yes
May youth purchase for law enforcement purposes?	Yes

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?	Yes
Retailer Support Provisions	
Is there an incentive for the retailer to use electronic scanners for information digitally encoded on valid IDs?	No
Are state driver's licenses for persons under 21 easily distinguishable from licenses for persons 21 and over?	Yes
May retailers seize apparently false IDs without fear of prosecution even if the ID is ultimately deemed valid?	Yes
Does an affirmative defense exist for the retailer?	Yes

• Is it a specific affirmative defense (retailer reasonably believed ID was valid after examining it)?	Yes
• Is it a general affirmative defense (retailer reasonably believed purchaser was over 21)?	No
Does the retailer have the right to sue the minor for use of a false ID?	No
May a retailer detain a minor who used a false ID?	No

Laws Targeting Underage Drinking and Driving

-Youth Blood Alcohol Concentration Limits (Underage Operators of Noncommercial Motor Vehicles)	
What is the maximum blood alcohol concentration (BAC) limit for an underage driver of a motor vehicle?	0.02%
Does a BAC level in excess of limit automatically establish a violation (per se violation)?	Yes
What is the minimum age to which the limit applies?	Not specified
What is the maximum age to which the limit applies?	21

Loss of Driving Privileges for Alcohol Violations by Minors (“Use/Lose” Laws)–For Possession	
Is there a “use/lose” law that suspends or revokes a minor’s driving privileges for alcohol violations?	Yes
What types of violation lead to license suspension or revocation?	
• Purchase of alcohol	No
• Possession of alcohol	Yes
• Consumption of alcohol	No
The law applies to people under what age?	21
Is suspension or revocation mandatory or discretionary?	Mandatory
What is the length of suspension/revocation?	
Minimum number of days	60
Maximum number of days	60

Graduated Driver’s Licenses	
Learner Stage	
What is the minimum age for permit to drive with parents, guardians or other adults (other than instructors)?	16
What is the minimum number of months driver must hold learner permit before advancing to intermediate stage?	6
What is the minimum number of hours of driving with parents, guardians or adults before advancing to intermediate stage?	50 (10 of which must be at night)
Intermediate Stage	
What is the minimum age for driving without adult supervision?	16 years, 6 months
For night driving, when does adult supervision requirement begin?	1:00 AM
Can law enforcement stop a driver for night driving violation as a primary offense?	Yes, officer may stop driver for night driving violation
Are there restrictions on passengers?	Yes, no more than one passenger under 21, unless an immediate family or household member

Can law enforcement stop driver for violation of passenger restrictions as a primary offense?	Yes, officer may stop driver for passenger restrictions violation
License Stage	
What is the minimum age for full license privileges and lifting of restrictions?	17 years, 6 months

Laws Targeting Alcohol Suppliers

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

Compliance Check Protocols	
Does the state have a written protocol for when an underage decoy is used in compliance checks?	No data
What is the minimum age a decoy may be to participate in a compliance check?	N/A
What is the maximum age a decoy may be to participate in a compliance check?	N/A
Are there appearance requirements for the decoy?	N/A
Does decoy carry ID during compliance check?	N/A
May decoy verbally exaggerate his or her actual age?	N/A
Is decoy training mandated, recommended, prohibited, or not specified?	N/A

Penalty Guidelines for Sales to Minors	
Are there written guidelines for penalties that are imposed on retailers for furnishing to a minor?	No data
What is the time period for defining second, third and subsequent offenses?	N/A
What is the penalty for the first offense?	N/A
What is the penalty for the second offense?	N/A
What is the penalty for the third offense?	N/A
What is the penalty for the fourth offense?	N/A

Responsible Beverage Service (RBS)–Voluntary	
Is there a state law pertaining to Beverage Service Training?	Yes–Voluntary
If training is mandatory, who must participate?	N/A
If training is voluntary, which of the following incentives are offered?	

• Defense in dram shop liability lawsuits	Yes
• Discounts in dram shop liability insurance, license fees, or other	No
• Mitigation of fines or other administrative penalties for sales to minors or intoxicated persons	No
• Protection against license revocation for sales to minors or sales to intoxicated persons	No
Does the RBS law apply to on-premises establishments (such as bars and restaurants) or off-premises establishments (such as liquor stores)?	Not specified
Does the RBS law apply to new or existing licensees?	Not specified

Minimum Ages for Sellers of Alcohol – Off-Premises (i.e., Liquor Stores)

What is the minimum age requirement for off-premises retail establishments?	
Beer	18
Wine	18
Spirits	18
Does a manager or supervisor have to be present?	No

Minimum Age for Alcohol Servers and Bartenders – On-Premises (i.e., Restaurants and Bars)

What is the minimum age requirement for servers in on-premises establishments?	
Beer	18
Wine	18
Spirits	18
What is the minimum age requirement for bartenders in on-premises establishments?	
Beer	18
Wine	18
Spirits	18
Does a manager or supervisor have to be present?	No

Distance Limitations Applied to New Alcohol Outlets Near Universities, Colleges, and Primary and Secondary Schools

Colleges and Universities	
Is there a distance requirement for off-premises outlets (i.e., liquor stores)?	No
Is there a distance requirement for on-premises outlets (i.e., restaurants and bars)?	No
To which alcohol products does requirement apply?	N/A
Primary and Secondary Schools	
Is there a distance requirement for off-premises outlets (i.e., liquor stores)?	No
Is there a distance requirement for on-premises outlets (i.e., restaurants and bars)?	Yes, within 200 feet.

To which alcohol products does requirement apply?	Beer, Wine, Spirits
Notes: There are numerous exceptions for specific locations within cities and towns.	

Dram Shop Liability	
Does a statute create dram shop liability?	Yes
Does the statute limit damages that may be recovered?	No
Does the statute limit who may be sued?	No
Does the statute limit elements or standards of proof?	No
Does common law dram shop liability exist?	No
Notes: R.I. Gen. Laws § 3-14-12 includes a responsible beverage service defense.	

Social Host Liability	
Does a statute create social host liability?	No
Does the statute limit damages that may be recovered?	N/A
Does the statute limit who may be sued?	N/A
Does the statute limit elements or standards of proof?	N/A
Does common law social host liability exist?	Unclear

Prohibitions Against Hosting Underage Drinking Parties	
Does a statute prohibit hosting underage drinking parties?	Yes
Is the statute specific to underage parties, or a general prohibition against permitting underage drinking on the property?	General
What action by underage guest triggers a violation?	Consumption
Property type covered by the law?	Residential/Outdoor
What level of knowledge by the host is required?	Knowledge: Host must have actual knowledge of party
Does host’s preventive action protect him/her from being held liable?	No
Are there any exceptions for underage guests?	Yes – Family members

Retailer Interstate Shipments of Alcohol	
Are out-of-state retailers prohibited from sending interstate shipments to in-state consumers?	
Beer	Prohibited
Wine	Prohibited
Spirits	Prohibited

Direct Shipments/Sales	
May alcohol producers ship directly to consumers?	No
What alcohol types may be shipped?	N/A
Must purchaser make mandatory trip to producer before delivery is authorized?	N/A
Age verification requirements	
Must the producer/shipper verify purchaser’s age before sale?	N/A
Must the common carrier (deliverer) verify age of recipients?	N/A

State approval/permit requirements	
Must the producer/manufacturer obtain state license or permit?	N/A
Must the common carrier (deliverer) be approved by a state agency?	N/A
Recording/reporting requirements	
Must the producer/manufacturer record/report purchaser's name?	N/A
Must the common carrier (deliverer) record/report recipient's name?	N/A
Shipping label requirements	
Must the label state "Package contains alcohol"?	N/A
Must the label state "Recipient must be 21 years old"?	N/A

Keg Registration	
How is a keg defined (in gallons)?	Undefined
Prohibitions	
Is it illegal to possess an unregistered or unlabeled keg and if so, what is the penalty?	No
Is it illegal to destroy the label on a keg, and if so, what is the penalty?	Yes (Maximum fine/jail, \$500)
What purchaser information is collected?	
Must the retailer collect the name and address?	Yes
Must the retailer collect the ID number, name and address on license or other government information?	Yes
Must the retailer collect the address at which keg will be consumed?	No
Must warning information be given to purchaser?	Yes, passive (requires no action by purchaser)
Is a deposit required?	No
Does law cover disposable kegs?	No
Notes: No particular volume or range of volumes is specified for kegs in Rhode Island.	

Home Delivery	
Is home delivery of alcohol permitted?	
Beer	Yes
Wine	Yes
Spirits	Yes

High-Proof Grain Alcohol Beverages	
Are there restrictions on the sale of high-proof grain alcohol beverages?	No
Are restrictions based on Alcohol by Volume (ABV)?	N/A
Are there exceptions to restrictions?	N/A

Laws Affecting Alcohol Pricing

Alcohol Taxes	
Beer	
Control system for beer?	No
Specific excise tax per gallon for 5% alcohol beer	\$0.11
Ad valorem excise tax (for on-premises sales) on total receipts for 5% alcohol beer	
Wholesale tax rate (if applicable)	N/A
Retail tax rate (if applicable)	N/A
If retail tax rate applies, is there an exemption from general sales tax?	No
<ul style="list-style-type: none"> • General sales tax rate 	Not relevant
<ul style="list-style-type: none"> • 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)	N/A
Retail tax rate (if applicable)	N/A
If retail tax rate applies, is there an exemption from general sales tax?	No
<ul style="list-style-type: none"> • General sales tax rate 	Not relevant
<ul style="list-style-type: none"> • Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax) 	Not relevant
Additional taxes for 3.2 – 6% alcohol beer if applicable	
Wine	
Control system for wine?	No
Specific excise tax per gallon for 12% alcohol wine	\$1.40
Ad valorem excise tax (for on-premises sales) on total receipts for 12% alcohol wine	
Wholesale tax rate (if applicable)	N/A
Retail tax rate (if applicable)	N/A
If retail tax rate applies, is there an exemption from general sales tax?	No
<ul style="list-style-type: none"> • General sales tax rate 	Not relevant
<ul style="list-style-type: none"> • 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)	N/A
Retail tax rate (if applicable)	N/A
If retail tax rate applies, is there an exemption from general sales tax?	No
<ul style="list-style-type: none"> • General sales tax rate 	Not relevant

<ul style="list-style-type: none"> Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax) 	Not relevant
Additional taxes for 6 – 14% alcohol wine if applicable	
Spirits	
Control system for spirits?	No
Specific excise tax per gallon for 40% alcohol spirits	\$5.40
Ad valorem excise tax (for on-premises sales) on total receipts for 40% alcohol spirits	
Wholesale tax rate (if applicable)	N/A
Retail tax rate (if applicable)	N/A
If retail tax rate applies, is there an exemption from general sales tax?	No
<ul style="list-style-type: none"> General sales tax rate 	Not relevant
<ul style="list-style-type: none"> Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax) 	Not relevant
Ad valorem excise tax (for off-premises sales) on total receipts for 40% alcohol spirits	
Wholesale tax rate (if applicable)	N/A
Retail tax rate (if applicable)	N/A
If retail tax rate applies, is there an exemption from general sales tax?	No
<ul style="list-style-type: none"> General sales tax rate 	Not relevant
<ul style="list-style-type: none"> Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax) 	Not relevant
Additional taxes for 15 – 50% alcohol spirits if applicable	

Low-Price, High-Volume Drink Specials	
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	Yes
Increased volume without increase in price	Yes

Wholesaler Pricing Restrictions	
Beer	
Are volume discounts to retailers allowed?	No law
Must wholesalers establish a minimum markup or maximum discount for each product sold to retailers?	No law
Must wholesalers publicly post and hold (i.e., not reduce) prices for a set period of time?	No law

Is wholesaler permitted to extend credit to retailer and if so, what is the maximum time period?	No law
Wine	
Are volume discounts to retailers allowed?	No law
Must wholesalers establish a minimum markup or maximum discount for each product sold to retailers?	No law
Must wholesalers publicly post and hold (i.e., not reduce) prices for a set period of time?	No law
Is wholesaler permitted to extend credit to retailer and if so, what is the maximum time period?	No law
Spirits	
Are volume discounts to retailers allowed?	No law
Must wholesalers establish a minimum markup or maximum discount for each product sold to retailers?	No law
Must wholesalers publicly post and hold (i.e., not reduce) prices for a set period of time?	No law
Is wholesaler permitted to extend credit to retailer and if so, what is the maximum time period?	No law

Rhode Island State Survey Responses

State Agency Information

Agency with primary responsibility for enforcing underage drinking laws:

There is no single state agency in Rhode Island responsible for enforcing laws designed to prevent underage drinking. The Department of Behavioral Healthcare, Developmental Disabilities and Hospitals (BHDDH) has primary responsibility for administering programs designed to prevent/reduce underage drinking. Enforcement actions are conducted by 38 municipal police departments, the Rhode Island State Police, and the Rhode Island Attorney General in accordance with Rhode Island General Laws.

Enforcement Strategies

State law enforcement agencies use:

Cops in Shops	No
Shoulder Tap Operations	No
Party Patrol Operations or Programs	No
Underage Alcohol-Related Fatality Investigations	Yes

Local law enforcement agencies use:

Cops in Shops	Yes
Shoulder Tap Operations	Yes
Party Patrol Operations or Programs	Yes
Underage Alcohol-Related Fatality Investigations	Yes

State has a program to investigate and enforce direct sales/shipment laws	Don't know
Primary state agency responsible for enforcing laws addressing direct sales/shipments of alcohol to minors	Not applicable
Such laws are also enforced by local law enforcement agencies	Not applicable

Enforcement Statistics

State collects data on the number of minors found in possession	Yes
Number of minors found in possession ¹ by state law enforcement agencies	0
Number pertains to the 12 months ending	12/31/2018
Data include arrests/citations issued by local law enforcement agencies	Yes
State conducts underage compliance checks/decoy operations ² to determine whether alcohol retailers are complying with laws prohibiting sales to minors	Yes
Data are collected on these activities	Yes
Number of retail licensees in state ³	1,921
Number of licensees checked for compliance by state agencies (including random checks)	0
Number of licensees that failed state compliance checks	Not applicable
Numbers pertain to the 12 months ending	12/31/2018
Compliance checks/decoy operations conducted at on-sale, off-sale, or both retail establishments	On-sale establishments only
State conducts random underage compliance checks/decoy operations	Don't know
Number of licensees subject to random state compliance checks/decoy operations	Not applicable
Number of licensees that failed random state compliance checks	Not applicable
Local agencies conduct underage compliance checks/decoy operations to determine whether alcohol retailers are complying with laws prohibiting sales to minors	Yes
Data are collected on these activities	Yes
Number of licensees checked for compliance by local agencies	4
Number of licensees that failed local compliance checks	0
Numbers pertain to the 12 months ending	12/31/2018

Sanctions	
<i>State collects data on fines imposed on retail establishments that furnish to minors</i>	No
Number of fines imposed by the state ⁴	Not applicable
Total amount in fines across all licensees	Not applicable
Smallest fine imposed	Not applicable
Largest fine imposed	Not applicable
Numbers pertain to the 12 months ending	Not applicable
<i>State collects data on license suspensions imposed on retail establishments specifically for furnishing to minors</i>	Don't know
Number of suspensions imposed by the state ⁵	Not applicable
Total days of suspensions across all licensees	Not applicable
Shortest period of suspension imposed (in days)	Not applicable
Longest period of suspension imposed (in days)	Not applicable
Numbers pertain to the 12 months ending	Not applicable
<i>State collects data on license revocations imposed on retail establishments specifically for furnishing to minors</i>	Don't know
Number of license revocations imposed ⁶	Not applicable
Numbers pertain to the 12 months ending	Not applicable

Additional Clarification

1.B.1. The Rhode Island State Police generally conduct compliance inspections to determine retailer compliance with underage drinking laws; however, no inspections were conducted during the reporting period (2018).

10.1.B.2. Local law enforcement agencies conduct compliance inspections to determine whether retailers are complying with underage sales laws. A portion of these inspections are supported with funding provided by BHDDH through contracts with regional prevention coalitions. Data are collected regarding the number of BHDDH-supported compliance inspections, but disposition of the inspections is not routinely reported.

14.1.D.1. While Rhode Island does not have a specific program to investigate and enforce direct sales/shipping laws, the Office of the Attorney General has the responsibility to investigate and enforce potential violations under Rhode Island General Laws.

¹ Or having consumed or purchased per state statutes.
² Underage compliance checks/decoy operations to determine whether alcohol retailers are complying with laws prohibiting sales to minors.
³ Excluding special licenses such as temporary, seasonal, and common carrier licenses.
⁴ Does not include fines imposed by local agencies.
⁵ Does not include suspensions imposed by local agencies.
⁶ Does not include revocations imposed by local agencies.

Underage Drinking Prevention Programs Operated or Funded by the State

STOP Grant Tiverton	
Number of youth served	1,080
Number of parents served	600,300
Number of caregivers served	No data
Program has been evaluated	No
Evaluation report is available	No
URL for evaluation report:	Not applicable
URL for more program information:	No data

Program Description: Tiverton’s STOP grant seeks to decrease 30-day use of alcohol among Tiverton's youth as measured by the Rhode Island Student Survey (RISS) at the end of 9th and 11th grades. Through a combination of strategies that include policy change, youth and parent education, parent engagement, social norms campaign, and capacity building efforts, the coalition is certain that a reduction in youth use rates will be evident over the 4 years of the grant cycle. The grant specifically targets three distinct groups of youth for interventions: students transitioning from 8th grade to 9th grade, students transitioning to 11th grade, and Tiverton’s LGBTQ youth. Each

group presents a set of risk factors that will be strategically addressed. Approximately 540 youths will be involved in the interventions outlined in this proposal each year, with an estimated 1,080 individual youths being directly impacted over the four years.

Regional Prevention Task Force Coalitions	
Number of youth served	6,520
Number of parents served	114
Number of caregivers served	Unknown
Program has been evaluated	Yes
Evaluation report is available	No
URL for evaluation report:	Not applicable
URL for more program information:	https://www.ripredvention.org/
Program Description: Rhode Island Substance Abuse Prevention Act (RISAPA) is legislation that enables the funding of regional prevention task force coalitions. Seven regional coalitions represent all of the state's 39 cities and towns. Each Regional Prevention Task Force Coalition produces a needs assessment—both for the region and each municipality within the region—along with a strategic plan outlining goals and objectives. The strategic plan presents implemented strategies addressing the reduction of underage drinking, including local policy initiatives (environmental strategy) and public education (information dissemination). The number of individuals touched by these activities is collected within our enhanced prevention data collection system.	

Student Assistance Program	
Number of youth served	1,338
Number of parents served	405
Number of caregivers served	Unknown
Program has been evaluated	No data
Evaluation report is available	No data
URL for evaluation report:	No data
URL for more program information:	https://www.risas.org/

Program Description: The Student Assistance Program (SAP) is a school-based prevention initiative that currently resides in 45 middle and high schools throughout Rhode Island. Although SAP initiatives work to prevent underage drinking, they are not funded exclusively for this purpose. In Rhode Island, we use federal dollars to support alcohol compliance surveys and activities; these are carried out by local law enforcement.

Additional Underage Drinking Prevention Programs Operated or Funded by the State

Program description: No data

Additional Clarification

No data

Additional Information Related to Underage Drinking Prevention Programs

<i>State collaborates with federally recognized tribal governments in the prevention of underage drinking</i>	Yes
Description of collaboration: The Rhode Island Substance Abuse Prevention Act (RISAPA) Regional Prevention Task Force Coalition in the southern part of the state (Region 7 South County Region), serves the communities of Charlestown, Richmond, and Hopinkinton. The coalition has been working with the Narragansett Tribe, whose land is within their service area, since 2013. It took many years to build a relationship with the tribe. Now, however, the Coalition and Tribe work together on many shared events and joint efforts, including the annual 5-day Washington County Fair, held in August of each year. Members of the Tribe volunteer on the Coalition Board and assist in prevention planning initiatives. Recently, a member of the Tribe became an Advanced Certified Prevention Specialist.	
<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: It Starts with You, Above the Influence, Project Purple	Yes
Local school district efforts:	No
Other:	No
<i>State collaborates with/participates in SAMHSA’s national media campaign, “Talk. They Hear You.”</i>	Yes
State officially endorses TTHY efforts	No
State commits state resources for TTHY	No
State forwards TTHY materials to local areas	Yes
Other:	No
<i>State procures funding for TTHY</i>	No
Pro bono	No
Donated air time	No
Earned media	No
Other:	No
<i>State has adopted or developed best practice standards for underage drinking prevention programs</i>	Yes
Agencies/organizations that established best practices standards:	
Federal agency(ies): SAMHSA	Yes
Agency(ies) within your state:	No
Nongovernmental agency(ies):	No
Other:	No
<p>Best practice standards description: BHDDH requires the use of evidence-based programs and practices by all funded prevention providers, as well as the use of the Strategic Planning Framework model. Rhode Island has also promulgated rules and regulations for the certification of prevention programs which are incorporated into contract management. A workforce development training and technical assistance plan is in place for providers to reach a minimum level of certification. In addition, BHDDH, in collaboration with the Rhode Island Prevention Resource Center, developed a Prevention Specialist Certification Guide to assist our current and recently hired workforce in obtaining the minimum required level of certification. Several other states and National Prevention Network Representatives have adopted items from the Certification Guide for their state. The link to this Guide is http://riprc.org/wp-content/uploads/2016/03/PreventionCertificationStudyGuide.pdf.</p>	

Additional Clarification

No data

State Interagency Collaboration

A state-level interagency governmental body/committee exists to coordinate or address underage drinking prevention activities Yes

Committee contact information:

Name: Gabrielle Abbate
 Email: gabrielle.abbate@dot.ri.gov
 Address: Department of Transportation, 2 Capitol Hill, Providence, RI 02903
 Phone: 401-222-6940

Agencies/organizations represented on the committee:

- Tobacco-Free Rhode Island
- Rhode Island Department of Behavioral Healthcare, Developmental Disabilities and Hospitals
- Rhode Island Department of Health
- Rhode Island Department of Corrections
- Rhode Island Department of Education
- Rhode Island Department of Children, Youth and Families
- Mothers Against Drunk Driving

Rhode Island Substance Abuse Prevention Act Regional Prevention Task Force Coalitions

- AAA
- Rhode Island State Police
- Rhode Island Student Assistance Services
- Rhode Island Municipal Police
- Substance Use Mental Health Leadership Council
- Codac Behavioral Health
- Rhode Island Communities for Addiction Recovery Efforts
- Anchor ED
- Rhode Island Motorcycle Association
- Rhode Island Hospitality Association
- LifeSpan
- Amica Insurance
- Community College of Rhode Island
- Rhode Island College
- University of Rhode Island
- Rhode Island Police Chiefs Association

<i>A website or other public source exists to describe committee activities</i>	No
URL or other means of access: Not applicable	

Underage Drinking Reports

<i>State has prepared a plan for preventing underage drinking in the last 3 years</i>	Yes
Prepared by: Rhode Island Department of Behavioral Healthcare, Developmental Disabilities and Hospitals in collaboration with the Prevention Advisory Council, a subcommittee of the Rhode Island Council on Behavioral Health. Plan can be accessed via: www.riprc.org and http://www.bhddh.ri.gov/substance_use/pdf/BHDDH%20Final%20Prevention%20Strategic%20Plan%204-12-16.pdf	

<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	12/31/2018
<i>Checkpoints and saturation patrols:</i>	
Estimate of state funds expended	\$0
Estimate based on the 12 months ending	12/31/2018
<i>Community-based programs to prevent underage drinking:</i>	
Estimate of state funds expended	\$0
Estimate based on the 12 months ending	12/31/2018
<i>K-12 school-based programs to prevent underage drinking:</i>	
Estimate of state funds expended	\$0
Estimate based on the 12 months ending	12/31/2018
<i>Programs targeted to institutes of higher learning:</i>	
Estimate of state funds expended	\$0
Estimate based on the 12 months ending	12/31/2018
<i>Programs that target youth in the juvenile justice system:</i>	
Estimate of state funds expended	\$0
Estimate based on the 12 months ending	12/31/2018

Programs that target youth in the child welfare system:

Estimate of state funds expended	\$0
Estimate based on the 12 months ending	12/31/2018

Other programs:

Programs or strategies included: Data not available	
Estimate of state funds expended:	\$0
Estimate based on the 12 months ending:	12/31/2018

Funds Dedicated to Underage Drinking

State derives funds dedicated to underage drinking from the following revenue streams:

Taxes	No
Fines	No
Fees	No
Other: Not applicable	No

Description of funding streams and how they are used:

Not applicable

Additional Clarification

Rhode Island no longer has state revenue dedicated to prevention or treatment. BHDDH exclusively uses Substance Abuse Prevention and Treatment (SAPT) Block Grant funding for Student Assistance Programs (SAPs), which utilize the evidence-based program entitled Student Assistance in a number of middle/junior and senior high schools. Student services include a SAPT Block Grant-funded, school-based initiative. Together the SAPs and the school-based initiative work to prevent underage drinking but are not funded expressly for this purpose. Rhode Island uses other federal dollars to support alcohol compliance surveys and activities carried out by local law enforcement.

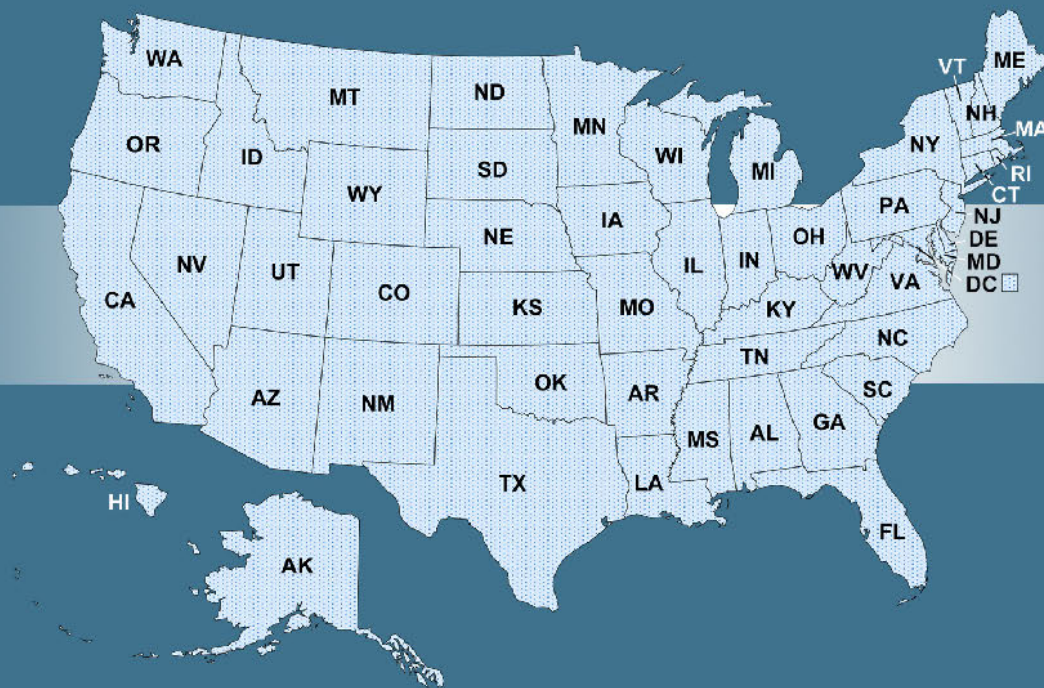


SAMHSA
Substance Abuse and Mental Health
Services Administration

VERMONT STATE REPORT

Underage Drinking Prevention and Enforcement

2020



SAMHSA
Substance Abuse and Mental Health
Services Administration

This *State Report* is required by the Sober Truth on Preventing (STOP) Underage Drinking Act (Pub. L. 109-422), which was enacted by Congress in 2006 and reauthorized in December 2016 as part of the 21st Century Cures Act (Pub. L. 114-255). The STOP Act requires an annual report “on each State’s performance in enacting, enforcing, and creating laws, regulations, and programs to prevent or reduce underage drinking.” As directed by the STOP Act, the *State Reports* were prepared by the Interagency Coordinating Committee on the Prevention of Underage Drinking (ICCPUD), which is chaired by 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 2019. Regional and state profile data were drawn from the most recently available federal survey data as of 2018. State legal data reflect the status of the law as of January 1, 2019. State survey data, collected in 2019, 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 2015 through 2018 National Surveys on Drug Use and Health (NSDUH), SAMHSA’s Center for Behavioral Health Statistics and Quality (CBHSQ), and the NSDUH special data analysis (2018). 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 served as the resource for data about alcohol-attributable deaths from 2006–10 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 2018 data used to present statistics about fatalities among 15-to 20-year-old drivers.

Recommended Citation: U.S. Department of Health and Human Services (HHS), Substance Abuse and Mental Health Services Administration (SAMHSA; 2020). 2020 *Vermont State Report – Underage Drinking Prevention and Enforcement*. Rockville, MD: SAMHSA.

Staff Chair and Point of Contact, ICCPUD:

Robert M. Vincent, MS.Ed

Public Health Analyst

SAMHSA’s Center for Substance Abuse Prevention (CSAP)

Division of Systems Development

Phone: (240) 276-1582

Email: Robert.Vincent@samhsa.hhs.gov

Vermont Governor’s Designated Contact for STOP Act State Survey:

Lori Tatsapaugh Uerz, MPH, NPN

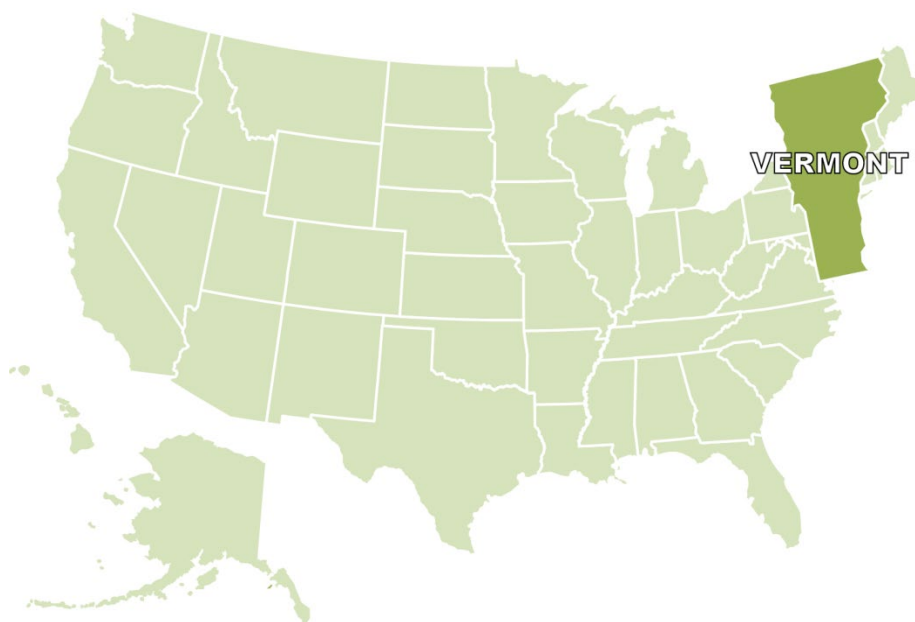
Director of Prevention Services

Vermont Department of Health

Division of Alcohol and Drug Abuse Programs (ADAP)

Phone: (802) 652-4149

Email: Lori.uerz@vermont.gov



Vermont

State Population: 626,299

Population Ages 12–20: 67,800

Past-Month Alcohol Use Among 12- to 20-Year-Olds	
Ages 12–20	
Past-Month Alcohol Use – Number (Percentage)	22,400 (33.1%)
Past-Month Binge Alcohol Use – Number (Percentage)	16,300 (24.0%)
Ages 12–14	
Past-Month Alcohol Use – Number (Percentage)	800 (3.8%)
Past-Month Binge Alcohol Use – Number (Percentage)	400 (1.9%)
Ages 15–17	
Past-Month Alcohol Use – Number (Percentage)	5,800 (26.7%)
Past-Month Binge Alcohol Use – Number (Percentage)	3,500 (16.0%)
Ages 18–20	
Past-Month Alcohol Use – Number (Percentage)	15,800 (61.9%)
Past-Month Binge Alcohol Use – Number (Percentage)	12,400 (48.6%)
Alcohol-Attributable Deaths and Years of Potential Life Lost Under the Age of 21	
Alcohol-Attributable Deaths (under 21)	6
Years of Potential Life Lost (under 21)	382
Fatal Crashes Involving a 15- to 20-Year-Old Driver With Blood Alcohol Concentration (BAC) > 0.01%¹	
Number of Fatalities Involving 15- to 20-Year-Old Driver With BAC > 0.01%	0
Percentage of All Fatal Crashes Involving a 15- to 20-Year-Old Driver	5%

¹ 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.

Substance Abuse System Overview²

The Vermont Department of Health (VDH), Division of Alcohol and Drug Abuse Programs (ADAP) is designated as Vermont's Single State Authority (SSA), with all its duties, responsibilities and authorities carried out and exercised by and within the Department of Health. By statute, ADAP is authorized to plan, operate, and evaluate a consistent, effective program of substance abuse programs, and establish a regional system of opioid addiction treatment. See Title 18: Health; Chapter 094: § 4806. Vermont Department of Health, Division of Alcohol and Drug Abuse Programs Authorities: <http://legislature.vermont.gov/statutes/section/18/094/04806>.

ADAP's mission is to prevent, reduce, and eliminate the problems caused by alcohol and drug use. ADAP supports a network of community partners to promote and deliver a wide range of substance abuse information; workforce development; prevention, intervention, and treatment; and recovery programs and services. From school-based prevention services to the Care Alliance for Opioid Addiction (Hub & Spoke) model of medication-assisted treatment, we coordinate with professionals to support healthy lifestyles for Vermonters of all ages and backgrounds.

Prevention Program

Vermont implements a comprehensive prevention program statewide, with emphasis on the Six Strategies for Prevention; for more information, visit VDH/ADAP's website: <http://www.healthvermont.gov/alcohol-drug-abuse/programs-services/how-prevention-works>.

The Regional Prevention Consultant System—Vermonters across the state have access to one of ten regional prevention consultants (PCs). These health professionals are alcohol and drug abuse prevention experts working in the 12 local health offices in Vermont. They support community efforts to lead and carry out prevention efforts. Prevention consultants are there to help with:

- Community organizing
- Program planning and consultation
- Presentations and training
- Community grants information and guidance
- Information and referral.

Regional Prevention Partnerships (RPP) is a 5-year cooperative agreement with the Substance Abuse and Mental Health Services Administration (SAMHSA). The goal of the Vermont RPP is to apply the Strategic Prevention Framework (SPF) model to reduce underage drinking, prescription drug misuse and abuse, and marijuana use among 12-to-25-year-olds across the state. It will also add the priority area of youth and young adult marijuana use that is in the spotlight due to Vermont's high rates of youth and young adult use, and the perceived influence of the legalization debate on perceptions of risk.

² Extracted from fiscal year (FY) 2018/2019—(Vermont) State Behavioral Health Assessment and Plan, Substance Abuse Prevention and Treatment Block Grant (SABG), Center for Substance Abuse Prevention (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.

The purpose of the grant is to strengthen the prevention infrastructure at state, regional, and community levels using VDH's existing health district structure as the primary mechanism to implement the RPP. With half of Vermont's District Office regions currently implementing the SPF model for underage drinking and prescription drug misuse (e.g. underage drinking policy approaches, parenting programs, electronic screening and brief intervention, community mobilization, enhanced law enforcement, and targeted media campaigns), the RPP will extend that capacity to all 12 district office areas of the state for the priority substance use targets listed above.

The long-term vision for the RPP is for a fully functioning statewide system for prevention services that is coordinated at the regional level and respectful of the regional and cultural diversity that exists across the state of Vermont. This system will build upon existing structures at the state, regional, and community levels that can support this vision. In developing the vision, the state recognizes that a community-level structure in which individual communities are funded to plan and implement their own prevention efforts is inefficient and not sustainable. The longer-term goal is to have effective regional prevention structures that collectively cover the entire state, along with centralized support and services.

Vermont has identified the following three priorities for this grant:

1. Underage and binge drinking among persons ages 12-20;
2. Prescription drug misuse and abuse among persons ages 12-25; and
3. Marijuana use among persons ages 12-25.

Expenditures for Substance Abuse Prevention and Treatment

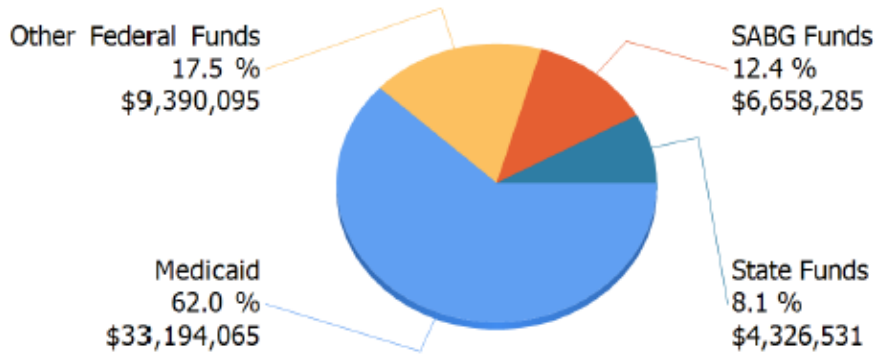
All states receive federal funds for substance abuse prevention through the Substance Abuse Prevention and Treatment Block Grant (SABG) funds administered by SAMHSA. Exhibit 1 shows the sources that Vermont used for expenditures on substance abuse prevention and treatment in 2019. As indicated, Medicaid funds and other federal funds account for the largest sources (62.0 percent and 17.5 percent, respectively).³

States submit Behavioral Assessment and Plan reports that include their priorities for use of SABG funds, as well as planned expenditures. For FY 2018–2019, Vermont designated educating parents on their role in preventing underage drinking and illicit drug use as the number one priority for use of SABG funds.⁴

³ WebBGAS State Profile, 2019 SABG and Community Mental Health Block Grant (MHBG) Reports – Vermont 2019.

⁴ FY 2018/2019 – (Vermont) 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.

Exhibit 1: Sources of Vermont's 2019 Expenditures for Substance Abuse Prevention and Treatment



State Performance: Laws, Enforcement, and Programs

As mandated by the STOP Act, this report details Vermont'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 26 underage drinking prevention policies have been identified as best practices (or as promising practices suitable for ongoing evaluation) and fall into four categories:

1. Laws addressing minors in possession of alcohol;
2. Laws targeting underage drinking and driving;
3. Laws targeting alcohol suppliers; and
4. Laws affecting alcohol pricing.

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:

1. Enforcement programs to promote compliance with underage drinking laws and regulations.
2. Programs targeted to youth, parents, and caregivers to deter underage drinking.
3. State interagency collaborations to implement prevention programs, best-practice standards, collaborations with tribal governments, and participation in underage drinking media campaigns.
4. State expenditures on the prevention of underage drinking.

Laws Addressing Minors in Possession of Alcohol

Underage-Possession	
Is underage possession of alcoholic beverages prohibited?	Yes
Are there exceptions based on family relationships?	
• Is possession allowed if parent or guardian is present or consents?	No
• Is possession allowed if spouse is present or consents?	No
Is there an exception based on location?	No

Underage-Consumption	
Is underage internal possession of alcoholic beverages prohibited?	Yes
Are there exceptions based on family relationships?	
• Is internal possession allowed if the parent or guardian is present or consents?	No
• Is internal possession allowed if the spouse is present or consents?	No
Is there an exception based on location?	No

Underage-Internal Possession	
Is underage consumption of alcoholic beverages prohibited?	No law
Are there exceptions based on family relationships?	
• Is consumption allowed if the parent or guardian is present or consents?	N/A
• Is consumption allowed if the spouse is present or consents?	N/A
Is there an exception based on location?	N/A
Notes: Although Vermont does not prohibit Internal Possession as defined by APIS, beginning on July 1, 2000, it has a statutory provision that makes it unlawful for a minor to, "consume malt or vinous beverages or spirituous liquors. A violation of this subdivision may be prosecuted in a jurisdiction where the minor has consumed malt or vinous beverages or spirituous liquors, or in a jurisdiction where the indicators of consumption are observed." Vt. Stat. Ann. tit. 7, § 657. Laws that punish minors for displaying "indicators of consumption" or for "exhibiting the effects" of having consumed alcohol, but which do so without reference to a blood, breath, or urine test, are not considered as prohibiting Internal Possession as defined by APIS.	

Underage-Purchase and Attempted Purchase	
Is the purchase of alcoholic beverages prohibited?	No law
May youth purchase for law enforcement purposes?	N/A
Notes: Vermont previously had a law that made it a crime for a minor to "procure" alcoholic beverages. Beginning on July 1, 2000, however, Vermont only prohibits minors from procuring alcohol in connection with a false representation of age. See 2000 Vt. Acts & Resolves 160. APIS does not include laws with such limitations in the Purchase policy topic.	

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?	No
Provisions Targeting Suppliers	

Is the lending or transferring or selling of a false ID prohibited?	No
Is the production of a false ID in the context of underage alcohol sales specifically prohibited?	No
Retailer Support Provisions	
Is there an incentive for the retailer to use electronic scanners for information digitally encoded on valid IDs?	No
Are state driver's licenses for persons under 21 easily distinguishable from licenses for persons 21 and over?	Yes
May retailers seize apparently false IDs without fear of prosecution even if the ID is ultimately deemed valid?	No
Does an affirmative defense exist for the retailer?	Yes
<ul style="list-style-type: none"> Is it a specific affirmative defense (retailer reasonably believed ID was valid after examining it)? 	Yes
<ul style="list-style-type: none"> Is it a general affirmative defense (retailer reasonably believed purchaser was over 21)? 	No
Does the retailer have the right to sue the minor for use of a false ID?	No
May a retailer detain a minor who used a false ID?	No
<p>Notes: Vermont has two statutes regarding affirmative defenses. First, under Vt. Stat. Ann. tit. 7, § 658, an employee of a licensee or of a state-contracted liquor agency charged with underage furnishing may plead as an affirmative defense that the employee carefully viewed specified photographic identification, that an ordinary prudent person would believe the purchaser to be of legal age to make the purchase, and that the sale was made in good faith, based upon the reasonable belief that the purchaser was of legal age to purchase alcoholic beverages. APIS has interpreted the "good faith" and "reasonable belief" requirement as providing the employee a defense for reasonable reliance on an apparently valid ID. Second, Vt. Stat. Ann. tit.7, § 602 provides that selling or furnishing to a person exhibiting "a valid authorized form of identification," which means a valid photographic operator's license, enhanced driver's license, or valid photographic nondriver identification card issued by Vermont or another state or foreign jurisdiction, a United States military identification card, or a valid passport or passport card bearing the photograph and signature of the individual is prima facie evidence of the licensee's compliance with the law prohibiting the sale or furnishing of alcoholic beverages to minors. The first provision amounts to a specific affirmative defense for state store employees and employees of retail licensees. The second provision applies to licensees and appears to provide them at least limited protection from prosecution, although the statutory language is unclear regarding how the provision is to be applied.</p>	

Laws Targeting Underage Drinking and Driving

Youth Blood Alcohol Concentration Limits (Underage Operators of Noncommercial Motor Vehicles)	
What is the maximum blood alcohol concentration (BAC) limit for an underage driver of a motor vehicle?	0.02%
Does a BAC level in excess of limit automatically establish a violation (per se violation)?	Yes
What is the minimum age to which the limit applies?	Not specified
What is the maximum age to which the limit applies?	21

-Loss of Driving Privileges for Alcohol Violations by Minors (“Use/Lose” Laws)	
Is there a “use/lose” law that suspends or revokes a minor’s driving privileges for alcohol violations?	No law
What types of violation lead to license suspension or revocation?	
• Purchase of alcohol	N/A
• Possession of alcohol	N/A
• Consumption of alcohol	N/A
The law applies to people under what age?	N/A
Is suspension or revocation mandatory or discretionary?	N/A
What is the length of suspension/revocation?	
Minimum number of days	N/A
Maximum number of days	N/A

Graduated Driver’s Licenses	
Learner Stage	
What is the minimum age for permit to drive with parents, guardians, or other adults (other than instructors)?	15
What is the minimum number of months driver must hold learner permit before advancing to intermediate stage?	12
What is the minimum number of hours of driving with parents, guardians, or adults before advancing to intermediate stage?	40 (10 of which must be at night)
Intermediate Stage	
What is the minimum age for driving without adult supervision?	16
For night driving, when does adult supervision requirement begin?	None
Can law enforcement stop a driver for night driving violation as a primary offense?	No.
Are there restrictions on passengers?	Yes, during first 3 months, restricted to driving alone or with a licensed parent, instructor or person at least 25 years old. During next 3 months, may also transport family members
Can law enforcement stop driver for violation of passenger restrictions as a primary offense?	No, officer must stop driver for another offense to cite for passenger restriction violation
License Stage	
What is the minimum age for full license privileges and lifting of restrictions?	16 years, 6 months

Laws Targeting Alcohol Suppliers

Furnishing Alcohol to Minors	
Is furnishing of alcoholic beverages to minors prohibited?	Yes
Are there exceptions based on family relationships?	

• Is furnishing allowed if the parent or guardian supplies the alcohol?	No
• Is furnishing allowed if the spouse supplies the alcohol?	No
Is there an exception based on location?	No
Affirmative Defense for Sellers and Licensees	
Does law require seller/licensee to be exonerated of furnishing to a minor if the minor has not been charged?	No

Compliance Check Protocols	
Does the state have a written protocol for when an underage decoy is used in compliance checks?	Yes
What is the minimum age a decoy may be to participate in a compliance check?	18 (Chief Investigator or Director's permission required for 17-year-olds)
What is the maximum age a decoy may be to participate in a compliance check?	20
Are there appearance requirements for the decoy?	Yes, exhibit a young adult appearance. Male: No facial hair. Female: No excessive makeup.
Does decoy carry ID during compliance check?	Required
May decoy verbally exaggerate his or her actual age?	Prohibited
Is decoy training mandated, recommended, prohibited, or not specified?	Not specified

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?	Not specified
What is the penalty for the first offense?	Letter of warning Sale/service to a 19-year-old (non-compliance check): \$500.00 fine Sale/service to 18-year-old or younger (non-compliance check): Hearing
What is the penalty for the second offense?	\$300.00 fine or 3-day suspension
What is the penalty for the third offense?	\$500 fine or 5-day suspension
What is the penalty for the fourth offense?	Hearing before the Liquor Control Board
Notes: These penalty guidelines apply only to sales to minor violations that occurred during compliance checks. There are different fine amounts for sales to minors that are not part of compliance checks.	

Responsible Beverage Service (RBS)–Mandatory	
Is there a state law pertaining to Beverage Service Training?	Yes–Mandatory
If training is mandatory, who must participate?	Licensees, Managers, Servers/Sellers
If training is voluntary, which of the following incentives are offered?	
• Defense in dram shop liability lawsuits	N/A

• Discounts in dram shop liability insurance, license fees, or other	N/A
• Mitigation of fines or other administrative penalties for sales to minors or intoxicated persons	N/A
• Protection against license revocation for sales to minors or sales to intoxicated persons	N/A
Does the RBS law apply to on-premises establishments (such as bars and restaurants) or off-premises establishments (such as liquor stores)?	Both
Does the RBS law apply to new or existing licensees?	Both

Minimum Ages for Sellers of Alcohol – Off-Premises (i.e., Liquor Stores)	
What is the minimum age requirement for off-premises retail establishments?	
Beer	16
Wine	16
Spirits	None
Does a manager or supervisor have to be present?	No
Notes: Vermont statutes and regulations are silent regarding the minimum age of seller for distilled spirits sold for off-premises consumption, which occur only in state-controlled outlets. Vermont's Liquor Control Board establishes minimum age of seller in its outlets as a matter of internal board policy.	

Minimum Age for Alcohol Servers and Bartenders – On-Premises (i.e., Restaurants and Bars)	
What is the minimum age requirement for servers in on-premises establishments?	
Beer	18
Wine	18
Spirits	18
What is the minimum age requirement for bartenders in on-premises establishments?	
Beer	18
Wine	18
Spirits	18
Does a manager or supervisor have to be present?	No

Distance Limitations Applied to New Alcohol Outlets Near Universities, Colleges, and Primary and Secondary Schools	
Colleges and Universities	
Is there a distance requirement for off-premises outlets (i.e., liquor stores)?	No
Is there a distance requirement for on-premises outlets (i.e., restaurants and bars)?	No
To which alcohol products does requirement apply?	N/A
Primary and Secondary Schools	
Is there a distance requirement for off-premises outlets (i.e., liquor stores)?	No

Is there a distance requirement for on-premises outlets (i.e., restaurants and bars)?	No
To which alcohol products does requirement apply?	N/A

Dram Shop Liability	
Does a statute create dram shop liability?	Yes
Does the statute limit damages that may be recovered?	No
Does the statute limit who may be sued?	No
Does the statute limit elements or standards of proof?	No
Does common law dram shop liability exist?	Unclear
Notes: Vt. Stat. Ann. tit. 7, § 501 includes a responsible beverage service defense.	

Social Host Liability	
Does a statute create social host liability?	Yes
Does the statute limit damages that may be recovered?	No
Does the statute limit who may be sued?	No
Does the statute limit elements or standards of proof?	No
Does common law social host liability exist?	No

Prohibitions Against Hosting Underage Drinking Parties	
Does a statute prohibit hosting underage drinking parties?	No
Is the statute specific to underage parties, or a general prohibition against permitting underage drinking on the property?	N/A
What action by underage guest triggers a violation?	N/A
Property type covered by the law?	N/A
What level of knowledge by the host is required?	N/A
Does host's preventive action protect him/her from being held liable?	N/A
Are there any exceptions for underage guests?	N/A

Retailer Interstate Shipments of Alcohol	
Are out-of-state retailers prohibited from sending interstate shipments to in-state consumers?	
Beer	Prohibited
Wine	Prohibited
Spirits	Prohibited

Direct Shipments/Sales	
May alcohol producers ship directly to consumers?	Yes
What alcohol types may be shipped?	Beer, Wine
Must purchaser make mandatory trip to producer before delivery is authorized?	No
Age verification requirements	
Must the producer/shipper verify purchaser's age before sale?	No
Must the common carrier (deliverer) verify age of recipients?	Yes

State approval/permit requirements	
Must the producer/manufacture obtain state license or permit?	Yes
Must the common carrier (deliverer) be approved by a state agency?	Yes
Recording/reporting requirements	
Must the producer/manufacture record/report purchaser's name?	Yes
Must the common carrier (deliverer) record/report recipient's name?	No
Shipping label requirements	
Must the label state "Package contains alcohol"?	Yes
Must the label state "Recipient must be 21 years old"?	Yes

Keg Registration	
How is a keg defined (in gallons)?	Equal to or more than 5.00
Prohibitions	
Is it illegal to possess an unregistered or unlabeled keg and if so, what is the penalty?	No
Is it illegal to destroy the label on a keg, and if so, what is the penalty?	Yes (Maximum fine/jail, \$1,000/2 years)
What purchaser information is collected?	
Must the retailer collect the name and address?	Yes
Must the retailer collect the ID number, name and address on license or other government information?	Yes
Must the retailer collect the address at which keg will be consumed?	No
Must warning information be given to purchaser?	Yes, active (requires an action by purchaser)
Is a deposit required?	Yes, \$25.00
Does law cover disposable kegs?	No
Notes: Although Vermont does not require a retailer to record a keg purchaser's ID number, it does require that the purchaser's name, address, and date of birth be recorded as they appear on the purchaser's identification.	

Home Delivery	
Is home delivery of alcohol permitted?	
Beer	Yes
Wine	Yes
Spirits	No law

High-Proof Grain Alcohol Beverages	
Are there restrictions on the sale of high-proof grain alcohol beverages?	Yes. In addition, 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)?	No
Are there exceptions to restrictions?	No

Laws Affecting Alcohol Pricing

Alcohol Taxes	
Beer	
Control system for beer?	No
Specific excise tax per gallon for 5% alcohol beer	\$0.27
Ad valorem excise tax (for on-premises sales) on total receipts for 5% alcohol beer	
Wholesale tax rate (if applicable)	N/A
Retail tax rate (if applicable)	10.00%
If retail tax rate applies, is there an exemption from general sales tax?	Yes
<ul style="list-style-type: none"> General sales tax rate 	6.00%
<ul style="list-style-type: none"> Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax) 	4.00%
Ad valorem excise tax (for off-premises sales) on total receipts for 5% alcohol beer	
Wholesale tax rate (if applicable)	N/A
Retail tax rate (if applicable)	N/A
If retail tax rate applies, is there an exemption from general sales tax?	No
<ul style="list-style-type: none"> General sales tax rate 	Not relevant
<ul style="list-style-type: none"> Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax) 	Not relevant
Additional taxes for 3.2 – 6% alcohol beer if applicable	
Wine	
Control system for wine?	No
Specific excise tax per gallon for 12% alcohol wine	\$0.55
Ad valorem excise tax (for on-premises sales) on total receipts for 12% alcohol wine	
Wholesale tax rate (if applicable)	N/A
Retail tax rate (if applicable)	10.00%
If retail tax rate applies, is there an exemption from general sales tax?	Yes
<ul style="list-style-type: none"> General sales tax rate 	6.00%
<ul style="list-style-type: none"> Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax) 	4.00%
Ad valorem excise tax (for off-premises sales) on total receipts for 12% alcohol wine	
Wholesale tax rate (if applicable)	N/A
Retail tax rate (if applicable)	N/A
If retail tax rate applies, is there an exemption from general sales tax?	No
<ul style="list-style-type: none"> General sales tax rate 	Not relevant

<ul style="list-style-type: none"> Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax) 	Not relevant
Additional taxes for 6 – 14% alcohol wine if applicable	
Spirits	
Control system for spirits?	Yes
Specific excise tax per gallon for 40% alcohol spirits	N/A
Ad valorem excise tax (for on-premises sales) on total receipts for 40% alcohol spirits	
Wholesale tax rate (if applicable)	N/A
Retail tax rate (if applicable)	N/A
If retail tax rate applies, is there an exemption from general sales tax?	N/A
<ul style="list-style-type: none"> General sales tax rate 	N/A
<ul style="list-style-type: none"> Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax) 	N/A
Ad valorem excise tax (for off-premises sales) on total receipts for 40% alcohol spirits	
Wholesale tax rate (if applicable)	N/A
Retail tax rate (if applicable)	N/A
If retail tax rate applies, is there an exemption from general sales tax?	N/A
<ul style="list-style-type: none"> General sales tax rate 	N/A
<ul style="list-style-type: none"> Sales tax adjusted retail tax rate (the retail tax minus the general sales tax, where there is an exemption from the general sales tax) 	N/A
Additional taxes for 15 – 50% alcohol spirits if applicable	

Low-Price, High-Volume Drink Specials	
Are on-premises retailers prohibited from offering the following types of drink specials?	
Free beverages	Yes
Multiple servings at one time	No
Multiple servings for same price as single serving	No
Reduced price for a specified day or time (i.e., happy hours)	Yes (Full Day Price Reductions not banned.)
Unlimited beverages for fixed price	No
Increased volume without increase in price	No

Wholesaler Pricing Restrictions	
Beer	
Are volume discounts to retailers allowed?	Banned
Must wholesalers establish a minimum markup or maximum discount for each product sold to retailers?	No law
Must wholesalers publicly post and hold (i.e., not reduce) prices for a set period of time?	Post and Hold (14 days)

Is wholesaler permitted to extend credit to retailer and if so, what is the maximum time period?	No
Wine	
Are volume discounts to retailers allowed?	No law
Must wholesalers establish a minimum markup or maximum discount for each product sold to retailers?	No law
Must wholesalers publicly post and hold (i.e., not reduce) prices for a set period of time?	No law
Is wholesaler permitted to extend credit to retailer and if so, what is the maximum time period?	No
Spirits	Control
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
Notes: Each licensee in a wholesale dealer's territory must receive at least one opportunity to buy beer at the changed price. Codified regulations in Vermont are not available for dates prior to January 1, 2005.	

Vermont State Survey Responses

State Agency Information

Agency with primary responsibility for enforcing underage drinking laws:

Vermont Department of Liquor and Lottery, Office of Compliance and Enforcement

Enforcement Strategies

State law enforcement agencies use:

Cops in Shops	Yes
Shoulder Tap Operations	No
Party Patrol Operations or Programs	Yes
Underage Alcohol-Related Fatality Investigations	Yes

Local law enforcement agencies use:

Cops in Shops	No
Shoulder Tap Operations	No
Party Patrol Operations or Programs	No
Underage Alcohol-Related Fatality Investigations	No

State has a program to investigate and enforce direct sales/shipment laws

Primary state agency responsible for enforcing laws addressing direct sales/shipments of alcohol to minors

Such laws are also enforced by local law enforcement agencies

Enforcement Statistics

State collects data on the number of minors found in possession

Number of minors found in possession¹ by state law enforcement agencies

Number pertains to the 12 months ending

Data include arrests/citations issued by local law enforcement agencies

State conducts underage compliance checks/decoy operations² to determine whether alcohol retailers are complying with laws prohibiting sales to minors

Data are collected on these activities

Number of retail licensees in state³

Number of licensees checked for compliance by state agencies

(including random checks)

Number of licensees that failed state compliance checks

Numbers pertain to the 12 months ending

Compliance checks/decoy operations conducted at on-sale, off-sale, or both retail establishments

State conducts **random** underage compliance checks/decoy operations

Number of licensees subject to **random** state compliance checks/decoy operations

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

Local agencies conduct underage compliance checks/decoy operations to determine whether alcohol retailers are complying with laws prohibiting sales to minors

Data are collected on these activities

Number of licensees checked for compliance by local agencies

Number of licensees that failed local compliance checks

Numbers pertain to the 12 months ending

Sanctions

State collects data on fines imposed on retail establishments that furnish to minors

Number of fines imposed by the state⁴

Total amount in fines across all licensees

Smallest fine imposed

Largest fine imposed

Numbers pertain to the 12 months ending

<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 ⁵	0
Total days of suspensions across all licensees	0
Shortest period of suspension imposed (in days)	Not applicable
Longest period of suspension imposed (in days)	Not applicable
Numbers pertain to the 12 months ending	12/31/2018
<i>State collects data on license revocations imposed on retail establishments specifically for furnishing to minors</i>	Yes
Number of license revocations imposed ⁶	0
Numbers pertain to the 12 months ending	12/31/2018

Additional Clarification

No data

¹ Or having consumed or purchased per state statutes.

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

³ Excluding special licenses such as temporary, seasonal, and common carrier licenses.

⁴ Does not include fines imposed by local agencies.

⁵ Does not include suspensions imposed by local agencies.

⁶ Does not include revocations imposed by local agencies.

Underage Drinking Prevention Programs Operated or Funded by the State

School-based Substance Abuse Services (SBSAS) Grants

Number of youth served	18,309
Number of parents served	No data
Number of caregivers served	No data
Program has been evaluated	Yes
Evaluation report is available	Yes

URL for evaluation report:

<http://www.healthvermont.gov/alcohol-drug-abuse/programs-services/prevention-programs>

URL for more program information:

<http://www.healthvermont.gov/alcohol-drug-abuse/programs-services/prevention-programs>

Program Description: The School-Based Substance Abuse Services (SBSAS) grant provides and enhances substance abuse prevention and early intervention services in Vermont schools, leading to reductions in students' alcohol and other drug use. Twenty awards, up to \$40,000 each (totaling approximately \$800,000), were made based on a competitive process that considered need, readiness, strength of proposed plan, budget, and number of students to be served. A 10 percent match in funds or in-kind services was required. For the funded services, required activities include: (1) support of Whole School, Whole Community, Whole Child (WSCC) initiatives (all 20 grantees), and (2) screening and referral to substance abuse and mental health services (all 20 grantees).

Optional activities include:

- Support of classroom health curricula.
- Advising and training of peer leadership groups.
- Delivery of parent information and educational programs.
- Delivery of teacher and support staff training.
- Delivery of educational support groups.

Regional Prevention Partnerships Grants

Number of youth served	No data
Number of parents served	No data
Number of caregivers served	No data
Program has been evaluated	Yes
Evaluation report is available	No

URL for evaluation report:	Not applicable
URL for more program information: http://www.healthvermont.gov/alcohol-drug-abuse/programs-services/prevention-programs	
Program Description: Regional Prevention Partnerships grants are a customized regional response to reduce alcohol and drug use among adolescents, teens, and young adults. This federally funded program builds on Vermont’s experience with the Strategic Prevention Framework (SPF). The SPF guides prevention programs to ensure they stay on track to make a positive change in meeting prevention program goals. The ultimate goal is to have an effective regional prevention network that will collectively cover the entire state, working with centralized support and services.	
Regional Prevention Partnerships work to:	
<ul style="list-style-type: none"> • Reduce underage drinking among Vermonters ages 12 to 20. • Reduce high-risk drinking among Vermonters ages 12 to 25. • Reduce prescription drug misuse and abuse among Vermonters ages 12 to 25. • Reduce marijuana use among Vermonters ages 12 to 25. 	

Parent Up Media Campaign

Number of youth served	No data
Number of parents served	No data
Number of caregivers served	No data
Program has been evaluated	Yes
Evaluation report is available	Yes

URL for evaluation report: <http://www.healthvermont.gov/alcohol-drug-abuse/programs-services/prevention-programs>

URL for more program information: <http://www.healthvermont.gov/alcohol-drug-abuse/programs-services/prevention-programs>

Program Description: In 2010, the Health Department’s Prevention Unit of the Alcohol and Drug Abuse Programs (ADAP) created the ParentUp campaign to educate parents about their roles and responsibilities related to the dangers of underage drinking. The campaign addresses parents of middle- and high-school students with age-specific information. In spring 2015, ADAP redesigned the website to include all substance use, not just alcohol. The overall program goals are to (1) increase parents’ awareness of their influence over whether or not their child uses alcohol or other drugs, and (2) increase the number of parents who talk with their children about substance use. ADAP partners were provided a social media toolkit to use to promote ParentUp. New this past year was the rollout of the "Embrace the Awkward" campaign, which highlighted tips for parents on starting awkward conversations with youth around substance misuse and abuse.

Additional Underage Drinking Prevention Programs Operated or Funded by the State

Program description: No data

Additional Clarification

The number reached by the media campaign reflects the state’s entire population, since it is available to all 635,000 individuals in the state.

Additional Information Related to Underage Drinking Prevention Programs

<i>State collaborates with federally recognized tribal governments in the prevention of underage drinking</i>	No recognized tribal governments
---	----------------------------------

Description of collaboration: Not applicable

<i>State has programs to measure and/or reduce youth exposure to alcohol advertising and marketing</i>	No
--	----

Description of program: Not applicable

<i>State collaborates with/participates in media campaigns to prevent underage drinking</i>	No
---	----

Federal campaigns:	Not applicable
--------------------	----------------

Regional and local media campaigns:	Not applicable
-------------------------------------	----------------

Local school district efforts:	Not applicable
--------------------------------	----------------

Other:	Not applicable
<i>State collaborates with/participates in SAMHSA's national media campaign, "Talk. They Hear You."</i>	Not applicable
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
<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
<i>State has adopted or developed best practice standards for underage drinking prevention programs</i>	Yes
Agencies/organizations that established best practices standards:	
Federal agency(ies): SAMHSA/CSAP	Yes
Agency(ies) within your state:	No
Nongovernmental agency(ies):	No
Other:	No
Best practice standards description: We utilized the federally developed evidence-based criteria for alcohol prevention programs and practices/strategies. The Health Department has an Evidence-Based Workgroup that reviews and approves all prevention strategies funded by state and federal funds to ensure compliance with the evidence-based standards and fidelity of each program/strategy.	

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

State has prepared a report on preventing underage drinking in the last 3 years No

Prepared by: Not applicable

Report can be accessed via: Not applicable

Additional Clarification

We have been without a deputy commissioner for the past 2 years; however, the position was recently filled. Her role will be to develop an interagency focus on substance misuse, including alcohol. The Division of Alcohol and Drug Abuse Programs (ADAP) is currently writing a strategic plan to address underage drinking and will be reaching out to key agency partners and stakeholders in preparing this plan.

State Expenditures for the Prevention of Underage Drinking

Compliance checks in retail outlets:

Estimate of state funds expended	Data not available
Estimate based on the 12 months ending	Data not available
<i>Checkpoints and saturation patrols:</i>	
Estimate of state funds expended	Data not available
Estimate based on the 12 months ending	Data not available
<i>Community-based programs to prevent underage drinking:</i>	
Estimate of state funds expended	\$1,600,000
Estimate based on the 12 months ending	06/30/2019
<i>K-12 school-based programs to prevent underage drinking:</i>	
Estimate of state funds expended	\$800,000
Estimate based on the 12 months ending	06/30/2019
<i>Programs targeted to institutes of higher learning:</i>	
Estimate of state funds expended	\$0
Estimate based on the 12 months ending	06/30/2019
<i>Programs that target youth in the juvenile justice system:</i>	
Estimate of state funds expended	Data not available
Estimate based on the 12 months ending	Data not available
<i>Programs that target youth in the child welfare system:</i>	
Estimate of state funds expended	Data not available
Estimate based on the 12 months ending	Data not available
<i>Other programs:</i>	
Programs or strategies included: School-based substance abuse programs, Regional Prevention Partnerships, and Parent UP	
Estimate of state funds expended:	\$1,900,000 for programs the health department funds
Estimate based on the 12 months ending:	06/30/2019

Funds Dedicated to Underage Drinking

State derives funds dedicated to underage drinking from the following revenue streams:

Taxes	No
Fines	No
Fees	No
Other: Not applicable	No

Description of funding streams and how they are used:

Not applicable

Additional Clarification

The Department of Liquor Control, Enforcement and Compliance Division budget includes funds from taxes and fees, but none are specifically earmarked for underage enforcement.

SAMHSA Publication
No. PEP21-03-11-003 Released 2021
Substance Abuse and Mental Health Services Administration



SAMHSA
Substance Abuse and Mental Health
Services Administration