

**AN ASSESSMENT  
FOR THE  
STATE OF**

**MAINE**

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*ENFORCING UNDERAGE  
DRINKING LAWS*

**EUDL** May 2-6, 2011

*Prosecution, Adjudication, Law,  
and Policy*

*Program Management*

*Prevention*

*Law Enforcement*

**Team**

*Linda L. Chezem  
Anne C. Cox  
Robert P. Lillis  
Shawn P. Walker*

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The Enforcing Underage Drinking Law (EUDL)  
Assessment, Strategic Planning, and Implementation

Initiative program goal is to  
*reduce underage drinking in selected communities by systematically implementing best or promising practices that attain the objectives of increasing the enforcement of underage drinking laws and enhancing research-based prevention planning.*

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# INTRODUCTION

## The Enforcing Underage Drinking Laws Program

### Federal Perspective

In 1998, Congress recognized the seriousness of underage drinking and related problems when it appropriated funding to encourage the enforcement of underage drinking laws throughout the country. The Enforcing Underage Drinking Laws Program (EUDL) is a \$25 million annual Federal initiative focusing on youth alcohol use. It is the only Federal initiative engaged exclusively on underage drinking problem prevention.

Administered by the Office of Juvenile Justice and Delinquency Prevention, the EUDL program has the strategic goal of reducing the availability of alcoholic beverages to underage persons. The initiative includes four programmatic elements:

- Block grants to each State and the District of Columbia to fund the establishment of a statewide task force and innovative programs to prevent underage drinking with a strong emphasis on law enforcement;
- Discretionary grants to selected States to fund enhanced activities at the local level;
- Technical assistance to guide States and communities in their efforts; and
- National evaluation of the EUDL program.

In September 2003, the Institute of Medicine and National Research Council within the National Academies of Science (NAS) released the report *Reducing Underage Drinking: A Collective Responsibility*. The report recognized the problem of underage drinking in the United States as endemic and not likely to improve in the absence of a significant new intervention. It also observed that resources have not been commensurate with the extent of the problem, and that any effort to address the problem must engage federal, state, and local governments, parents and other adults, communities, colleges, and the alcohol and entertainment industries through complimentary and reinforcing actions.

Through its training and technical assistance component, EUDL provides guidance on 18 of the 40 recommended actions identified in the NAS report as essential to reducing underage drinking in the United States. The Center engages in 13 of the 14 recommendations specific to reducing youth access to alcohol.

## **Maine Perspective**

In Maine, the Office of Substance Abuse is responsible for designing and implementing strategies to reduce underage drinking as part of its role as the entity which administers the U.S. Office of Juvenile Justice and Delinquency Prevention's Enforcing Underage Drinking Laws (EUDL) Block Grant. The EUDL Block grant supports the planning and implementation of core components that focus primarily on changing certain aspects of the environment that encourage and enable underage drinking and on increasing the effectiveness of enforcement of alcohol-related laws.

Maine's EUDL Program aims to:

- Increase the perception among youth that they will be caught by police if they use alcohol illegally;
- Decrease underage access to alcohol;
- Increase youth perceptions that their parents will catch them if they use alcohol without their permission; and
- Increase youth perceptions that adults in their community believe underage drinking is wrong.

Maine's EUDL Program focuses its efforts on three groups:

- Youth under age 21;
- Adults who provide alcohol to minors or provide places for minors to consume; and
- Law enforcement, parents, merchants, and other adults in Maine communities who can take action to prevent youth alcohol use and related high-risk behavior.

EUDL Block Grant Supported Program Activities:

- Assess and monitor the issues, needs, and resources regarding underage drinking in Maine by collecting and/or assessing data on enforcement;
- Provide law enforcement mini-grants for "Strategic Underage Drinking Enforcement" initiatives;
- Organize and staff the Underage Drinking Enforcement Task Force;
- Support the Higher Education Alcohol Prevention Partnership;
- Analyze policy options, at both state and local levels, for increasing the effectiveness of enforcement of underage drinking laws;
- Develop and provide technical assistance and trainings for law enforcement partners and community coalitions implementing environmental strategies to reduce underage drinking;
- Partner with other stakeholders on strategies to strengthen retailers' efforts to reduce underage access to alcohol;

- Support Card ME, a responsible retailing program
- Support state-wide and local compliance checks
- Oversee the implementation of the Enforcing Underage Drinking Laws Assessment, Strategic Planning, and Implementation Initiative.

**Block Grant Funding:** \$350,000 annually, broken down as follows

- \$120k for compliance checks;
- \$75k for Law Enforcement Mini-grants;
- \$120k for Higher Ed Alcohol Prevention Partnership (approx \$80k for campus support and mini-grants for prevention and enforcement and \$40k for statewide initiative staffing, training, and operating costs);
- \$5k for enforcement training;
- \$30k for additional UD enforcement and prevention supplies, training, materials, resources, services, and misc. and administrative programming costs.

**Compliance checks/postcard project**

Currently EUDL funds are being used to conduct compliance checks statewide for off-premise alcohol licensees. Each year \$120,000 is being set aside to contract with an outside organization to conduct the compliance checks. Each year approximately 1,500 out of 2,500 off-premise licensees are checked. None of the 3,000 on-premise licensees are checked under this contract. Along with funding 1,500 compliance checks a year, this money is also being used to send out postcards to all licensees who pass their check to remind them that the checks are taking place. Currently, Maine’s compliance rate is at approximately 90% and has held steady for the past three years.

**Maine’s Higher Education Alcohol Prevention Partnership**

Maine’s Higher Education Alcohol Prevention Partnership (HEAPP) seeks to reduce high-risk alcohol use and its impact upon individuals, campuses, and communities statewide. Maine strives to establish an environment that supports healthy norms and to create a unified effort within Maine’s higher education community in order to share resources, implement evidence-based strategies and advocate with one voice. Campuses are awarded mini-grants to implement environmental prevention strategies proven to work on college campuses. Approximately \$120,000 of EUDL funds are spent on this project per year.

**Law enforcement mini-grants**

Grants are awarded to law enforcement agencies to increase their underage drinking law enforcement efforts. The awards range from \$5,000 to \$7,500 per year. Agencies are expected to adopt and implement an underage drinking policy that officers must follow.

In addition, officers must attend trainings on underage drinking enforcement, and conduct details specific to underage drinking. The details could be a targeted patrol looking for parties, conducting 3<sup>rd</sup> party surveillance on local liquor licensees, looking for people 21 and over buying alcohol for youth, or being called out when a large party is found. The cost for this per year is approximately \$75,000.

### **Law enforcement training**

Trainings for law enforcement are an important part of the EUDL grant. Officers and local coalition members receive up-to-date training on underage drinking prevention and enforcement strategies from other experienced law enforcement officers. The trainings also allow the officers to network with one another, especially if they are from neighboring towns. These training opportunities also allow the Maine Office of Substance Abuse (OSA) staff to gather information to be able to plan follow up trainings or other prevention strategies. Maine budgets \$5,000 per year for training.

### **The Card ME Program**

The Card ME Program is a voluntary responsible retailing program that takes an approach to reducing retail access of alcohol to minors and visibly intoxicated persons. The program provides managers and store owners with free tools to help set norms and expectations around selling alcohol in their stores. It is intended to make it more difficult for underage and visibly intoxicated persons to obtain alcohol from liquor licensees. Card ME provides licensees with encouragement and positive reinforcement for their responsible retailing efforts, and builds stronger community norms around limiting alcohol availability to underage and visibly intoxicated persons.

The Program provides:

- ❑ Free information on responsible retailing practices;
- ❑ Tools to assess and address strengths and weaknesses; and
- ❑ Suggestions for no cost to low cost changes that can help reduce the risk of violating state liquor laws.

The funds spent on this program vary from year to year, but go towards printing materials and cover the cost of trainings for the local coalitions who are implementing the program with their local licensees.

Staffing levels for Maine's EUDL program: 0.5 FTE (state-funded) 1 FTE (contracted – Federally Funded)

## **I. Program Management and Strategic Planning**

An effective EUDL program requires strong commitment by the states and communities. Other elements of a good EUDL program are dedicated leadership, strategic planning, program management, and an effective communication program. While federal funds cannot be used to promote policy development, sound policy development is an essential component of a comprehensive approach. The leadership should have the ability to create an inclusive synergy to address the program needs as well as adequate time to focus on programmatic needs. Program efforts should be data driven and science based. Criteria for choosing programs to implement and replicate should include a strong theoretical framework and independent evaluations determining the program's success. Programs and activities should focus on underage drinking—including the adults who supply the alcohol to youth—guided by problem identification, and they should be carefully managed and monitored for effectiveness. Adequate resources should be devoted to the problem. An assessment by independent experts should support EUDL program policy development and strategic planning processes.

### ***A. State and Local Coalitions***

State and local subdivisions should convene Enforcing Underage Drinking Laws (EUDL) coalitions and foster leadership, commitment, and coordination among all parties interested in the EUDL program. A statewide coalition should be convened following each EUDL assessment to develop a statewide strategic plan for implementing the assessment recommendations and to oversee its implementation.

Coalitions should:

- enjoy active support and participation from the highest levels of leadership in the agencies and communities;
- include members who represent all interested parties, both traditional and nontraditional, such as representatives of: government—alcohol beverage enforcement, law enforcement, juvenile and criminal justice, public health, and driver licensing and education agencies—and of representatives of business (employers and unions); the military; medical and health care organizations; and multicultural, faith-based, advocacy, youth, and other community groups;
- recommend goals and objectives, provide policy guidance, identify available resources, and develop leveraging opportunities;

- coordinate programs and activities to ensure that they complement rather than compete with each other. If the state funds local programs, their goals and objectives should cascade from the state’s goals and objectives; and
- operate continuously, based on clear authority and direction. It is desirable that the state-level “Underage Drinking Law Enforcement Coalition” be established by law.

### **Descriptive Narrative**

There are approximately 30 community coalitions in Maine working on underage drinking issues. Twenty-six of the 30 coalitions are Healthy Maine Partnership (HMP) coalitions and represent Maine’s eight public health districts. In 2007 a new public health infrastructure was created as a partnership between the Maine Center for Disease Control, OSA, and Maine Department of Education using Funds for Healthy Maine, Strategic Prevention Framework - State Incentive Grant (SPF-SIG) and various other funding sources in much of which is directed to other health issues, e.g. diabetes and cancer. Maine’s SPF-SIG has ended and now OSA uses its SAMHSA Block grant to fund the substance abuse activities implemented by the HMP’s. Fund for Healthy Maine funding is currently and regularly in jeopardy of the legislature reallocating to fill gaps in the state budget. The instability of funding and lack of workforce sustainability at the local level impairs the rapport among key partners such as law enforcement. In addition, the loss of experienced staff leads to reduced understanding of the culture of law enforcement.

The statewide Underage Drinking Task Force was re-established in August 2010 as a result of receiving the Enforcing Underage Drinking Laws Discretionary Grant. Maine previously had a state task force focused on underage drinking that was dissolved as other funding priorities developed. There are a total of 32 key stakeholders from a variety of sectors serving on the task force. Several important sectors, such as judicial, faith community, military, health care system and youth are not represented on the task force. Although there are five tribal communities located in Maine, tribal members are not represented on either the state task force or any community coalitions. Communities surrounding the tribes however report multiple issues with underage drinking.

The task force will assist in the creation of a state strategic plan to address underage drinking enforcement and assist in providing a level of cohesion to underage drinking prevention efforts through the coordination of state-level strategies, sharing of resources and encouraging policy and practice changes at the local level.

The framework of the statewide task force could provide identification of shared goals and objectives. Providing current research from national organizations and resources allows coalition and community members alike to approach decision makers and public officials with the best information available on underage drinking prevention and youth access to alcohol.

### **Key Action Step**

I.A-1. Engage additional key stakeholders in local and statewide underage drinking task force and coalition prevention efforts in order to build long-term relationships that enhance local and state efforts to leverage resources and opportunities and identify needs.

#### **Critical Element**

Engage judicial sector, faith community, tribal leaders, military, health care system and youth with the EUDL Task Force through initial one-on-one meetings.

### **Key Action Step**

I.A-2. Create a process for visioning and articulating statewide policy, enforcement, and media advocacy goals that would allow local communities to match their identified needs with the latest research and evidence-based practices.

#### **Critical Elements**

Create work groups around policy issues, enforcement operations, and media advocacy goals in order to bring consensus to statewide prevention priorities.

Establish a research and statistics work group to gather current statewide data to present to the work groups as they identify coordinated statewide goals.

### **Key Action Step**

I.A-3. Leverage the existing structures of Healthy Maine Partnerships and Drug Free Communities coalition to implement EUDL strategies.

#### **Critical Element**

Collaborative efforts within the coalitions are important assets however funding sources have been reduced or eliminated. Caution must be taken to assure that funds from the EUDL Discretionary and Block Grants are used exclusively for enforcing underage drinking laws and not to sustain the coalitions or other activities of the coalition.

## ***B. Strategic Planning***

States should develop and implement an overall plan for short and long-term activities to prevent underage drinking. The plan should:

- be based on careful problem identification that uses police stops, juvenile custody, arrests, convictions, emergency room admissions, and other available data to identify the populations and geographic areas most at risk.
- allocate resources for EUDL programs that are most likely to be effective and measurable, focusing on the populations and geographic areas most at risk.
- include measurable short-term objectives and long-range goals to prevent and reduce underage drinking.
- Following each EUDL assessment, states should develop or update a statewide strategic plan focused on implementing the assessment recommendations. A statewide leadership team should be convened and charged with overseeing their implementation.

### **Descriptive Narrative**

Underage drinking poses significant harm to youth in the form of traffic crashes, sexual assaults, truancies, homicides, unplanned pregnancies, suicide, poor school performance, unintentional injury, alcohol poisoning and strained family relationships. Problem identification and resource allocation assist a community in laying a solid foundation for putting an effective plan in place and sustaining it over time.

When looking at available local and statewide data, it is important to identify how youth access alcohol and how community leaders might create goals, objectives, and strategies to prevent underage drinking as well as address the result of youthful consumption.

The planned EUDL process is to utilize the statewide strategic plan created in 2000, the Healthy Maine Partnerships plans and Strategic Prevention Framework -State Incentive Grant (SPF-SIG) strategic plans, as well as recommendations from the Assessment Team to prepare a strategic plan. The existing logic model will need to be expanded because it does not start with measurement of the extent and nature of the underage drinking problem. The expansion of the logic model is further discussed in section VI.A.

The Maine's Underage Drinking Law Enforcement Task Force was established by bringing together Maine state partners engaged in reducing underage drinking, thus setting the foundation in place for greater planning capacity. The goal is to have this group create the state's EUDL strategic plan.

The Maine Youth Integrated Health Survey is conducted in schools throughout the state. Youth survey data are readily available. The Higher Education Alcohol Prevention Partnership (HEAPP) also conducts a survey with the college population. Challenges with the 18-20 year-old population include collecting data in areas where colleges exist from community youth not attending college and collecting data on social sources of alcohol. Compliance check results, OUI arrests, and some county-level data are also available for use by the coalitions and the state. Juvenile justice data are not readily available due to a combination of lack of entry to the system and a very high rate of diversion out of the judicial system. A more thorough inventory of existing local and state data and data systems needs to be completed.

Community coalitions are responsible for assessing their communities and developing their own local strategic plan. All of the HMP's have had SPF-SIG funding and model their plan after the Strategic Prevention Framework model. There has not been a statewide strategic plan on underage drinking law enforcement developed since 2000. Refer to section VI.B for discussion of critical data elements for strategic planning.

### **Key Action Step**

I.B-1. Create a revised and expanded logic model with greater detailed analysis of the extent and the nature of the underage drinking problem. See figure VI.A-2.

#### **Critical Elements**

Convene a data access work group to engage members of state and local organizations that collect and house underage drinking data elements.

Develop an expanded logic model for the strategic plan.

### **Key Action Step**

I.B-2. Convene work groups around policy issues, enforcement operations, and media advocacy goals in order to bring consensus around statewide prevention priorities.

#### **Critical Element**

Convene a research and statistics work group to gather current statewide data to present to the work groups as they identify coordinated statewide goals.

### **Key Action Step**

I.B-3. Provide technical assistance to coalitions in order to identify environmental strategies that address their local community needs.

### **Critical Elements**

Institute a plan with the coalitions to implement environmental strategies in the communities.

Offer assistance to coalitions in identifying environmental prevention strategies.

### ***C. Program Management***

State governors designate a lead agency with responsibility for overall EUDL program management and operations. That agency should establish procedures to ensure that EUDL program activities are implemented as intended. The procedures should provide for systematic monitoring and review of ongoing efforts to:

- ensure that appropriate data are collected to assess program impact and evaluation.
- measure progress in achieving established goals and objectives.
- detect and correct problems quickly.

### **Descriptive Narrative**

Maine has dedicated leadership at the program management level. Maine had many local and state-level agencies or organizations willing to share their perspective on challenges and successes at reducing underage drinking and enforcing underage drinking laws.

The Office of Substance Abuse (OSA) is the designated state agency that receives the EUDL funding. The EUDL program is housed in the OSA Prevention Division which consists of six team members. A part-time EUDL State Coordinator oversees the EUDL Block Grant. OSA has contracted out with Maine Association of Substance Abuse Programs (MASAP) to manage the EUDL Assessment Strategic Planning Implementation Initiative (ASPII) Discretionary Project. The Program Manager for the ASPII EUDL Grant is experienced in the underage drinking prevention field and has been working contractually under the EUDL Block Grant. Fiscal and plan implementation responsibility will remain with MASAP, the sub-contractor, while OSA and the EUDL State Coordinator will maintain ultimate responsibility for the EUDL ASPII Grant. The EUDL State Coordinator and the EUDL ASPII Program Manager work as a team. The Program Manager is responsible for program implementation and collection of required data for reporting to Office of Juvenile Justice and Delinquency Prevention (OJJDP). The EUDL State Coordinator is responsible for reports and communication with OJJDP. OSA contracts for the state-level evaluation of the EUDL ASPII Project.

There is not a defined process in place to track implementation of strategies, to measure progress toward achieving goals and objectives, or to quickly identify and address problems.

### **Key Action Step**

I.C-1. Revise and clearly define specific job functions of both the program manager and the State EUDL Coordinator as it relates to the EUDL ASPII project after the creation and adoption of the strategic plan.

#### **Critical Element**

Identify the staffing needs of the statewide effort and assign specific job roles and responsibilities of the staff members responsible for the EUDL ASPII project.

### **Key Action Step**

I.C-2. Define a process to track implementation of strategies to measure progress, quickly identify and address problems, and facilitate evaluation.

#### **Critical Elements**

Outline a tracking system for statewide strategies with time lines for activity completion and expected outcomes.

Define staff roles related to addressing problems and completing activities.

## ***D. Resources***

States should allocate sufficient funding, staffing, and other resources to support their EUDL programs that are:

- adequate to meet program needs and proportional to the underage drinking problem.
- steady and derived from dedicated sources, which may include public or private funds.

### **Descriptive Narrative**

As states and communities assess the resources currently available to address the underage drinking problem in their area, it is of benefit to determine what already exists and to avoid any duplication of efforts. Communities should assess their current resources dedicated at reducing underage drinking and enforcing underage drinking laws.

Communities should avoid duplicating services and must not apply EUDL funds to anything that is not an enforcing underage drinking laws activities.

Maine's Office of Substance Abuse dedicates EUDL Block Grant funding to the following:

- \$120k for compliance checks;
- \$75k for Law Enforcement Mini-grants;
- \$120k for Higher Ed Alcohol Prevention Partnership (approx \$80k for campus support and mini-grants for prevention and enforcement and \$40k for statewide initiative staffing, training, and operating costs);
- \$5k for enforcement training; and
- \$30k for additional Enforcement of Underage Drinking Laws and prevention supplies, training, materials, resources, services, and misc. and administrative programming costs.

The Strategic Prevention Framework Grant ended in June 2010. Coalitions (HMP's) that received funds under the SPF-SIG Grant are currently receiving reduced funds from OSA to continue some of the work of the SPF Project. Fund for Healthy Maine funds are in jeopardy of being reallocated by the legislature fill gaps in the state budget.

OSA must ensure that community coalitions do not utilize the EUDL ASPII Discretionary Grant to supplant or replace funds or support pre-existing activities. Instead, community coalitions should utilize a resource inventory and the strategic planning process to identify priority areas and appropriate activities to enforce underage drinking laws.

Maine must develop a statewide EUDL strategic plan focusing on environmental strategies for underage drinking law enforcement.

OSA also dedicates resources for communities to utilize on underage drinking through their Information Resource Center. They provide a variety of print materials such as brochures, videos and posters.

The following are examples of OSA resources related to underage drinking:

- MaineParents – [www.MaineParents.net](http://www.MaineParents.net) is a website hosted by OSA that gives parents information on how to find out more information about how to prevent underage drinking and how to do more at home, in schools and in communities;

- Parents Who Host, Lose the Most -- The *"Parents Who Host, Lose The Most: Don't Be A Party To Teenage Drinking"* is a public awareness campaign. The campaign objectives are to educate parents about the health and safety risks of serving alcohol at teen house parties and to increase awareness of and compliance with the Maine Underage Drinking Laws; and
- Project Sticker Shock -- The Sticker Shock Campaign is designed to reach adults who might purchase alcohol legally and provide it to minors. Stickers warning about the penalties for furnishing alcohol to minors are placed on all multi-packs of beer, wine coolers, and other alcohol products that might appeal to underage drinkers.

### **Key Action Step**

I.D-1. Develop a coordinated statewide EUDL Strategic Plan in order to allow the required environmental strategies of the local coalitions to enhance and flow from the larger plan.

#### **Critical Element**

Provide local coalitions a list of environmental strategies as identified in the EUDL Strategic Plan with the intention that those strategies will complement existing community enforcement operations and resources.

### ***E. Data and Records***

States should establish and maintain juvenile and criminal records systems that provide underage drinking data. States also should access data from other sources (e.g., U.S. Census, Crash Outcome Data Evaluation System [CODES]) to fully inform the program. (For further details about data and records, see section VI.B.)

### **Descriptive Narrative**

The Administrative Office of the Courts (AOC) is the lead agency in development of Maine Justice Information System II (MEJIS II) that will integrate the Violations Bureau (VB) system into MEJIS. MEJIS II will allow electronic transfer and integration of all court cases. This project was scheduled to start in June 2010 and while this may provide a centralized repository of citations and their adjudications, it is not apparent that the planning considered the needs of users beyond the courts' judicial and business processing requirements. It appears that data from the courts does not include the data about those under age 18 who are cited into the Juvenile Community Probation Office

and have their cases handled informally. There is no central data repository on underage drinking law violations for those under 18.

The Maine Uniform Crime Report for 2009 indicates that there were 1,271 juveniles arrested for violation of liquor laws. These include, “those released without having been formally charged.” However, it was determined that approximately 2,500 juveniles were referred to Juvenile Community Probation Officers and approximately 45% of these were diverted from the courts. Furthermore, the current reports do not allow separating specific charges, e.g. possession, furnishing.

The Community Epidemiology Surveillance Network (CESN) is a multi-agency work group organized by the State of Maine Office of Substance Abuse (OSA) in the Department of Health and Human Services. CESN is based on a national model from the National Institute on Drug Abuse (NIDA) that studies the spread, growth and development of substance use in Maine and its communities. The CESN aims to provide updated trend reports twice a year. However, CESN currently does not include any specific underage drinking law enforcement data elements.

The Maine Office of Substance Abuse (OSA) received funding from the federal Substance Abuse and Mental Health Services Administration (SAMHSA) to perform epidemiological work as part of the Strategic Prevention Framework State Incentive Grant (SPF-SIG). However, SPF-SIG has finished its funding.

To better address the need for statewide information about substance use and abuse, the CESN and SPF- SIG joined efforts in 2008. The following agencies have provided data and resources to support these efforts:

- Maine Center for Disease Control
- Maine Department of Public Safety – Office of the State Fire Marshall
- US Drug Enforcement Agency
- Portland Department of Public Health
- Northern New England Poison Control Center
- Maine Health and Environmental Testing Laboratory
- Maine Health Data Organization
- Maine Department of Transportation
- Maine National Guard
- Higher Education Alcohol Prevention Programs
- Maine Office of Substance Abuse.

The network is a multi-agency work group which studies the spread, growth and development of drug abuse in Maine and its communities. Network members contribute information they routinely collect. Also, qualitative data is collected from a variety of key informants to particularly identify emerging trends. The CESN meets periodically to assess information from the multiple sources comprising the network and draw conclusions about drug abuse. This provides an opportunity to add elements related to underage drinking law enforcement.

According to the 2006 Traffic Records Assessment, Maine initiated a Traffic Records Coordinating Committee (TRCC) in 1994. In 2006, the core of the TRCC included the Department of Transportation (DOT), Maine Bureau of Health Statistics (MeBHS), Crash Outcome Data Evaluation System (CODES), the VB, Bureau of Motor Vehicles (BMV), State Emergency Medical Services (EMS), National Highway Traffic Safety Administration (NHTSA) and the medical community. The TRCC operates under a mutually-agreed-upon charter, vision statement, and memorandums of agreement among the responsible agencies.

The TRCC functions at three levels. The Executive level is composed of the heads of the primary organizations including Commissioner of the Department of Public Safety (DPS), Commissioner of the DOT, State Court Administrator for the Judicial Branch, and the Secretary of State. The management-level group is co-chaired by representatives from Maine State Police and Bureau of Highway Safety. Members include representatives from DOT, Maine VB, Maine Injury Prevention Program, the Bureau of Motor Vehicles, Maine Chiefs of Police Association, Maine Sheriffs' Association, and Maine EMS. There are also working groups/subcommittees which are formed for the projects approved by the TRCC.

Maine Health Data Organization (MHDO) was established by the Maine Legislature in 1996 as an independent executive agency to collect clinical and financial health care information and to exercise responsible stewardship in making this information accessible to the public. MHDO policy is established by a twenty-one member board that represents health care providers, payers and consumers. Data sets available from MHDO include:

- Unrestricted Hospital Discharge Inpatient Data - Available from 1980 through 1st quarter 2009;
- Restricted Hospital Discharge Inpatient Data - Available from 1980 through 1st quarter 2009;

- Practitioner Identifiable Data Elements for Restricted Hospital Discharge Inpatient Data - Available from 1980 through 1st quarter 2009;
- Unrestricted Hospital Outpatient Data - Available from 1998 through 2008;
- Restricted Hospital Outpatient Data - Available from 1998 through 2008;
- Practitioner Identifiable Data Elements for Restricted Hospital Outpatient Data - Available from 1998 through 2008;
- Unrestricted Hospital Emergency Department Data - Available from 2000 through 2008;
- Restricted Hospital Emergency Department Data - Available from 2000 through 2008;
- Practitioner Identifiable Data Elements for Restricted Hospital Emergency Department Data - Available from 2000 through 2008;
- Unrestricted Hospital Ambulatory Services and Non-hospital Ambulatory Services - Available from 1990 through 2000;
- Restricted Hospital Ambulatory Services and Non-hospital Ambulatory Services - Available from 1990 through 2000;
- Claims Data - Available from 2003 through 1st quarter 2008;
- Quality Data - Available from 2005; and
- Hospital Financial Data - Available from 2005.

The Maine Youth Drug and Alcohol Use Survey (MYDAUS) was conducted every other year until 2008. In 2009, MYDAUS was replaced by the Maine Integrated Youth Health Survey (MIYHS). The MIYHS is a joint effort of Office of Substance Abuse (OSA), the Department of Health and Human Services, Maine Center for Disease Control and Prevention (DHHS-Maine CDC), and the Department of Education. The MIYHS covers a broad array of health topics, including substance use, unintentional injury, suicide/depression, physical activity and nutrition, and sexual behaviors, and includes a module administered to parents of kindergarten children or third graders, a module for 5/6 th graders and four modules each for 7/8th graders and high school students. The MIYHS was last administered in February of 2011.

Maine was one of the first states to develop automated record linkage of statewide police crash files to statewide medical data files. In 1992, these efforts were formalized with the development of the national Crash Outcomes Data Evaluation System (CODES) project. The Maine CODES project is a collaborative effort of several state agencies and private organizations. Currently the Maine Health Information Center (MHIC) is funded by NHTSA to organize and work on the project. The Maine Office of Data, Research, and Vital Statistics (ODRVS) links data files with the assistance from the MHIC.

The Maine CODES Advisory Committee includes representatives from each of the state agencies that supply data files to the project and additional members interested in highway safety and injury prevention.

At least one local coalition, the 21 Reasons Coalition in Portland, has completed an extensive local needs assessment that utilized a variety of data sources including:

- Law Enforcement Statistics under a Memorandum of Understanding between 21 Reasons and the Portland Police Department.
  - Underage drinking enforcement data, 2003-present, including violations issued for alcohol possession by a minor, furnishing alcohol to a minor, and furnishing a place for a minor to consume alcohol (collected and reviewed at least annually).
  - Compliance rate data, 2007-present, including the number of establishments that failed liquor laws compliance checks conducted by the Portland Police Department.
- Qualitative Data.
  - Key informant interviews. One-on-one meetings with community leaders from key stakeholder groups, conducted by 21 Reasons staff and volunteers (Ongoing).
  - Community Opinion Survey 2009. This 22 question survey was conducted by 21 Reasons with the participation of 421 people, including 98 youth, 78 parents, and 162 teachers and school administrators. This was a follow up survey to our Community Prevention Survey in 2006. This six question community opinion survey was conducted by 21 Reasons and One Maine One Portland with the participation of 705 people, including 380 youth.
  - Young Adult Intercept interviews, 2009. These interviews were conducted by 21 Reasons staff and volunteers with 30 young adults (ages 21-25) in Portland in late summer 2009 in order to gauge this age group's knowledge of risks related to excessive drinking as well as the legal risks of furnishing alcohol to minors.
  - Non-profits Events Survey, 2009. Portland, Maine is home to almost 1000 non-profits according to IRS 990 filings in 2008. In order to assess their alcohol policies, knowledge of risk, and use of alcohol in their events, 21 Reasons conducted an online survey during the spring of 2009 via email and mail invitation to 185 organizations. We received 54 responses, for a response rate of 29%.
  - Alcohol Pricing and Promotions Media Assessment, 2009. 21 Reasons staff conducted a scan of local media outlets for references to low alcohol

pricing and promotions, glamorization of high risk and illegal drinking, as well as ads for illegal drinking activities such as drinking games (e.g. beer pong).

### **Key Action Step**

I.E-1. Utilize multiple data sets to conduct Enforcement of Underage Drinking strategic planning and evaluation.

#### **Critical Elements**

Inventory sources of data.

Engage in collaborative efforts to include the information about underage drinkers in data collection and management systems in health, law enforcement, education and justice systems in Maine.

### ***F. Communication Program***

States should develop and implement a comprehensive communication program that supports EUDL priority policies and program efforts. (For further details about the communication program, see Section IV.)

#### **Descriptive Narrative**

It is unclear how communication between local coalitions occurs. Community coalitions receive regular communication on substance abuse prevention via listserves from the Office of Substance Abuse and Maine Alliance to Prevent Substance Abuse (MAPSA). There does not appear to be a mechanism in place for coalitions to communicate with each other. Several conferences take place in the state for substance abuse preventionists which allow for some networking. There is nothing focused specifically on enforcement of underage drinking laws.

### **Key Action Step**

I.F-1. Develop a plan for sharing of information and resources specific to enforcing underage drinking laws.

#### **Critical Element**

Establish a communication channel for local coalitions to communicate with the state task force and with other local coalitions.

## **II. Prevention**

### ***A. Responsible Alcohol Service***

States should promote policies and practices that prevent the drinking of alcoholic beverages by persons younger than 21 years old. For example, States should:

- adopt and enforce programs to prevent sales or service of alcoholic beverages to persons younger than age 21, including compliance checks and “shoulder tap” activities and the proper use of technology in alcohol retail establishments, particularly those catering to youth, to verify proper identification and to recognize false identification.
- provide adequate resources (including funds, staff, and training) to enforce alcohol beverage control regulations. States should coordinate with traditional state, county, municipal, and tribal law enforcement agencies to determine where underage drinkers obtained their alcohol and use this information to monitor compliance with regulations.
- promote “no alcohol service under 21” programs, and provide written policies and training.
- encourage alcohol sales and service establishments to display educational information about the minimum legal drinking age and exclusion of underage drinkers from their alcohol service.
- provide that commercial establishments and social hosts may be held responsible for damages caused by an underage patron or guest who was served alcohol.

### **Descriptive Narrative**

Maine is a control state, that is, the Maine State Department of Administrative and Financial Services Bureau of Alcoholic Beverages & Lottery Operations (BABLO) controls the pricing in Agency Liquor Stores, retail outlets for off-premise sales of distilled spirits, however they are privately operated. Maine law allows grocery stores to serve as satellite Agency Liquor Stores.

The Maine Department of Public Safety, Maine State Police, Bureau of Liquor Licensing and Compliance (BLLC) licenses retail outlets for off-premise sales of beer and wine and on-premise sale of all alcoholic beverages. On-premise license applications require municipal approval once the municipality holds a public hearing. Title 28-A §653[1B] requires applicants to advertise his or her pending application in the local/weekly

newspaper for three consecutive publications prior to the hearing date, allowing the public to voice any objection.

Retail or Off-premise license applications do not require municipal approval, if the territory in question is unorganized.

Licensed outlets may sell alcohol between 6:00 am and 1:00 am, except on Sundays when sales may occur between 9 am and 1 am.

In 2003, the Governor abolished the alcohol enforcement agent positions in the BLLC. Responsibility for liquor law enforcement was placed with the State Police with local agencies trying to assist. Law enforcement officers did not have the training needed for alcohol compliance enforcement and no new resources were allocated. It appears that after eight years, there is still a perception that enforcement capacity is lacking. It is critical to determine the extent to which there is a lack of resources, a lack of training and/or a lack of “will” to enforce liquor laws and specifically sales to minors.

In one area of the State, an alcohol enforcement team was created through a collaborative effort between agencies. This alcohol enforcement team completes compliance checks and offers programs on Saturdays to give 12-18 year olds opportunities to learn about the harmful effects of alcohol and substance abuse. This group also offers training for on-premise and off-premise licensees to discuss liquor laws, fake identifications, underage purchases and drinking, and signage. A certificate is issued upon completion of the program.

Maine has keg registration laws but does not prohibit Happy Hours or other promotions.

Maine has limited Dram Shop liability with a maximum liability of \$350,000 plus medical expenses.

Maine has social host liability limited to serving alcohol to minors.

Maine has an open container law that prohibits having any open container of alcohol in the passenger compartment of motor vehicles.

Responsible beverage training is not mandated but is available on a voluntary basis from BLLC and several private vendors. In Maine, there is no requirement for mandatory server training for employees of retail licensees. However, Maine law provides for mitigation in a civil liability case when a server can provide evidence of completion of an approved server training course. Furthermore, the state Liquor Licensing and Compliance Unit encourages businesses to provide this training to their employees. A number of

programs are available for licensees, the information for which resides on the Maine Liquor Licensing and Compliance Unit website. The Bureau Alcohol Seller/Server Informational Course (B.A.S.I.C.) is provided free of charge by the Liquor Licensing and Compliance Unit. Additionally, there are a number of other courses that are available for licensees, some certified by the state and others that are not. The Liquor Licensing and Compliance Unit maintain a list of all approved courses for use by Maine licensees. One final program that was mentioned is the Card ME program that is offered by the Maine Office of Substance Abuse (OSA) that is intended to augment approved server training programs. The focus of the Card ME program is to serve as an ongoing educational process for employees and serves as a reminder of the responsibilities of serving alcohol.

There are some local communities in Maine that work with and provide training to businesses and community groups that hire servers of alcoholic beverages. Some community coalitions and police departments conduct seller/server training within their own community as a form of outreach. One such community is Brunswick, Maine. As part of that jurisdiction's effort to address concerns related to underage drinking, officers interact with businesses and conduct trainings on a routine basis.

For many years students in Maine have been conducting Project Sticker Shock which is designed to reach adults who might purchase alcohol legally and provide it to minors. Stickers warning about the penalties for furnishing alcohol to minors are placed on all multi-packs of beer, alco-pops, and other alcohol products that might appeal to underage drinkers. The impact of the stickers is increased by media coverage of the event and by longer-lasting signs to be displayed by participating retailers. The project represents a partnership between youth, retailers, concerned parents and community members, prevention professionals, and law enforcement with the goal of educating potential furnishers, raising public awareness about underage drinking, and strengthening the deterrent effect of the law against providing alcohol to minors. In 2005, legislation was passed that requires all retail off-premise licensed establishments to post the Sticker Shock poster in their establishment.

### **Key Action Step**

II.A- 1. Assess resource needs for enforcement of liquor laws specific to underage drinking.

### **Critical Element**

Use focus groups, individual interviews and surveys to determine law enforcement knowledge and attitudes related to enforcement of underage drinking laws.

### **Key Action Step**

II.A-2. Expand the use of responsible server training.

#### **Critical Elements**

Create incentives for licensees to participate in responsible server training.

Encourage liability insurance carriers to offer discounts to clients who complete approved training.

### ***B. Community-Based Programs***

Community-based EUDL programs implement prevention strategies at the local level through a variety of settings, in partnership with alcohol beverage enforcement agencies, law enforcement, schools, employers, medical and health care professionals, and community coalitions. The goals and objectives for the community should cascade from those of the state EUDL program.

#### **B.1 Schools**

School-based prevention programs, beginning in elementary school and continuing through college and trade school, can play a critical role in preventing underage drinking. These programs should be developmentally appropriate, culturally relevant, and coordinated with health promotion programs. States should:

- coordinate with departments of education on K-12 education content about alcohol—with appropriate emphasis on the prevention of underage drinking—as part of a comprehensive health education program.
- promote alcohol-free events throughout the year, with particular emphasis on high-risk times, such as homecoming, spring break, prom, and graduation.
- establish and support student organizations that promote alcohol-free decisions, and encourage statewide coordination among these groups.

- encourage training for school personnel (such as resource officers, health care providers, counselors, health educators, and coaches) to enable them to provide information to students supporting alcohol-free decisions, and identify students who may be using alcohol.
- encourage colleges, universities, and trade schools to establish and enforce policies to reduce alcohol availability on campus; and encourage them to work with local businesses, alcohol beverage enforcement agencies, and law enforcement agencies to reduce such problems in neighboring communities.

**Descriptive Narrative**

The Maine Center for Disease Control and Prevention and the Office of Substance Abuse, Bureau of Health and Human Services sponsor the Maine Youth Drug and Alcohol Use Survey (MYDAUS) in each even numbered year. Table 2-b-1 shows the proportion of students reporting use of alcohol at least once in the 30 days prior to the survey in 2008. Overall, 25.3% of middle and high school students reported drinking. Over four in ten (44.9%) of high school seniors reported drinking.

Table 2-b-2 shows the proportion of students reporting “binge drinking,” that is, drinking five or more drinks on a single occasion at least once in the 30 days prior to the survey. More than one in four (26.2%) of high school seniors reported binge drinking.

**Table 2-b-1**                      **Maine Youth Drug and Alcohol Use Survey -2008**  
**Drank Alcohol in Prior 30 Days**

Grade	30 Days
6	5.3%
7	9.0%
8	17.0%
9	25.4%
10	32.8%
11	37.6%
12	44.9%
Total	25.3%

**Table 2-b-2**                      **Maine Youth Drug and Alcohol Use Survey -2008**  
**"Binge Drinking" in Prior 30 Days**

Grade	30 Days
6	1.8%
7	2.8%
8	6.5%
9	11.0%
10	15.9%
11	20.3%
12	26.2%
Total	12.5%

Analysis of survey responses since the year 2000 indicate that rates of drinking among youth in Maine have been declining from a high of 30.9% on 2000 to 25.3% in 2008. This is despite the increase in overall per capita consumption of alcohol.

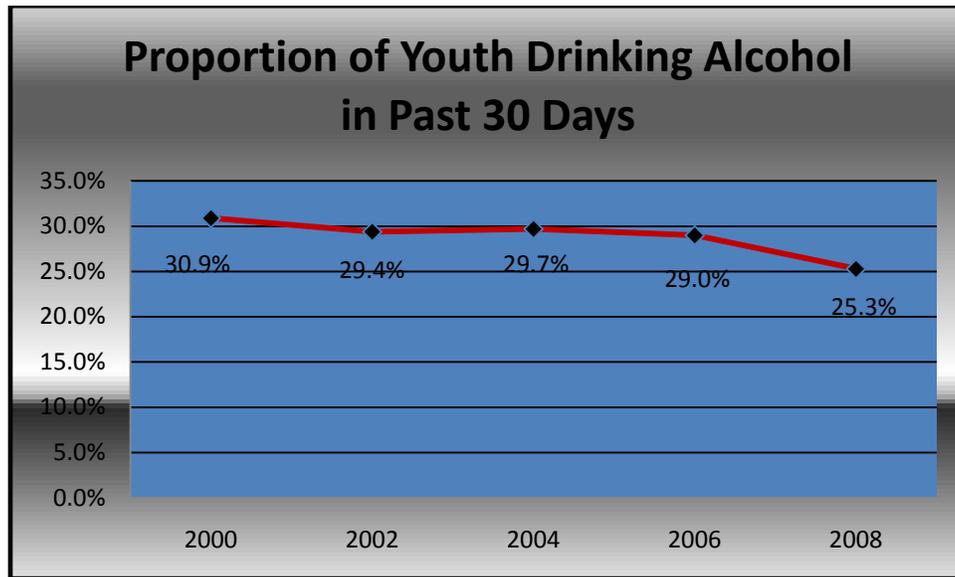


Figure: II.B-1

In 2009, MYDAUS was replaced by the Maine Integrated Youth Health Survey (MIYHS). The MIYHS is a joint effort of Office of Substance Abuse (OSA), the Maine Center for Disease Control and Prevention (DHHS-Maine CDC), and the Department of Education. The MIYHS covers a broad array of health topics, including substance use, unintentional injury, suicide/depression, physical activity and nutrition, and sexual behaviors, and includes a module administered to parents of kindergarten children or third graders, a module for 5/6 th graders and four modules each for 7/8th graders and high school students. The MIYHS was last administered in February of 2011.

In 2006 and 2008, The Maine Office of Substance Abuse (OSA) conducted a survey of parents of teens to assess attitudes and perceptions of underage drinking. Results of the survey included:

- Parents are more likely to participate in specific and ongoing monitoring behaviors than they are in specific and ongoing prevention behaviors related to their teen’s drinking alcohol.
- Most parents do not believe that their teen drinks alcohol.
- Only a minority of parents believes that teen drinking is inevitable; most think that they have the ability to influence their teen’s choices about alcohol.
- Most parents reported having a “zero tolerance” policy when it comes to their teen drinking alcohol.

- Most parents who allow their teen to drink alcohol, only do so under limited circumstances.
- Virtually all respondents indicated that they would not allow their teen's friends to drink alcohol in their home.
- Similarly, the vast majority of parents indicated that it would not be okay for other parents to serve alcohol to their teen or to provide their teen a place to drink alcohol.
- More than 90% of respondents agree that their own modeling behavior can have a strong influence over their teen's drinking behavior and that it is very important for parents to try to do as much as they can to prevent their teens from drinking alcohol.
- Parents strongly disagree with the statement that they'd rather not know if their teen is drinking because there is nothing they can do to stop it and that trying alcohol is part of growing up.
- Most respondents recognize the influence that parents' modeling behavior can have on their teen's drinking.

These findings are in strong contrast to the perceptions expressed by most EUDL partners who believe that parents are either indifferent to underage drinking or enable their teens to drink.

When the Maine State Legislature adopted the Maine Learning Results in 1996, it established learning standards for all Maine students educated at public expense. These standards identify the knowledge and skills essential to prepare Maine students for work, for higher education, for citizenship, and for personal fulfillment. In the area of health and safety, the Maine Department of Education promotes the Comprehensive School Health education approach. Comprehensive School Health Education (CSHE) includes curriculum, instruction and assessment that is sequential from kindergarten through high school and that meets the health education standards outlined in the Maine Learning Results. CSHE addresses physical, mental, emotional, and social aspects of health, and provides knowledge and skills that promote and enhance lifelong healthy behaviors.

CSHE includes ten mandated content areas:

1. community health
2. consumer health
3. environmental health
4. family life education
5. growth and development
6. personal health, including mental and emotional health
7. nutritional health

8. prevention and control of disease and disorders
9. safety and accident prevention
10. substance use and abuse prevention

Among the standards are several references to alcohol and to general safety but no specific standards for or references to underage drinking or impaired driving.

Students Against Destructive Decisions (SADD) in Lisbon High school has developed a model comprehensive program that includes: leadership training; developing, and producing and distributing media spots. SADD works with local law enforcement to implement underage drinking prevention strategies such as the "*Parents Who Host, Lose The Most: Don't Be A Party To Teenage Drinking*" public awareness campaign developed by the Ohio Drug-Free Action Alliance in 2000 to educate parents about the health and safety risks of serving alcohol at teen parties and to increase awareness of and compliance with the underage drinking laws.

However, there are few other SADD chapters in Maine.

For many years communities in Maine have been conducting Project Sticker Shock which is designed to reach adults who might purchase alcohol legally and provide it to minors. Stickers warning about the penalties for furnishing alcohol to minors are placed on all multi-packs of beer, alco-pops, and other alcohol products that might appeal to underage drinkers. The impact of the stickers is increased by media coverage of the event and by longer-lasting signs to be displayed by participating retailers. The project represents a partnership between youth, retailers, concerned parents and community members, prevention professionals, and law enforcement with the goal of educating potential furnishers, raising public awareness about underage drinking, and strengthening the deterrent effect of the law against providing alcohol to minors. In 2005, Legislation was passed that requires all retail liquor stores to post the Sticker Shock poster in their establishment.

Project Graduation was developed in Maine 30 years ago and has grown into a national model. The primary aims of Project Graduation activities are to increase awareness of the dangers of drinking, drugging and driving and to reduce the number of youth involved in alcohol and other drug-related highway crashes. Across the country, Project Graduation and the chemical-free celebrations it inspired are the new tradition for graduating seniors. In *Perspectives in Disease Prevention and Health Promotion Project Graduation- Maine*, the Centers for Disease Control and Prevention observed that "Project Graduation has become much more than an event that occurs on graduation

night. It is a communitywide planning process that strives to create a caring, supportive environment and more open communication between youths and adults."

Some schools implement evidence-based prevention programs such as Project Alert and Project Success. However, Maine has no program for providing school personnel with skills needed to accurately identify alcohol or other drug impaired at school or school activities.

Law enforcement is involved in school-based prevention efforts in several ways. In at least one community, Rockland, Maine, local law enforcement officers are an integral part of the Every 15 Minutes program. Law enforcement agencies provide periodic presentations at schools as a part of their community outreach. Communities also contract with the school divisions to have officers at particular events such as dances to assist in the prevention of underage drinking. Such programs have not been evaluated.

Some schools are using the DARE program which has components that address alcohol use by underage persons. Additionally, School Resource Officers (SRO) serve an important role in the public school system. Currently, there are approximately 38 agencies employing approximately 50 full-time SROs and there are eight agencies employing nine part-time SROs. The SRO can serve as a gateway into a school or school system that otherwise may be difficult to access with prevention programs.

Campus police from the University of Maine (UMaine) are responsible for enforcing the underage drinking laws in their community. In addition, the university has underage drinking prevention initiatives. UMaine faces many issues of residential universities and attempts to address these issues in a proactive manner. After a comprehensive review of summonses and hospitalizations last year, a program directed at first-year students living in residence halls was implemented. This program is named First Year Residential Experience (FYRE) and limits residents in specific dormitories to those less than 21 years of age and focuses upon activities that are conducted on-campus rather than those at off-campus venues. As a priority last year, the university created a residence hall liaison officer program that serves as a resource to residence hall staff. Resident Assistants and staff in the Office of Student Affairs are expected to be engaged in the prevention of underage alcohol use. The University indicated that the entire student judicial process is part of a comprehensive enforcement program.

Bowdoin College is located in the town of Brunswick, Maine and shares many issues with larger schools. The Brunswick Police Department is integrally involved with the college by assisting with training for host parties focusing on topics related to high-risk

drinking. The police department has an agreement with the college that all first offenses by students will be reported to campus security and ultimately the Dean of Students for mandatory assessment. Another program that is utilized in Brunswick involves the police department working with a local diversion program for high school students whereby an agreement is in place that upon successful completion of the program, the officer will request dismissal of charges from the District Attorney.

Maine's Higher Education Alcohol Prevention Partnership (HEAPP) is a partnership between Maine's colleges and universities and the Maine Office of Substance Abuse and other partners. The goal is to bring about long-term, systemic change in how high-risk drinking and other substance abuse issues on and around college campuses are addressed at the state and local levels. In some communities local law enforcement work with college campuses by providing education sessions during freshman orientation and setting up sobriety check points near campus roadways however, there is some concern that underage drinking enforcement is more aggressive and consequences are more vigorous on campus compared to with non-students in the same communities.

### **Key Action Step**

B.1-1. Promote the inclusion of underage drinking in the Maine Learning Results.

#### **Critical Elements**

Provide schools with accurate information related to the extent, nature and consequences of underage drinking in Maine.

Utilize law enforcement and criminal justice professionals to educate students about the legal consequences of underage drinking.

### **Key Action Step**

B.1-2. Implement Drug Impairment Training for Educational Professionals (DITEP) for school personnel.

#### **Critical Elements**

Identify schools with significant rates of underage drinking reported in student surveys and/or as evidenced by students consuming alcohol at or before school or at school events.

Qualify DITEP for Continuing Education Credit for teachers.

Create additional incentives for completing DITEP.

### **Key Action Step**

B.1-3. Sustain and expand the use of evidence-based underage drinking prevention strategies in schools.

#### **Critical Element**

Use evidence-based prevention strategies that address underage drinking and underlying risk and protective factors and develop resilient youth.

### **Key Action Step**

B.1-4. Assess parent knowledge and attitudes related to underage drinking law enforcement.

#### **Critical Element**

Conduct a survey of parents of teens to determine knowledge and attitudes related to underage drinking and underage drinking law enforcement.

### **Key Action Step**

B.1-5. Sustain and expand college underage drinking enforcement.

#### **Critical Element**

Coordinate efforts between campus police and state and local law enforcement.

## **B.2 Employers**

States should provide information and technical assistance to employers and encourage them to offer programs to reduce underage drinking by their employees and their families. These programs should include:

- how to address underage drinking.
- employee awareness and education programs about underage drinking in the family, in the community, and on the work site.
- underage drinking prevention programs for youthful employees.

## **Descriptive Narrative**

The Maine Department of Health and Human Services, Office of Substance Abuse (OSA) offers a project called Work Alert that provides employers with materials and access to resources to establish a Drug Free Workplace program including policies and procedures for dealing with impaired employees or employees with substance abuse problems. Employers are offered postcards, posters and other materials with the theme of substance abuse as a monkey on the back of troubled employees. Two different post cards address common misperceptions about workplace substance abuse. Office Worker/Monkey addresses the "my business doesn't have a substance abuse problem" and Construction Worker/Monkey confronts "what my employees do on their time is none of my business."

Materials with these themes also include display racks, radio spots, print ads and on line ads.

However, Work Alert resources do not specifically address young employees or underage drinking.

The Maine Office of Substance Abuse Information and Resource Center (IRC) houses a collection of books, videos, audiocassettes, and literature which are searchable using the online library catalog. The Substance Abuse in the Workplace - A Guide to Resources is a quick reference guide to workplace resources. Library materials are available on loan. Pamphlets, posters and handouts are also available at no cost to the public.

OSA also provides the Online Directory of Programs and Services, a searchable directory of Maine licensed treatment agencies, contracted prevention services, and Driver Education and Evaluation Program providers.

Numerous Employee Assistance Programs are available in Maine. The Maine Department of Health and Human Services, Office of Licensing and Certification - Employee Assistance Programs (EAPs) is responsible for overseeing EAP licensing/certification.

The Good Work Resource KIT was developed by the Healthy Maine Partnerships, a program of the Department of Health and Human Services, Maine Center for Disease Control and Prevention. The Good Work Resource Kit was created for use by workplace wellness teams, human resources professionals, and other personnel interested in developing low-cost ways to support employee health and productivity. The Maine

Office of Substance Abuse has developed and added a new Drug Free Workplace section covering Substance Abuse Prevention and the Workplace.

The Maine District Office of the U.S. Small Business Administration is responsible for the delivery of SBA's many programs and services to all 16 counties in the State of Maine. As an independent agency of the federal government, the SBA serves to aid, counsel, assist and protect the interests of small business concerns; to preserve free competitive enterprise; and to maintain and strengthen the overall economy of the Nation. The SBA provides contracts to the Small Business Development Centers to provide information and assistance to small businesses with respect to establishing Drug Free Work Place programs.

**Few, if any, of these resources directly address young employees and underage drinking.**

### **Key Action Step**

B.2-1. Provide employers with information and resources to address young employees' underage drinking.

#### **Critical Element**

Expand employer program materials to directly address young employees and underage drinking.

B.2-2. Provide employers with "best practices" for limiting young employees access to alcohol.

#### **Critical Elements**

Review existing research on best practices for employers limiting young employees' access to alcohol.

Develop materials describing best practices for Maine employers.

Identify incentives for employers to implement best practices for limiting young employees' access to alcohol.

Provide training for employers to implement best practices.

### **B.3 Community Coalitions**

Community EUDL coalitions provide the opportunity to conduct underage drinking prevention programs collaboratively with other interested parties at the local level. The local coalitions often offer communications toolkits for local media relations, advertising, and public affairs activities. Coalition members should include representatives of government—alcohol beverage enforcement agencies, law enforcement, criminal justice, public health, driver licensing, and education agencies; business (employers and unions); the military; medical and health care communities; multicultural, faith-based, advocacy, and other community groups; and, as appropriate, neighboring counties. States should:

- encourage communities to establish EUDL community coalitions focused on underage drinking prevention and include a wide variety of community members and leaders.
- provide general and technical information to these groups, including data on the underage drinking problem in the community and information on science-based underage drinking prevention programs.
- encourage these groups to provide support for local alcohol beverage enforcement agencies and law enforcement in their prevention efforts aimed at reducing underage drinking.
- encourage the alcohol beverage enforcement agencies and professionals such as prosecutors, judges, nurses, doctors, emergency medical personnel, law enforcement officers, and treatment professionals to serve as community spokespeople to educate the public about the consequences of underage drinking.

#### **Descriptive Narrative**

In Maine, most underage drinking prevention programs as well as many underage drinking enforcement efforts are coordinated or provided by local coalitions. These coalitions are described in section I.A.

Local Healthy Maine Partnerships and Drug Free Communities coalitions have a history of strategic planning and some are incorporated as 501(c)(3) not-for-profits, allowing them to receive grants and donations to implement and sustain prevention programs. Additionally, this status allows these organizations to serve as fiscal agents for funds to support enforcement of underage drinking laws.

Many local coalitions provide, coordinate or participate in the underage drinking enforcement and school-based prevention strategies described in section II.B-1. Some

local coalitions also offer alternative, alcohol free activities for teens. However, Healthy These coalitions will face sustainability challenges for the foreseeable future.

Current plans call for building on the capacity, collaboration and strategic plans of these coalitions to implement strategies to enforce underage drinking laws. While these coalitions certainly provide critical assets, caution must be used to assure that EUDL funds are used solely for their intended purpose.

A coalition in Portland that consists of community members, organizations, and businesses with a common goal:

*To build a healthy community environment with policies, practices, and attitudes that support the drug-free development of all youth.*

The coalition is funded with a Drug Free Communities grant. The coalition is based on a collaborative model for community-level change. Committees and action teams are supported by a broad base of community volunteers and organizational representatives. Partners include law enforcement, schools, government and service agencies, neighborhood associations, businesses, faith organizations, parents, and youth.

### **Key Action Step**

B.3-1. Leverage the resources of established community coalitions to implement strategies to enforce underage drinking laws.

#### **Critical Element**

Collaborative efforts within the coalitions are important assets however funding sources have been reduced or eliminated. Caution must be taken to assure that funds from the EUDL Discretionary and Block Grants are used exclusively for enforcing underage drinking laws and not to sustain the coalitions or other activities of the coalition.

## **III. Criminal Juvenile and Justice System**

Each state should use the various components of its criminal justice system—laws, enforcement, prosecution, adjudication, and probation—to achieve both specific and general deterrence of underage drinking. Specific deterrence focuses on individual offenders and seeks to ensure that underage drinkers will be detected, taken into custody or arrested, prosecuted, and subject to swift and appropriate sanctions. Using these

measures, the criminal justice system seeks to reduce recidivism. General deterrence seeks to increase the perception that underage drinkers will face legal consequences, discouraging individuals from underage drinking.

A multidisciplinary approach and close coordination among all components of the juvenile and criminal justice system are needed to make the system work effectively. In addition, coordination is needed among alcohol beverage enforcement agencies and the law enforcement agencies—on the state, county, and municipal levels—to create and sustain both specific and general deterrence.

### ***A. Laws***

Each state should enact underage drinking laws that are sound, easy to understand, and can be effectively enforced. The laws should clearly define the offense of underage drinking and the related offenses under the alcohol control laws; contain provisions that facilitate effective enforcement; and establish effective consequences. The offenses should include:

- possession or consumption of alcohol by any person younger than age 21.
- supplying or providing alcohol by anyone (corporate or individual) to a person younger than age 21.
- driving by persons younger than age 21 to drive with any measurable amount of alcohol (e.g., 0.02 or greater).
- possession or consumption of any open alcoholic beverage in the passenger area of a motor vehicle located on a public highway or right-of-way when anyone younger than age 21 is in the car.

Laws should include provisions to facilitate effective enforcement that authorizes:

- alcohol beverage enforcement agencies and law enforcement to conduct alcohol interdiction exercises to determine whether operators are selling to youth younger than age 21 or underage youth are buying alcohol.
- law enforcement to use proven alcohol-detection technology—including breath, blood, and saliva testing—to improve the detection of alcohol in youth.

Effective measures should include:

- youth and parent education programs about underage drinking.
- appropriate probation supervision, including abstention from use of alcohol.

- community service in a setting that helps the youth gain an understanding of alcohol risks.
- assessment of all underage drinkers for alcohol misuse problems.
- driver's license suspension for persons younger than age 21 for any repeat violation of laws involving the use or possession of alcohol.

### **Descriptive Narrative**

Maine has chosen a minimalist approach for its statutory scheme to prevent and reduce drinking by persons under 21 years of age. There is no criminal penalty for anyone who consumes alcohol in Maine regardless of age. Maine laws allow possession and use of alcohol by persons when in a home and in the presence of the minor's parent, legal guardian or custodian. When not in a home with a parent guardian or custodian, persons who are consuming alcohol or possessing alcohol and are under 18 years of age may be cited into juvenile court. These minors may not be detained or incarcerated as the consumption or possession of alcohol is not a crime for anyone over the age of eighteen. Persons of any age may transport alcohol with parental permission or in the course of their employment. Maine has decriminalized the use of alcohol for those who over the age of 18 and under the age of 21. Persons in that age group who possess or consume alcohol face only a civil penalty of two hundred to four hundred dollars on a first offense with increased penalties for subsequent offences. This is not a criminal violation.

There is no state statute making it a crime for a person of any age over 18 years to be intoxicated in public.

Maine has provided both administrative as well as criminal statutory penalties for those who sell or furnish alcohol to a minor. Maine has been strong in its deterrence of illegal sales of alcohol in spite of economic pressures and the abolishment of a statewide agency.

The state has supported the work of community coalitions around alcohol misuse. No legislative engagement was reported and these groups do not appear to have made any organized effort to review the state statutes or to inform legislators about the underage drinking issues in Maine. While there have been flyers and posters published for parent education, no indications were received about how or whether any of the educational materials were shared with legislators.

No information was received about tribal laws regarding underage drinking.

### **Key Action Step**

III.A-1. Develop statutory language for Maine:

To decrease high risk underage alcohol use in Maine by providing criminal penalties for repeat offenses as well while reserving the civil penalty for first time offenders;

To provide the use of public nuisance remedies for large underage drinking parties and forfeiture penalties; and

To expunge the records on underage alcohol offenses when the offender has reached the age of 21 with no subsequent offenses.

#### **Critical Elements**

Publish a “white paper” detailing how the above described legislation could be cost effective and improve the image of Maine as a safer place to play and work.

Engage communities across the state to help write and disseminate the white paper to knowledge leaders and opinion makers.

### **Key Action Step**

III.A-2. Identify state and local leaders to serve as champions for enforcing underage drinking laws and partner with those leaders.

#### **Critical Elements**

Identify publically recognized, respected persons who will speak for youth and youth development.

Provide information and materials about underage drinking law enforcement, not substance abuse, to these leaders for their use in education about legislation on underage drinking.

Support the champions’ appearances and participation around the state to have conversations about underage drinking law enforcement to delay the use of alcohol until age 21.

Focus on alcohol and underage drinking law enforcement and drop the confusing term substance abuse.

### **Key Action Step**

III.A-3. Maintain and enhance, when possible, legislation that supports the regulation and punishment of those adults who provide alcohol to underage drinkers.

#### **Critical Element**

Obtain and place technology to allow adequate data collection and analysis of the regulatory activities by the Maine Enforcing Underage Drinking Laws (EUDL) program management.

### **Key Action Step**

III.A-4. Increase communication and develop active cooperation with the Native American tribes so that they may be included in preventing underage drinking.

#### **Critical Element**

Engage Native Americans to develop strategies to encourage communication and cooperation.

## ***B. Enforcement***

States should conduct frequent, highly visible, well-publicized, and fully coordinated underage drinking law enforcement efforts throughout the state, especially in locations where underage drinking of alcohol most often occurs. To maximize visibility, the state should conduct periodic heightened efforts and also sustained efforts throughout the year. Both periodic and sustained efforts should be supported by publicity. To maximize resources, the state should coordinate efforts among the alcohol beverage enforcement and state, county, and municipal law enforcement agencies. To increase the probability of detection, arrest, and prosecution, participating officers should receive training in the latest underage drinking law enforcement techniques. States should:

- ensure that executive levels of each agency overseeing alcohol beverage enforcement and law enforcement—at both the state and local levels—make underage drinking law enforcement a priority and provide adequate resources.
- develop and implement a year-round underage drinking law enforcement plan (coordinated with a complementary communication plan) that includes:
- periods of heightened enforcement (e.g., three consecutive weekends over 16 days) and frequent (e.g., monthly), sustained coverage throughout the year.

- a high degree of participation and coordination among alcohol beverage enforcement agencies and state, county, municipal, and tribal law enforcement agencies, such as through law enforcement task forces.
- have alcohol beverage enforcement agencies and law enforcement professionals serve as liaisons with local chapters of police organizations and associations that represent diverse groups, helping to enhance coordination and participation, and improve collaboration of enforcement efforts.
- deploy enforcement resources based on the identification of underage drinking problems, particularly in locations where underage drinking most often occurs.
- conduct highly visible underage drinking enforcement that maximizes contact between officers and the underage drinkers and widely publicize these efforts—before, while, and after they occur.
- coordinate efforts with alcohol beverage enforcement officials (see section II.A., Responsible Alcohol Service).
- use technology to enhance law enforcement efforts (e.g., video equipment, devices to detect alcohol in breath and saliva, and mobile data terminals).
- require that alcohol beverage enforcement officers and law enforcement officers involved in enforcing alcohol laws receive state-of-the-art training in the latest law enforcement techniques and emerging technologies.
- expedite the custodial or arrest process (e.g., by reducing paperwork and processing time from the time of arrest to booking and/or release).
- measure success emphasizing quantitative data, including the level of effort (e.g., number of participating agencies, checkpoints conducted, arrests made), public awareness (e.g., of message and actual enforcement), reported change in behavior (e.g., number of underage drinkers), and outcomes (e.g., alcohol-related fatalities and injuries caused by underage drinkers).

### **Descriptive Narrative**

The state of Maine has a unique alcohol law enforcement structure. Prior to 2003, the state of Maine had a Bureau of Liquor Enforcement but the state ultimately abolished the Bureau. This abolishment seems to resonate negatively with many of our interviewees and is considered a detriment to underage alcohol enforcement in Maine. However, it has been a number of years since that action and the principles in this effort may choose to see it as an opportunity to redefine underage alcohol law enforcement in Maine.

Numerous times during interviews, the respondents indicated that this was a disadvantage to the local communities. Controlled Party Dispersal and “Furnishing” investigations were two specific operational strategies that were discussed as areas needing improvement.

The Maine Liquor Licensing and Compliance Unit is a division of the Department of Public Safety that is staffed by non-sworn persons. The unit is responsible for the issuance of all alcohol licenses in the state. This unit reports to a Lieutenant in the State Police. However, after the restructuring of the Bureau of Liquor Enforcement in 2003, the legislature allowed the Liquor Licensing Unit to contract with local police departments and Sheriffs’ Offices to conduct specific enforcement operations under a Memorandum of Understanding entered into with the Commissioner of Public Safety. There are approximately 133 municipal departments in Maine that could participate in the program. Additionally, as a benefit of being attached to the State Police, there are a number of troopers that are being trained in liquor law enforcement to assist the municipal departments that are very small with little or no resources to conduct these operations.

Despite the bureaucratic structure of the licensing and compliance unit of the state of Maine, they along with local police and Sheriffs Offices have created a very strong foundation by which underage alcohol law enforcement can be based. Many of the departments that have engaged in this type of enforcement over the previous several years have created programs that can be replicated in other communities. Given the fact that Maine is primarily a rural state, law enforcement agencies in the rural regions suffer from a lack of personnel and monetary resources.

The Lewiston, Maine Police Department, along with three other departments, is a member of the Androscoggin County Alcohol Enforcement Team (AET). The AET is responsible for conducting multijurisdictional patrols, store parking lot surveillance, off-premise liquor license compliance checks, bar checks and enhanced enforcement at special events. Officers assigned to the AET receive mandatory training on liquor laws and underage alcohol enforcement. The major success of the AET team is the relationship that was formed with the Assistant District Attorney (ADA) in the county. This relationship resulted in the ADA taking a supportive role of the AET and the ADA providing detailed guidance regarding the information required for successful prosecution should cases go to trial.

The University of Maine Police Department is instrumental in the overall policy and protocol of underage alcohol enforcement on their main campus located in Orono, Maine. The University has dormitories that are patrolled by officers on foot and those officers interact with the resident assistants and dispense with problems as they arise. The police

department is very involved with violations of student conduct and ultimately the office of judicial affairs. The University Police Department has full jurisdiction on campus and on the streets immediately adjacent to campus. Furthermore, there appears to be a provision in the law that allows University police officers to make arrests anywhere in the state of Maine. The University does not have any type of concurrent jurisdiction agreement with the town of Orono in order to assist the town in conducting underage drinking law enforcement issues related to University students living off-campus.

The town of Rockland has a population of 7,500 and is located in Knox County. The police department has taken on the project of underage alcohol law enforcement and does so aggressively. They have worked with retailers and utilized video transactions to review possible underage sales. A number of challenges were identified during this interview focusing on reduced funding, the abolishment of the state liquor law enforcement agency and parent apathy. An example was provided that described a limousine that returned some underage prom-goers to their home because of violating the no-alcohol clause in the limousine contract. As a result, parents were indignant with the limousine driver for enforcing the contract.

The town of Brunswick is home to Bowdoin College with a student population of 1,750. The police department takes a different view of the abolishment of the liquor enforcement agency. In this community, it is considered as a blessing in disguise. From 2005 to 2009, the licensed businesses in town went unchecked until the department entered into the Memorandum of Understanding with the state Liquor Licensing and Compliance Unit. The fact is that the police department, as many other local agencies did, relied heavily upon the Bureau of Liquor Enforcement to engage the license community in the town. This created a gap in the relationship between the Brunswick officers and businesses in town. Since the town police have taken an active role in underage drinking law enforcement, the officers routinely train the businesses, visit all licensed businesses at least once a month, officers have monthly meeting with all of the bars and two to four times a year conduct compliance checks on the establishments.

The Westbrook Police Department, much like the Brunswick Police Department, became much more involved in the issue of underage alcohol law enforcement when funding became available for these operations. The department became embroiled in a controversy when a School Committee member was caught hosting an underage party. The department then ran regular operations in town where six to eight officers would be detailed to work, blanketing the whole city. A beneficial result was the department held town hall meetings and even developed coalitions of their own based on the activities that were undertaken.

There are a number of other departments that have been identified as potential partners, especially in the rural areas of the state. Some of these departments include, fish and game wardens, forest rangers, Marine Patrol, United States Border Patrol, the United States Coast Guard and campus security departments. These are non-traditional partners that have been identified by the Maine Office of Substance Abuse (OSA) for partnering on task-force type of operations to aid in the areas of the state where municipal departments have limited resources.

### **Key Action Step**

III.B-1. Establish multi-agency “task forces” in order to implement enforcement programs thereby leveraging resources.

#### **Critical Elements**

Identify communities that are lacking resources or are unable to utilize available resources.

Establish a working group to identify potential operations and resource sharing.

Involve key players such as prosecutors and business licensing entities.

### **Key Action Step**

III.B-2. Establish an executive alcohol law enforcement training program in conjunction with the Maine Criminal Justice Academy. The goal is to expose as many command officers to underage alcohol law enforcement as possible.

#### **Critical elements**

Engage the Maine Criminal Justice Academy to pilot the program;

Develop approved training curriculum that is Maine specific and focuses on underage drinking law enforcement.

### **Key Action Step**

III.B-3. Develop a “Furnishing” or Source investigations training class and make it available to as many officers as possible.

#### **Critical Elements**

Review the current practices by other departments or by the Underage Drinking Enforcement Training Center and develop a training manual and model policy that can be adopted by Maine agencies.

Fund pilot locations that demonstrate a need for “furnishing” or source investigation program relating to underage alcohol law enforcement.

### **Key Action Step**

III.B-4. Provide funding for Maine agencies to attend the National EUDL conference and the National Liquor Law Enforcement annual meeting to take advantage of networking with professional organizations that provide resources specific to underage drinking law enforcement.

#### **Critical Element**

Facilitate contact with organizations, such as the National Liquor Law Enforcement Association.

III.B-5. Implement a department-to-department mentoring program to assist with incorporating practices of underage drinking law enforcement into regular operations.

#### **Critical Elements**

Identify communities that are lacking resources or are unable to utilize available resources.

Identify pilot departments to participate in this mentoring program.

Implement the plan as developed.

### ***C. Publicizing High-Visibility Enforcement***

States should actively communicate their underage drinking law enforcement efforts to increase the public’s perception of the risks of detection, detention, arrest, prosecution, dispositions, and sentencing. Publicity should be culturally relevant, appropriate to the audience, and based on market research. States should:

- focus on creating a perception of the risk of detection, detention, arrest, prosecution, sanctions, dispositions, and punishment for underage drinking.
- develop and implement a year-round communication plan that includes:
  - messages coordinated with national campaigns;
  - special emphasis during times of heightened enforcement and high-risk holiday periods (including coverage before and reports of results afterward);

- regular (e.g., monthly), sustained coverage throughout the year, using messages (or “media hooks”) that are law enforcement related;
- earned and donated advertising.
- use clear, concise messages to increase public awareness (e.g., messages that point out penalties and direct costs to the young offenders such as loss of license, lifetime arrest and conviction record, fines, court costs, lawyer fees, and insurance). For adults, the same penalties and costs apply except that the loss of a driver’s license becomes the loss of the alcohol beverage license.
- monitor and evaluate the media efforts to measure public awareness and changes in attitudes and behavior.

### **Descriptive Narrative**

The assessment team was advised by a number of law enforcement representatives of their process to publicize high-visibility underage alcohol enforcement efforts. Each agency interviewed indicated very different levels of media engagement from simply doing press releases to having active relationships with local media, both television and print, and conducting reporter ride-alongs. Office of Substance Abuse (OSA) staff related that grantee law enforcement agencies are not required, but merely encouraged, to engage media outlets in order to publicize any underage drinking law enforcement operations. These law enforcement media efforts by grantee law enforcement agencies are developing but, according to OSA staff only about 50 percent are active with the media.

### **Key Action Step**

III.C-1. Implement a comprehensive media campaign plan that will be adopted by any Maine grantee or recipient of EUDL money. It should be consistent in its format and messaging.

#### **Critical elements**

Mandate for all OSA funded EUDL law enforcement activities. Require at the minimum a media alert (lesser than full press release) for each operation and require evidence that it was prepared.

Seek technical assistance on what types of media programs are available for these operations.

Conduct media training for participating departments. No-cost opportunities for law enforcement specific media relations training are available, such as a class that the National Highway Traffic Safety Administration conducts.

Use low-cost media options. Guide departments to use social media and electronic dissemination of information related to high-visibility enforcement efforts were not already utilized.

#### ***D. Prosecution***

States should implement a comprehensive program to visibly and effectively prosecute and publicize underage drinking reduction efforts, including helping to coordinate and deliver training and technical assistance to prosecutors handling underage drinking cases throughout the state. States should:

- make juvenile and underage drinking cases a high priority for prosecution and assign these cases to knowledgeable and experienced prosecutors.
- encourage vigorous and consistent prosecution of those who provide alcohol to minors, particularly when the underage drinking results in a fatality or injury.
- provide sufficient resources to prosecute underage drinking and adult provision of alcohol cases and develop programs to retain qualified prosecutors.

#### **Descriptive Narrative**

The legislation that decriminalizes alcohol use for any person over the age of eighteen has distorted the traditional role of a district attorney as a prosecutor of criminal laws. The Maine law complicates underage drinking law enforcement in that alcohol use is a juvenile crime for those under age 18 and provides only a civil penalty for those who are 18 to 21 years of age. This means that neither juveniles nor adults may be detained or jailed for the use of alcohol. The determination of whether to adjudicate juveniles appears to belong first to the Department of Corrections. If the probation officer decides that a juvenile petition should be filed, then the case is referred for prosecution. There are no municipal or local attorneys with prosecutorial authority for the offenses related to underage drinking law violations. The district attorneys are elected by district and a district attorney may serve more than one county.

There is no full time education coordinator for the prosecutors. Training is offered each fall at the District Attorneys' statewide conference (not all of the Assistant DA's attend

due to lack of funds). The president of the Maine Prosecutors Association may coordinate the training. Some training is offered through the National District Attorney's Association and on occasion through the prosecutor's program in South Carolina. No pragmatic approaches have been developed to ensure that prosecutors who handle underage drinking cases receive state-of-the-art training. There was no discussion by any of the panels that demonstrated that the district attorneys are educated about sentencing strategies for offenders who are underage drinkers or those who provide alcohol to underage drinkers.

While not directly related to alcohol and underage drinking law enforcement, all lawyers in Maine must receive a minimum of 13 hours of Continuing Legal Education each year, including ethics training, to maintain their license to practice law. The conclusion from this information is that there is a need for a consistent and targeted education on alcohol and underage drinking law enforcement for the district attorneys and the assistant district attorneys.

### **Key Action Step**

III.D-1. Create and support a District Attorneys Committee for the improvement of the prosecution of alcohol enforcement law and underage drinking law violations.

#### **Critical Elements**

Develop and deliver education on alcohol and underage drinking law violations for the District Attorneys.

Earmark some or all of the prosecutors' deferral fees to support prosecutorial education.

### ***E. Adjudication***

When adjudicating cases involving underage drinking and the provision of alcohol to a minor, states should impose effective, appropriate, and research-based sanctions, followed by close supervision and the threat of harsher consequences for noncompliance. Each state should provide judges with the latest state-of-the-art education on underage drinking and adult sentencing for provision to minors, alternative sanctions, and emerging technologies. Enforcement and prosecution efforts are strengthened by knowledgeable, impartial, and effective adjudication.

Each state should improve case management for underage drinking law violations and ensure that personnel develop an understanding of the underage drinking problems to

speed up disposition and adjudication. Courts also should increase access to testing and assessment to help identify underage alcohol misuse and dependence problems and help prevent these individuals from re-offending. The courts also should require sentence monitoring and enforcement. Each state should:

- involve its highest court in taking a leadership role and engaging judges in effectively adjudicating underage drinking cases and ensuring that they are assigned to knowledgeable and experienced judges.
- encourage consistency in the adjudication of underage drinking offenses and the imposition of effective and appropriate sanctions.
- provide sufficient resources to adjudicate underage drinking cases in a timely manner and effectively manage dockets brought before judges.
- ensure that judges who handle underage drinking and provision of alcohol to a minor receive state-of-the-art education (such as in technical evidence), emerging technologies for the detection of alcohol, and sentencing strategies for the underage drinker and the adult provider of alcohol.
- use court strategies to reduce recidivism through effective sentencing and close monitoring. Increase the use of drug or alcohol assessments, identify offenders with alcohol misuse problems, apply effective and appropriate sentences (including abstinence from alcohol), and closely monitor compliance.
- provide probation programs with adequate staffing, training, and resources, including technological resources, to monitor and guide offender behavior.

### **Descriptive Narrative**

Maine has a unified court system with leadership from the Maine Supreme Court. Maine has specialized courts. The State of Maine is probably wise not to fragment the court system into many little courts focusing on single issues as the economy and population size would not justify the added expense. A well informed general judiciary can accomplish as much as a specialty court will accomplish if adequate resources are provided. The two courts where the issues of underage drinking law enforcement should be addressed are:

### **PROBLEM-SOLVING COURTS**

Family Drug Treatment Courts actively work with families in child protective proceedings when substance abuse is a primary problem.

## FOCUS COURTS WITHIN THE DISTRICT COURT

The Family Division's mission is to "provide a system of justice that is responsive to the needs of families and the support of their children." The Family Division promotes an accessible and timely court process for families in transition, emphasizing mediation and case management while increasing support services in the community. The Family Division is an administrative unit within the Judicial Branch, established to "work with the District Courts to monitor" specific Court dockets impacting Maine's children and families, including Child Protection, Family/Divorce, Protection From Abuse, and Juvenile cases.

Each of these courts should receive support to inform the judges and staff about the health impacts of underage drinking, the heritability of the predisposition to alcohol dependence, fetal alcohol spectrum disorders (FASD) and why the provision of alcohol to minors should be prosecuted.

The Administrative Office of the Courts (AOC) administers all of Maine's state courts. This does not include the Probate Courts, which are managed at the county level. The AOC provides support services to the court system including fiscal and personnel services, technology, planning, facilities management, grant oversight, public information, library administration, statistical reporting, training and education.

Whether Maine has developed consistency in the adjudication of underage drinking law violations and the imposition of effective and appropriate sanctions, is not easily determined because of the lack of prosecutorial consistency and the lack of a data tracking system. Judges cannot adjudicate until a case is prosecuted and only an arrest to sentence completion tracking system will provide that information.

Maine does not have any plan or program to ensure that judges who handle underage drinking law violations receive state-of-the-art education.

Probation management and staffing are responsibilities of the executive branch. Whether Maine provides adequate staffing and training for probation programs with the necessary resources, including technological resources, to monitor and guide offender behavior is not a judicial determination.

### **Key Action Step**

III.E-1. Engage the judiciary to improve the adjudication of underage drinking law violations.

## **Critical Elements**

Meet with the judicial thought leaders in Maine.

Conduct a focus group with juvenile court judges to obtain their perspectives on the management and adjudication of underage drinking.

Develop an education module that presents the state of the science of alcohol for judges.

Develop a Maine underage drinking “brief” for the juvenile court judges.

## ***F. Programs***

Each state’s driver licensing agency should conduct programs that reinforce and complement the state’s overall program to deter and prevent underage drinking, including:

- Graduated Driver Licensing (GDL) for novice drivers that includes three distinct licensing phases for young novice drivers (learner’s permit, restricted license, and unrestricted license) that
  - requires a learner’s permit for a minimum of 6 months and a total combined period of 1 year before being eligible for an unrestricted license.
  - requires that drivers practice driving with parental or adult supervision for a minimum number of hours and demonstrate safe driving practices before they may drive unaccompanied by a parent or adult.
  - requires a nighttime driving restriction and limits on the number of young passengers who may be in the vehicle during phase two.
  - provides that the permit, the restricted and unrestricted license, and licenses to drivers younger and older than age 21 be easily distinguishable.
  - provides for license suspension for drivers younger than age 21 who drive with a BAC exceeding the limit set by the state’s zero tolerance law.
- A program to prevent individuals from obtaining and using a fraudulently obtained or altered driver’s license, including training for:
  - alcoholic beverage sellers to recognize fraudulent or altered licenses and IDs and what to do with these documents and those attempting to use them.

- license examiners to recognize fraudulent documents and those seeking to fraudulently apply for them.

### **Descriptive Narrative**

The State of Maine has a comprehensive form of graduated driver's license issuance. This graduated process consists of three steps with restrictions at each step. The steps are the learner's permit, the intermediate license and the driver's license. Teens in Maine may apply for a learner's permit at the age of 15, upon completion of a state approved driver education course and must pass a vision screening and written test. In order for the permitted driver to operate a motor vehicle, they must be accompanied by a licensed driver that is a minimum of 20 years old and has held a drivers license for two consecutive years. For drivers under the age of 21, they must possess and operate a motor vehicle upon the learner's permit for a minimum of six months before applying for a road test.

When the young driver is ready to apply for a driver's license, if that driver is less than 18 years of age, the State of Maine will issue an intermediate license. This intermediate license comes with a number of restrictions upon the driver that consist of passenger restrictions, hours of operation restrictions, cellular phone usage restrictions and the intermediate license must be held for 180 days.

Upon successful completion of the intermediate license timeframe, a driver may be issued a drivers license with the following conditions. The applicant must be a minimum 16 years of age, satisfied all testing requirements, and minimum 35 hours daytime and nighttime driving, and what is unique in the state of Maine is the issuance will be provisional for the first two years. If a driver violates specified laws while driving under a provisional driver's license, the Secretary of State will suspend that license for time periods prescribed in the law.

The use of fraudulent ID by underage persons to gain access to alcohol was identified as a problem for both law enforcement and licensed businesses. One difficulty that was identified in Maine when dealing with false identification, the licensee liability law allows for licensees to hold licenses they suspect as being fraudulent for such period of time as to ascertain whether the identification is fraudulent or not. Licensees often times will seek out local police departments to aid in this determination but will often be left with the IDs due to the fact that many officers do not take custody of fraudulent identification cards that are left at licensed establishments. This creates a dilemma for licensees who, once they determine validity, maintain custody of the fraudulent identification and are then violating the law themselves. The penalties for possessing a false identification range from a fine to a criminal conviction that results in serving time

in jail dependent upon the facts of the case. This seems to be a consistent trend all over the country.

### **Key Action Step**

III.F-1. Explore pilot program to have juvenile judges participate in a licensing ceremony in which the judges can provide education on underage alcohol use along with traffic safety issues to new drivers and a parent.

#### **Critical Elements**

Determine if there is a restriction in the law that would preclude this practice.

Partner with BMV and the Maine Office of Traffic Safety to identify a willing juvenile judge to participate.

Research other states that use this practice to aid in establishing this program for use by juvenile judges.

### **Key Action Step**

III.F-2. Implement a program by which departments may apply for training and/or the purchase of equipment in order to be able to detect false identification thereby limiting access by underage persons to alcoholic beverages.

#### **Critical Elements**

Obtain the most current and relevant training and state-of-the-art equipment.

Provide grant funds for departments to obtain both training and equipment.

### **Key Action Step**

III.F-3. Implement a process to remove accumulated fraudulent identification from public circulation, develop a process to aid local law enforcement and licensed businesses in lawfully disposing of fraudulent IDs abandoned at licensed establishments.

#### **Critical Elements**

Identify a jurisdiction to pilot test a program for the disposal of accumulated fraudulent IDs.

Research legal concerns around the disposal of accumulated fraudulent IDs.

Identify a legally acceptable method of disposal of accumulated fraudulent IDs.

## **IV. Communication Program**

States should develop and implement a comprehensive EUDL communication program that supports priority policies and program efforts. Communication strategies should be directed at preventing underage drinking and reducing the risk of alcohol-related injury, death, and the resulting medical, legal, social, and other costs. Communications should highlight and support specific EUDL program activities underway in the community and be culturally relevant and appropriate to the audience. States should:

- use a EUDL communications strategy that focuses principally on increasing knowledge and awareness, changing attitudes, and influencing and sustaining appropriate behavior.
- adopt a comprehensive marketing approach that coordinates elements like media relations and public affairs/advocacy.
- use data and market research to identify specific audience segments to maximize resources and effectiveness.
- develop and implement a year-round EUDL communication plan that includes:
  - policy and program priorities
  - messages coordinated with national campaigns;
  - special emphasis during holiday periods and other high-risk times throughout the year, such as New Year’s, the Fourth of July, Labor Day, Halloween, prom season, and graduation
  - appropriate use of core-message platforms that emphasize underage drinking, enforcement, and personal responsibility—and with messages that are culturally relevant and linguistically appropriate
  - capturing earned and donated media
  - key alliances with private and public partners
  - evaluation and survey tools.
- direct communication efforts at populations and geographic areas at highest risk or with emerging underage drinking problems, and be creative in encouraging media coverage, using a variety of messages or “hooks” (such as inviting reporters to ride-along with alcohol beverage enforcement agencies and law enforcement officers and observing under-cover liquor law enforcement

operations). OJJDP FY 2010 EUDL Assessment, Strategic Planning, and Implementation Initiative 29 OMB No. 1121-0329 (Approval expires 02/28/13)

- encourage communities, businesses, and others to financially support and participate in EUDL communication efforts to extend their reach, particularly to populations in geographic areas at highest risk.

### **Descriptive Narrative**

The Office of Substance Abuse Prevention Division has developed some media messaging to address underage drinking. OSA currently contracts with a media company to create TV ads and radio spots targeting parents on underage drinking. A website link for parents that provides talking points with your adolescent and a parent kit is also available. Table Talks is another tool created for use by the Healthy Maine Partnerships (HMP's) and coalitions across the state to engage parents in meaningful dialog about the effects of alcohol and underage drinking. The HMP's use these tools for communications with parents. Law enforcement however, indicated parental apathy and community norms of underage drinking being a rite of passage continues to be a major issue in many communities.

Media advocacy informs the community of the specific issues with underage drinking and creates support for law enforcement. Media advocacy can also help to shift the perception that youth will not be caught by law enforcement for underage drinking. Media is an important component to complement effective strategies such as underage drinking law enforcement. Law enforcement agencies receiving EUDL Block Grant funds for law enforcement operations are encouraged to do media advocacy but are not required. Approximately one-half of the current EUDL-funded law enforcement agencies implement media advocacy. This has led to inconsistent media advocacy and messaging across the state on enforcement efforts.

Several local community coalitions have used various media tools. One example is a community coalition that created a video to demonstrate the possibilities that can occur with underage drinking. There is not currently a mechanism in place to share effective communication tools or strategies amongst community coalitions. It also did not appear that resources among state agencies were always being shared. Participation of state agencies in the Underage Drinking Enforcement Task Force could help with resource identification and sharing.

It did not appear that EUDL project had a communication plan with clear strategies. With the numerous compliance check and party patrol operations occurring throughout the state and the resources that have already been created and are in place, a strategic,

well-defined communication plan would be useful. This would include using appropriate media channels in communities such as the use of Op Ed pieces, letters to the editor, and the use of social network options (Facebook, blogs, Twitter, etc.).

OSA has created print brochures that would aid in educating the judicial system and community at large on the dangers and consequences of drinking at a young age.

### **Key Action Step**

IV-1. Establish a coordinated statewide communication plan to enhance the impact of enforcement efforts and policy initiatives as identified in the Enforcing Underage Drinking Laws Strategic Plan.

#### **Critical Elements**

Develop relationships with media at the state and local level.

Share resources for underage drinking communication campaigns with local communities on a regular basis.

Provide mechanism for coalitions to share underage drinking law enforcement resources with each other.

Add training on media advocacy to law enforcement trainings.

Require law enforcement agencies engaged in EUDL funded details to utilize media advocacy.

Identify messages to support underage drinking law enforcement efforts based around key times of the year, e.g., prom, graduation, and holidays.

Create talking points for law enforcement to use when talking with parents on the dangers associated with underage drinking accumulated fraudulent IDs.

### **Key Action Step**

IV-2. Utilize existing resources to educate sectors of the community such as parents, judicial partners and law enforcement on the dangers associated with youth alcohol use.

#### **Critical Element**

Educate judicial system and law enforcement officers on the dangers associated with youth alcohol use utilizing existing resources created by the Office of Substance Abuse.

## **V. Alcohol Use**

Each state should encourage its employers, educators, justice system, and health care professionals to implement a system to identify and intervene with underage drinkers. Although the EUDL program has neither been mandated nor funded to address the critical issues of treatment and rehabilitation, for a small group of underage drinkers these services are very important. The treatment of alcohol dependence resources are located in the health agencies and other agencies that receive the funding for such services.

### **Screening and Assessment**

Each state should encourage its employers, educators, and health care professionals to have a systematic program to screen and/or assess youth to determine whether they have an alcohol use disorder and, as appropriate, briefly intervene or refer them for appropriate treatment. EUDL, while not funded to provide such services, should encourage year-round screening and brief intervention by medical and health providers.

### **Descriptive Narrative**

Screening Brief Intervention Referral and Treatment (SBIRT) is a proven technique for identifying individuals with alcohol or other substance abuse problems in a variety of settings. All level I trauma centers are required to implement SBIRT programs. Maine has one Level I trauma center. Professionals from the center have promoted the use of SBIRT in other medical facilities. It is not known if trauma centers in Maine use SBIRT with patients under 21 years old.

In some states, SBIRT has been used in schools, workplaces through Employee Assistance Programs (EAP) and at jails during the booking process for OUI offenders. There was no information about SBIRT implementation in these or other settings in Maine.

### **Key Action Step**

V-1. Implement SBIRT in settings in which youth receive services.

#### **Critical Elements**

Implement SBIRT in all Trauma Centers and hospital emergency departments including use with patients age 18 to 21.

Provide SBIRT training for school counselors and other personnel in schools.

Implement SBIRT in middle and high schools in Maine.

## **A. Criminal Justice System**

Within the criminal justice system, underage drinkers who have been convicted of an offense should be assessed to determine whether they have an alcohol misuse problem and their need for treatment. The assessment should be required by law and completed before disposition, sentencing, or reaching a plea agreement. The assessment should be:

- used to decide whether a treatment and rehabilitation program should be part of the sanctions imposed by the court and what type of treatment would be most appropriate.
- based on standardized assessment criteria, including standard psychometric instruments, historical information (e.g., prior alcohol or drug-related arrests or convictions), and structured clinical interviews.
- appropriate for the offender's age and culture (e.g., use specialized assessment instruments tailored to and validated for youth or multicultural groups).

### **Descriptive Narrative**

There are no monitoring programs for underage drinkers or the adults who provide alcohol to minors. Other elements of the underage drinking program such as prosecution and adjudication need attention before an effective and efficient monitoring program can be implemented.

Many young people who are cited for underage drinking are assigned to a Juvenile Community Corrections Officer (JCCO) who make an assessment of the young person's status and determine if he or she should be referred to Juvenile Court or be diverted. While JCCOs provide monitoring for those referred to the court, many young offenders charged with alcohol consumption are diverted and have no consequences beyond a modest fine.

### **Key Action Step**

V.A-1 The JCCO receive training on underage drinking law enforcement.

### **Critical Element**

Conduct an efficacy review of current JCCO practices and qualification in dealing with underage drinking law violators.

## **B. Treatment and Rehabilitation**

As noted above, the EUDL program has not been mandated or funded to address treatment and rehabilitation, but for a small group of underage drinkers these services are very important. Each state should work with health care professionals, public health departments, and third-party payers to bring underage drinking law enforcement efforts to the attention of these groups. This will help ensure that offenders with alcohol misuse problems receive and complete appropriate treatment. Other federal and state agencies are funded to provide resources for these programs.

### **Descriptive Narrative**

Though few youth cited for underage drinking are referred to court or have any obligation to complete treatment or rehabilitation, Maine has a program for youth convicted of other alcohol related offenses. The Student Intervention and Reintegration Program (SIRP) target an indicated population of students. Through analysis of the Maine Youth Drug and Alcohol Use Survey (MYDAUS) this population was identified as at risk of significant substance use, including use at school. At-risk students are defined as those youth who are identified as experimenting or otherwise using alcohol or other drugs, but who do not qualify for treatment interventions.

SIRP is designed to empower youth to make healthy decisions, reduce risk for problems and focuses on two measurable behavioral prevention goals: increase abstinence for a lifetime and reduce high-risk choices. The chosen intervention is the PRIME For Life program used with young people ages 13-20. The PRIME For Life program, provided by the Prevention Research Institute, Inc. (PRI) focuses on alcohol and drug prevention and intervention and is designed to influence behaviors using a research-based persuasion protocol. Each SIRP session is taught by a trained and certified PRIME For Life instructor and is administered to high school age students who violate school policy, underage drinking laws, or simply make high-risk choices. A parent, teacher, administrator, or probation officer can refer an individual if they suspect that person is experimenting with substances. Students also have the ability to self-refer to the program.

There are three main components to SIRP. They are student engagement, parent engagement, and school engagement. Each is described below.

**STUDENT ENGAGEMENT:** Students participate in the PRIME For Life (ages 13-20) program (ages 13-20) for selected or indicated populations. This 12-hour educational program includes didactic presentations and discussion of the content. PRIME for Life is a proven *educational strategy* in that it moves beyond simply imparting information to providing critical thinking skills designed to help students consider their actions in relationship to personal risk. Over the course of the 12 hours the class works through: a) the nature and causes of substance use, b) the risks of use, c) self-assessment in terms of where their use falls in the 4-phase continuum from low risk use to addiction, and d) action planning for the future, which includes planning to protect the values each student has identified as most important.

**PARENT ENGAGEMENT:** At the beginning of each program, concurrent with the beginning of the first class for students, a separate SIRP staff member meets with the parents of the students. The purpose is to explain the nature and goal of the program, what parents can and should do to help youth recognize the problems on underage drinking and illicit drug use, and support the youth's efforts in changing their own behavior. The staff person distinguishes between this program and treatment, and shares information about area resources for substance abuse and mental health services for adolescents and their families.

**SCHOOL ENGAGEMENT:** Once the SIRP program has ended each school has a staff person (the Guidance Counselor, Vice Principal, or other appropriate person) designated as the school "Champion" who follows up with participating students and conducts a series of brief, planned positive interactions, intended to help the youth capitalize on and make use of the new information and skills they learned in the PRIME For Life program.

Individuals under the age of 21 years with an alcohol or drug related motor vehicle offense must attend the Under 21 Program, Driver Evaluation and Education Program's (DEEP's) 16-hour education and assessment program for youthful offenders. Participants receive in-depth education regarding risks and consequences of alcohol and drug use, and complete a preliminary assessment instrument designed to screen for risk factors for substance abuse problems. Individuals found to be at higher risk will be referred to a certified community-based service provider for a clinical substance abuse evaluation to determine if there is evidence of a problem that needs treatment. If there is a substance abuse problem evident, the individual is referred to counseling and required to complete the prescribed treatment services, which are determined according to DEEP's regulatory guidelines and the needs of the individual.

### **C. Monitoring Underage Drinkers**

Each state should establish a program to facilitate close monitoring of underage drinkers. Monitoring functions should be housed in the driver licensing, judicial, corrections, and treatment systems. Monitoring systems should be able to determine the status of all offenders in meeting their sentencing requirements for sanctions and/or rehabilitation, and they must be able to alert courts to noncompliance. Monitoring requirements should be established by law to assure that underage drinkers and adult suppliers comply with sanctions and that the judicial system is responsive. Noncompliant offenders should be handled swiftly, either judicially or administratively. States should:

- have an effective monitoring system for all underage drinkers.
- include driver's license tracking systems as an essential component of monitoring.
- generate periodic reports on offender compliance with administrative or judicially imposed sanctions.

#### **Descriptive Narrative**

There are no monitoring programs for underage drinkers or the adults who provide alcohol to minors. Other elements of the underage drinking program such as prosecution and adjudication need attention before an effective and efficient monitoring program can be implemented.

Many young people who are cited for underage drinking are assigned to a Juvenile Community Corrections Officer (JCCO) who make an assessment of the young person's status and determine if he or she should be referred to Juvenile Court or be diverted. While JCCOs provide monitoring for those referred to the court, many young offenders charged with alcohol consumption are diverted have no consequences beyond a modest fine.

#### **Key Action Step**

V.C-1 The JCCO receive training on underage drinking law enforcement.

#### **Critical element**

Conduct an efficacy review of current JCCO practices and qualification in dealing with underage drinking law violators.

## VI. Program Evaluation and Data

### A. Evaluation

Each state should routinely evaluate EUDL programs and activities to determine their effectiveness, and have access to and analyze reliable data sources for problem identification and program planning. Each state should conduct several different types of evaluations to effectively measure progress, to determine effectiveness, to plan and implement new program strategies, and to ensure that resources are allocated appropriately. The evaluation should be:

- planned before EUDL programs are initiated to ensure that appropriate data are available and adequate resources allocated.
- designed to use available data.
- used to determine whether goals and objectives have been met and to guide future programs and activities.
- organized and completed at the state and local level.
- reported on regularly to project and program managers and policymakers.

### Descriptive Narrative

The Enforcing Underage Drinking Law (EUDL) Assessment, Strategic Planning, and Implementation Initiative program goal is *to reduce underage drinking in selected communities by systematically implementing best or promising practices that attain the objectives of increasing the enforcement of underage drinking laws and enhancing research-based prevention planning and programming.*

The existing EUDL program in Maine has relied on process evaluation which collects data from the sub-grantees to document that the prescribed activities were implemented. There does not appear to be procedures for verification of the extent and nature of strategies and activities that occur as a result of the program. Process evaluation should be more than simple “bean counting.” Process evaluation should allow identification of challenges and barriers to implementing each activity or strategy. The development of strategies through a data-driven strategic planning process should greatly enhance the capacity to conduct more valid and more informative process evaluation.

Determining the impact of EUDL strategies in Maine appears to be limited to anecdotal data or measuring simple changes in global outcome measures. Global measures from

archival data sources are used to monitor trends in underage drinking and related problems. This approach does not account for other variables that might be affecting the measure nor does it provide an assessment of the extent to which change is due to the strategy. Programs and strategies that are identified and implemented based on a strategic planning process lend themselves to more robust evaluation. Data used in the needs assessment phase of strategic planning generally serve as base-line measures for evaluation. Various strategies will require different evaluation models.

Figure VI-A-1

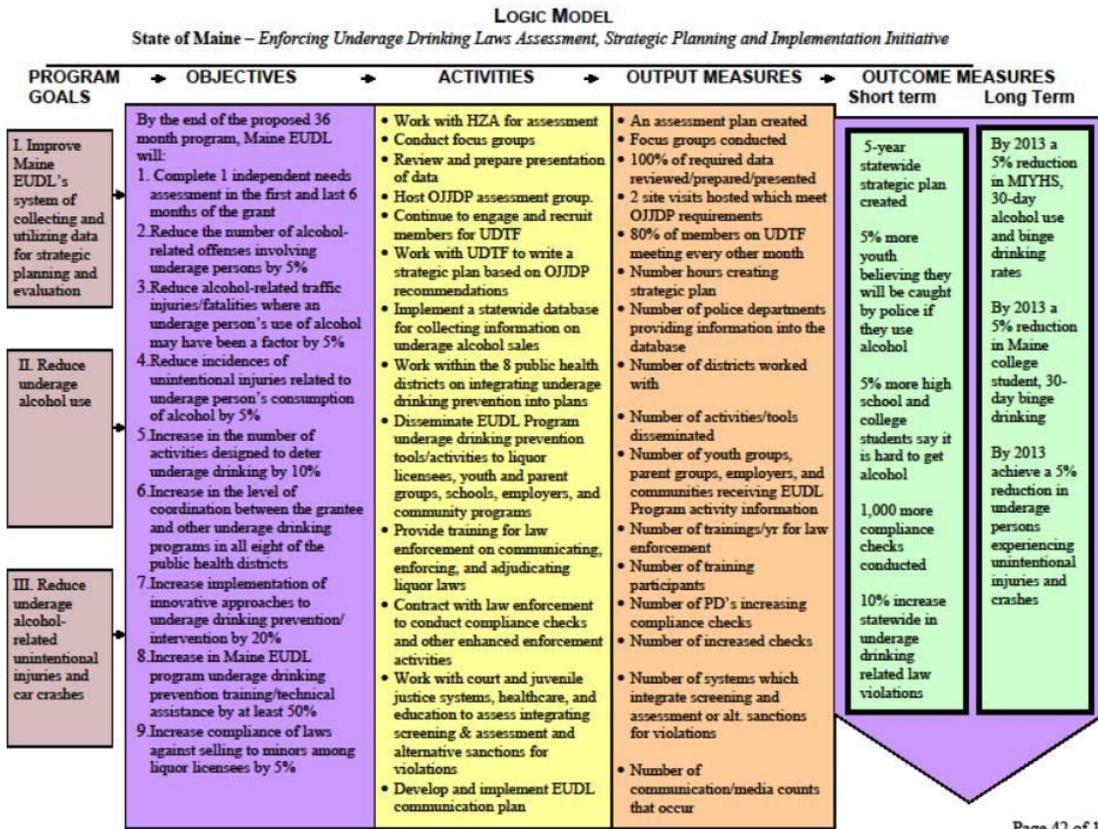
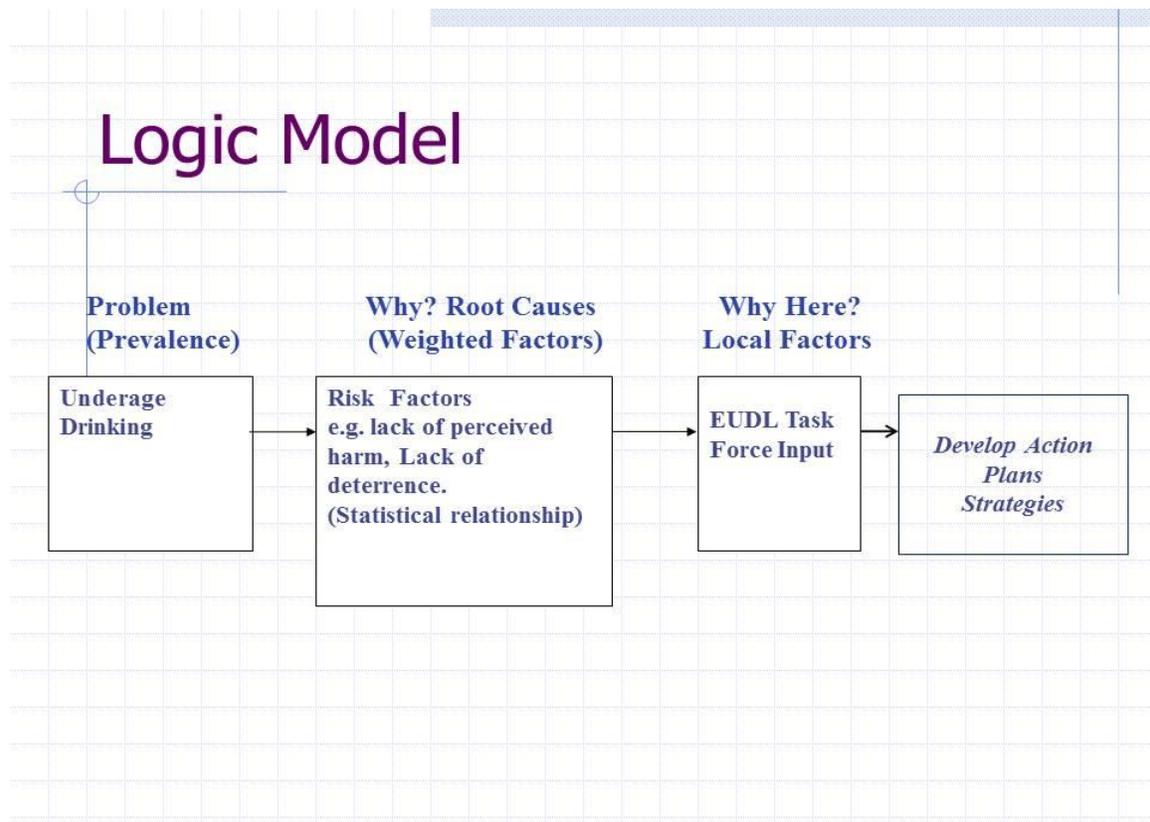


Figure VI-A-1 shows the current Maine EUDL Logic Model. The model begins with goals established to be consistent with the Office of Juvenile Justice and Delinquency Prevention (OJJDP) EUDL goals. Each goal has one or more objective specified and several activities have been selected for each. A number of measurable outputs are listed that can provide information for the process evaluation. There are also a number of outcome measures that are framed as absolute changes in rates of target outcomes, e.g. *2% more youth will believe they will be caught by police if they use alcohol.*

This logic model represents the current state of the strategic plan which utilized existing plans developed under the Strategic Prevention Framework-State Incentive Grant (SPF-SIG) and the Healthy Maine Partnership projects. The current logic model does not appear to use quantitative analyses to specify the extent and nature of the underage drinking problem and the factors that predict the problem. Figure VI-A-2 provides a suggested supplement to the current logic model and therefore, for the strategic planning process.

Figure VI. A-2



Based on the available data systems described below, some strategies will be evaluated with statewide data systems while others will use available local or agency maintained databases.

In addition, to frame the desired outcomes as evaluation questions, it is necessary to ask (and answer) the question, “change compared to what?” For example, using the measure shown above, the evaluation question could be, *students in communities with strategy x will show more positive change in perception that they will be caught for underage drinking than those with lower levels of strategy x.*

### **Key Action Step**

VI.A-1. Expand the current logic model to include quantified assessment of the extent and nature of underage drinking and key underlying causes.

#### **Critical Element**

Use survey data and archival data to profile underage drinking and identify the statistical and logical relationships between underage drinking and individual, community, family and school factors.

### **Key Action Step**

VI.A-2. Establish baseline levels of key outcome measures.

#### **Critical Element**

Develop an inventory of available data appropriate for strategic planning.  
Establish cooperative agreements with agencies that host data systems so that data can be accessed.

### **Key Action Step**

VI.A-3. Design evaluation protocols for all EUDL strategies.

#### **Critical Element**

Access technical assistance to review or develop evaluation protocols for all EUDL strategies.

## ***B. Data and Records***

To fully support their EUDL program, states should establish and maintain records systems featuring accurate and regular data collection. Each system should use data from other sources, such as the U.S. Census, the youth and family surveys administered in the states and communities, and the Crash Outcome Data Evaluation System (CODES). The state records systems should:

- permit the state to quantify:
  - the extent of the underage drinking problem
  - the impact on various populations (e.g., by specific age, gender, race, and ethnicity)

- the level of effort dedicated to the problem (e.g., level of enforcement activities, training, and earned media)
- the impact of the effort (e.g., public attitudes, awareness, and behavior change).
- contain electronic records of arrests, dispositions, driver licensing actions, and other sanctions for underage drinking offenders and the adult providers of alcohol.
- permit offenders to be tracked from arrest through disposition and compliance with sanctions.
- collect data to show compliance with the Jail Removal Requirements of the JJDPA requirements and seek to assure that all juveniles in custody are handled in compliance with this law.
- be accurate, timely, and linked and readily accessible to persons authorized to receive the information, such as law enforcement, courts, licensing officials and treatment providers.

### **Descriptive Narrative**

The Maine EUDL Strategic Plan, and evaluation of strategies that evolve from that plan, should utilize a number of data sets some of which are available for time periods prior to the planning process (archival data) and others that might be developed as part of the process. Individual strategies implemented as a result of the EUDL Strategic Plan might be evaluated using analysis of trends and/or time series or might be implemented in a way that allows comparison or control groups to determine impact.

In order to determine success in meeting program objectives, OJJDP has designated several mandatory measurements for all grant recipients. For each measurement, selected data elements must be collected and submitted to the evaluator, as directed by OJJDP.

The status of these data elements in Maine's EUDL program is as follows:

Measurement 1-Reduction in the number of alcohol-related offenses involving underage persons.

Data Element 1-1-Number of OUIs among underage persons.

OUI convictions are recorded in the driver history files at the Bureau of Motor Vehicles. The driver history file is adequate for long-term planning but data are not as timely because citations must reach a disposition before they are data-entered.

Maine Traffic Records Coordinating Committee (TRCC) is responsible for recommending changes to law enforcement and crash data to meet the needs of member agencies. Every three to five years, Maine conducts a Traffic Records Assessment facilitated by National Highway Traffic Safety Administration (NHTSA). This assessment provides detailed status of all highway safety related databases and systems. The TRCC and the most recent Traffic Records Assessment can be valuable resources for the EUDL strategic planning process.

Data Element 1-2- Number of crimes against persons, property, or pets where alcohol consumption by underage persons may have been a factor.

Maine juvenile or criminal records systems that track the underage drinking offenders are grossly inadequate. These systems fail to track the underage drinking offenders or the adults who provide the alcohol to those youth. One reason for the significant void in the record keeping is that Maine provides no criminal penalties for the activities related to underage drinking. The most commonly used mechanism to reduce underage drinking is the filing of a civil ordinance violation. To the extent that there is liquor law enforcement in Maine, it is carried out on a local basis. There is no state liquor law enforcement agency. A review of Uniform Crime Report data indicated that fewer than half of the cases counted could not be broken into categories, rendering the data useless for evaluation purposes.

Measurement 2 - Reduction in alcohol-related traffic injuries or fatalities where an underage person's use of alcohol may have been a factor.

Data Element 2-1 - Number of alcohol-related traffic injuries or fatalities where an underage person's use of alcohol may have been a factor.

Responsibility for Fatality Analysis Reporting System (FARS) falls under the Maine Bureau of Highway Safety (MeBHS). Maine participates in Fast FARS, and fatal crashes are entered immediately into this system on the day the analyst is notified of a fatal crash. Maine typically experiences between 140 and 190 fatal crashes a year. An analysis of the process followed by the FARS analyst indicates Maine considers the reporting to FARS a high priority. All of the required information is obtained from a variety of sources by the analyst in order to complete the FARS data entry. Ninety-five percent of the cases from the previous year are entered into the FARS between January and June of the following year. There appears to be no identified areas of weakness in the ability to identify, track, and report fatalities that occur within the State.

Crash data, including reported injuries, are maintained by MDOT and are accessible for planning or evaluation of EUDL.

Measurement 3 - Reduction in the incidence of unintentional injuries related to underage persons' consumption of alcohol.

Data Element 3-1 - Number of emergency room visits where an underage person's consumption of alcohol may have been a factor.

Maine was one of the first states to develop automated record linkage of statewide police crash files to statewide medical data files. In 1992, these efforts were formalized with the development of the national Crash Outcomes Data Evaluation System (CODES) project. The Maine CODES project is a collaborative effort of several state agencies and private organizations. Currently the Maine Health Information Center (MHIC) is funded by National Highway Traffic Safety Administration (NHTSA) to organize and work on the project. The Maine Office of Data, Research, and Vital Statistics (ODRVS) links data files with the assistance from the MHIC.

The Maine CODES Advisory Committee includes representatives from each of the state agencies that supply data files to the project and additional members interested in highway safety and injury prevention.

Measurement 4 - Increase in the number of activities designed to deter underage drinking.

Data Element 4-1- Number of activities designed to deter underage drinking.

All EUDL programs should maintain detailed records of activities including the number of individual "sessions." There is no indication that current reporting includes such information.

On-line reporting systems for activities can be developed to assure timely and consistent reporting across sites.

Measurement 5 - Increase in the number of underage military personnel participating in activities designed to deter underage drinking.

The activity reporting system described above can include data from programs or activities implemented specifically for military personnel. Participation data collected at activities can include designation of military status of participants. There is no indication that current reporting includes such information.

Data Element 5-1- Number of underage persons participating in activities designed to deter underage drinking.

All activities that engage young people should include sign-in sheets when feasible. In other cases, counts or estimates of participation should be recorded. On-line reporting systems for participation can be developed to assure timely and consistent reporting across sites.

Measurement 6 - Increase in the level of coordination between the grantee and other underage drinking programs in the community.

Data Element 6-1- Number of meetings between the grantee and other underage drinking programs in the community.

Meeting notes and participation sign-in sheets can be collected at all meetings. Meetings can be reported to the same on-line information system used to record participation in activities.

Data Element 6-2- Number of other underage drinking programs with whom the grantee has coordinated activities.

This could also be determined from a program data system.

Data Element 6-3- Number of activities/events that the grantee and other underage drinking programs in the community have co-sponsored.

This could also be determined from a program data system.

Data Element 6-4- Number of partners in underage drinking coalition, including law enforcement, judicial system, military, local health agencies, postsecondary education, and local school district, as appropriate.

This could also be determined from a program data system.

Measurement 7- Increase in the implementation of innovative approaches to underage drinking prevention/ intervention.

Data Element 7-1- Number of innovative approaches to underage drinking prevention/ intervention implemented.

This could also be determined from a program data system.

Measurement 8 - Increase in provision of underage drinking prevention training/technical assistance.

Data element 8-1- Number of training events conducted.

This could also be determined from a program data system.

Measurement 9 - Establishment and enhancement of policies related to underage drinking.

Data Element 9-1- Number of new policies established.

This is a “de facto” measure, in other words, policies exist, or they don’t. However, a review of policies, with an annual update, would provide both documentation of change and ongoing assessment of additional needs.

Measurement 10 - Increase in level of compliance with laws against selling to underage persons among establishments selling liquor.

Data Element 10-1- Level of compliance with laws against selling to underage persons among establishments selling liquor.

Law enforcement agencies that conduct compliance checks record the rate of sales or compliance. For evaluation purposes, the exact compliance check procedures must be recorded as changes in procedure could influence compliance.

An additional measure is self-reported alcohol purchasing behaviors from student surveys such as the Maine Integrated Youth Health Survey (MIYHS) that is conducted every other year in Maine.

### **Key Action Step**

VI.B-1. Collect detailed participation data for all EUDL strategies and activities.

#### **Critical Element**

Develop an online reporting system for all EUDL programs.

## **Key Action Step**

VI.B-2. Access archival data.

### **Critical Elements**

Establish a data access workgroup that consists of representatives of state and local organizations that collect and house underage drinking related data elements.

Develop data access cooperative agreements with agencies that maintain databases.

## **Key Action Step**

VI.B-3. Implement primary data collection

### **Critical Element**

Modify/add items to Maine Integrated Youth Health Survey (MIYHS) and/or other youth surveys.

## ***C. Information and Records Systems (including Licensing)***

Each state's driver's licensing agency should maintain a system of records that enables the state to: (1) identify underage drinkers; (2) maintain a complete driving history of underage drinkers; (3) receive timely and accurate arrest and conviction data from law enforcement agencies and the courts; and (4) provide timely and accurate driver history records to law enforcement and the courts. The record system should:

- include communication protocols that permit real-time linkage and exchange of data between law enforcement, the courts, the state driver's licensing and vehicle registration authorities, liquor law enforcement, and other parties with a need for this information.
- provide immediate and up-to-date driving records for the courts to use when adjudicating and sentencing youth convicted of underage drinking.
- provide for the timely entry of any administrative or judicially imposed license action and the electronic retrieval of conviction records from the courts.
- provide for the effective exchange of data with state, local, tribal and military agencies, and with other governmental or sovereign entities.

## **Descriptive Narrative**

Some law enforcement agencies maintain citation databases from which aggregate statistics can be extracted in a timely fashion. OUI convictions are recorded in the driver history files at the Bureau of Motor Vehicles. The driver history file is adequate for long-term planning but data are not as timely because citations must reach a disposition before they are data-entered.

Maine Traffic Records Coordinating Committee (TRCC) is responsible for recommending changes to law enforcement and crash data to meet the needs of member agencies. Every three to five years, Maine conducts a Traffic Records Assessment facilitated by NHTSA. This assessment provides detailed status of all highway safety related databases and systems. The TRCC and the most recent Traffic Records Assessment can be valuable resources for the EUDL strategic planning process.

There appears to be no juvenile or criminal records systems that track the underage drinking offenders, whether they are youth under 21 who possess or consume alcohol or the adults who provide the alcohol to those youth. One reason for the significant void in the record keeping is that there are only a few state laws that provide criminal penalties for the activities related to underage drinking. The most commonly used mechanism to reduce underage drinking is the filing of a civil ordinance violation. To the extent that there is liquor law enforcement in Maine, it is carried out on a local basis. There is no state liquor law enforcement agency. To further complicate matters, a clear disparity among the agencies that enforce the laws is obvious. As a result, there is no uniform citation system for the state laws or local ordinances for the agencies to use that would allow tracking of violations.

## **Key Action Step**

VI.C Develop a statewide citation tracking systems.

### **Critical Elements**

Ensure that all police agencies participate in the tracking system.

Ensure that all civil and criminal violations are included in the tracking system.

Ensure that specific code sections are cited.

## VIII. Team Member Credentials

### LINDA L. CHEZEM

530 Denny Drive  
Mooresville, Indiana 46158

Phone 317-409-5050

Email [Lchezem@aol.com](mailto:Lchezem@aol.com), [chezeml@purdue.edu](mailto:chezeml@purdue.edu) and [Lchezem@iupui.edu](mailto:Lchezem@iupui.edu)

Linda Chezem is a professor at Purdue University in the Department of Youth Development and Agriculture Education. She also holds adjunct appointments at the IU School of Medicine, Department of Medicine and at the Purdue University School of Science, Forensic Investigative Science Program, IUPUI. Chezem organizes and presents numerous continuing education opportunities. She and her family own and farm over 300 acres in three different counties.

She teaches the following graduate level courses:

Public Health Law and Policy

Forensic Science and Law

Selected Issues in Juvenile and Youth Law

Honors Class: Animal Ownership and Use Law.

Law School:

Alcohol Science and Law

Animal and Ag Production (legal issues for use of animals in research)

Public Health Law and Policy

### **Judicial Work Narrative**

Linda L. Chezem held judicial office at the trial and appellate levels for 22 years in Indiana. She was the presiding judge of the Indiana Fourth District. After her resignation from the Indiana Court of Appeals, she continued to serve as a senior judge by appointment of the Indiana Supreme Court until January 2004. She served by appointment as a special judge in over 300 cases serving 25 different counties. Her jurisdiction at trial court level included all crimes and misdemeanors, from traffic to felony-murder, marriage dissolution, probate, juvenile, and unlimited civil docket. Her committee work included chairing the judicial education committee at the Indiana Judicial Center.

**Current International and National Service:**  
**Federal**

Chezem provides consultation to the Office of the Director of the National Institute on Alcohol Abuse and Alcoholism, NIH on privacy issues and other ethical and legal issues involving alcohol research and law.

Chezem consults with the Enforcing Underage Drinking Laws, U.S. Department of Justice, Office of Justice Programs. Office of Juvenile Justice and Delinquency Prevention,

**Non-Government Organizations**

National Alliance for Alcohol Research and Education, Inc., Board Member, 2002 to present.

Public Health Law Association, Atlanta, GA, Board Member and co-Chair of the Products and Services Committee, 2004 to 2007

Fairbanks Research and Training Institute, Education committee

Fraternal Order of Police, Law Enforcement Family Readiness Initiative (LEFRI), Delphi Panel and consultant

Geisinger-NORC Center for Rural Health Research, impact/researchers-users network focusing on rural health information technology issues

Indiana Health Informatics Corporation, Board member

Indiana University Family Violence Institute, founding member

Law & Ethics of Drug Addiction Genetics Research, Advisory Panel, University of Texas Health Center at Tyler, TX.

The NIDA funded project examines the ethical, legal and social implications of the use of genetic information in non-medical settings, particularly the use of genetic information in criminal justice settings.

SAPTA Foundation, (<http://www.saptafoundation.org>) Board member and Secretary

VEM Smart Systems Research, Inc

**Past International and National Service:**

White House Conference for a Drug Free America. Member of the Law Enforcement Advisory Committee. Presented at the White House Conference, Washington, D.C., March 1, 1988

Robert K. Greenleaf Center for Servant Leadership, Board Member and Vice President; 1991-2003

General Service Board for Alcoholics Anonymous, NY, NY, Class A (non alcoholic) Trustee and First Vice President; 1996-2002. Committee service included Corrections, Cooperation with Professionals, Nominating, Finance, and Nominating as well as various ad hoc committees.

National Institutes of Health, Tribal Consultation Workgroup, NIAAA member

Trans-NIH Bioethics Committee 9T-NBC, NIAAA Co- Representative by appointment of Dr. T.K. Li, director of NIAAA.

Federal Consortium on the Substance Abusing Offender, NIAAA-NIH liaison

National Institute on Alcohol Abuse and Alcoholism, Extramural Advisory Board on Health Communications Research.

U. S. Department of Justice, Office of Justice Programs, BJA Pandemic Consortium.

Task Force on Pandemic Preparedness Planning for the Courts, Criminal Courts Technical Assistance Project at American University under grant number 2006-DD-BX-K013) from the Bureau of Justice Assistance, Office of Justice Programs, U.S. Department of Justice.

Chezem was the Judicial Scholar in Residence at the Arizona Supreme Court Administrative Office of the Courts, Judicial Education Division, Spring Semester, 2009

### **Current Indiana Service**

***Indiana Health Informatics Corporation Board***, appointed by Governor Daniels, September, 2007

**Patient Advocacy Council For Indiana Health Information Technology, Inc.**, January 2011

Indiana State Bar Association, Agricultural Law Section, Document review committee, 2007-2010

**Chair for Assessment Committee** of the State Department of Toxicology, Indiana Governor's Commission on Dangerous and Impaired Driving, 2010

**Advisory Board** to the Indiana Office of Women's Health, State of Indiana. January 2011

### **Current University Service**

Social Science IRB, Purdue University, West Lafayette

Censure and Tenure Committee, Purdue University, West Lafayette

### **Past Service and Appointments in Indiana**

Merit Commission, Federal Judicial Appointments. Appointed by Senators Lugar and Quayle to assist in the selection of candidates for Federal District Judge and U.S. Attorney for the Southern District of Indiana. 1983-1984

Governor's Task Force to Reduce Drunk Driving. Served on this task force 1982-1991. Represented task force as a panelist at the Nebraska Workshop on Judicial Response to Alcohol and the Youthful Offender, Lincoln, Nebraska. January 28-29, 1988. Legal Education Committee. Chairman of Projects and Planning Committee

Fairbanks Hospital, Board Member (1991-2001) and Chair of the Nominating Committee; 1997-2001

Indiana Youth Institute, Board Member, 1999-2003

Indiana Rural Health Association, Board Member, 2000-2003

Indiana Judicial Conference, Board of Directors (1978-1988) Judicial Education Committee (chair: 1990-1993)

Indiana Judges Association, Board of Managers, (1978-1988)

American Bar Association, Judicial Administration Division, 1980-1999

National Council of Juvenile and Family Court Judges, 1982-1998, (Substance Abuse Training Committee: 1987-1993)

State of Indiana, Indiana Youth Development Study Committee, 1999 to Dec. 31, 2001

Indiana Supreme Court, Committee on Court Management

(Chezem provided technical assistance on pandemic planning for the courts in Indiana. 2004 to 2006)

Indiana State Department of Health, Public Health System Quality Improvement Advisory Task Force, 2008-2009

Indiana State Department of Health, Capacity and Resources Model Standard Team, 2008 -2009

Senior Fellow at the Sagamore Institute for Policy Research, 2007 to 2009

Indiana Criminal Justice Institute, Assessment Team on Enforcing Underaged Drinking Laws, Sagamore Institute, 2008

***Indiana Strategic Prevention Framework Advisory Council***, Governor's Appointee  
The council facilitates the development of a statewide prevention framework to: prevent the onset and reduce the progression of substance abuse, including childhood and underage drinking, reduce substance abuse-related problems in communities, including methamphetamine use, and build prevention capacity and infrastructure at the State and community levels. 2003 to 2010

**Home**

Chezem served on the Board of Health for Morgan County, Indiana and as chair of the board until term ended Dec 31, 2004.

Morgan Hospital and Medical Center, Community and Business Advisory Board

October 2002.

## **ANNE C. COX**

1358 Ridgefield Rd.  
Freeport, IL 61032

815.275.2195 mobile  
[annecox83@comcast.net](mailto:annecox83@comcast.net)

### **PROFILE**

Project Manager with five years of program management experience overseeing state grant funding to communities and state agencies to implement evidence-based substance abuse prevention environmental strategies. Over 15 years of experience in the field of health and human services working with youth and families, community coalitions, researchers, community leaders, schools, states, and local governments. Extensive experience in researching and writing local, state and federal grants and developing, managing and evaluating grant projects.

### **CURRENT EMPLOYMENT**

**Executive Director** - Freeport Community Foundation- January 2011-Present  
*Freeport, Ill*

Manage and direct the Community Foundation's organizational operations, development and grant making process. Provide leadership to the Board of Directors, Fund Donors and community in efficiently operating the Foundation.

Enforcing Underage Drinking Laws State Project Manager  
Illinois Department of Human Services, 2005 – December 2010  
*Rockford, IL*

Manage and direct the programmatic and fiscal components of federally funded state projects to reduce youth substance use rate through community-driven projects that are evidence-based and sustainable.

- Responsible for the development and execution of the project management plan
- Develop the annual allocation plan for communities

- Monitor grant projects to ensure compliance with state and federal funder requirements
- Develop state standards for best-practices for community health strategies including media advocacy campaigns, environmental enforcement strategies, and strategies to change policies
- Provide training and technical assistance to grantees for all program components: assessment of the problem, capacity building, strategic planning, implementation, evaluation, and sustainability in urban, suburban, rural, and college settings
- Broker training and technical assistance based on grantees' individual and collective needs
- Create grant contract conditions, quarterly report forms, allowable expense guides, and outcome reporting forms
- Review grantees' annual program plans and budgets
- Conduct annual quality review of program and fiscal documents of grantees
- Provide talking points to state officials for press releases, legislative responses, white papers, and policy
- Serve on various state-wide task forces or work groups: the Governor's Alcohol Task Force – 2006, Illinois Department of Human Services Tobacco Committee, the Illinois American Medical Association Coalition to Stop Underage Drinking- 2005-2006, and the Illinois Youth Survey Committee
- Present / train at state and national conferences and meetings on strategies to reduce substance abuse
- Responsible for federal semi-annual and annual reports as well as annual grant reapplications
- Grant reviewer for Illinois Department of Human Services Programs
- Research and identify state funding opportunities
- Grant preparation including research, writing, and budget development

## **ACCOMPLISHMENTS**

- Successfully wrote the Enforcing Underage Drinking Laws College Discretionary Grant (23 state applicants across the nation with 3 States being awarded)
- Successfully wrote the Enforcing Underage Drinking Laws Block Grant (2006, 2007, 2008, 2009 and 2010);
- Developed Best Practice Standards and system development for Substance Abuse Prevention Programs, Strategic Prevention Framework and the Partnerships for Success Grants (statewide grants) that moved grantees towards achieving outcomes that reduced substance abuse;
- Co-facilitated an unprecedented agreement between the Chicago Police Department and community coalitions to collaboratively address underage drinking and community safety through evidence-based environmental strategies.
- Drafted policies and procedures for the Freeport Community Foundation to comply with federal standards of practice in grant making and Fund development.

## **EMPLOYMENT HISTORY**

### **Substance Abuse Prevention Specialist, InTouch Program**

FHN Community Counseling Center, 1995 – 2005

*Freeport, IL*

Provided training, technical assistance and support to agencies with Illinois Department of Human Services' (IDHS) Bureau of Substance Abuse Prevention Program grants. Assisted with state and federal grant writing.

### **Parent Educator**

FHN Family Counseling Center, 1994-1995

*Freeport, IL*

Provided child development education to a caseload of 35 families (Including DCFS caseload). Facilitated parent support group and taught parenting classes.

### **Customer Service Representative**

State Bank of Freeport

*Freeport, IL: 1992 – 1993*

Customer service responsibilities including teller functions and balancing bank's drive through.

## **EDUCATION**

Associate of Science, 1991

*Highland Community College*

Bachelor of Arts, Interdisciplinary Studies/ Psychology, 2002

*Columbia College of Missouri*

## **ROBERT P. LILLIS**

58 Scotland Road  
Canandaigua, New York 14424

Phone (585) 394-5811

E-mail [rlillis@rochester.rr.com](mailto:rlillis@rochester.rr.com)

Web [www.evalumetrics.org](http://www.evalumetrics.org)

### **CURRENT ACTIVITIES**

#### **Evalumetrics Research**

Mr. Lillis currently works as an independent consultant through Evalumetrics Research (DBA) serving as a Research and Evaluation Consultant to numerous State, County and local substance abuse, violence, teen pregnancy and school dropout prevention programs. He conducts detailed needs assessments, develops outcomes based plans and designs evaluations for numerous initiatives. He provides planning, research and evaluation services for Drug Free Communities grant projects in several counties New York. Mr. Lillis has conducted and analyzed surveys with over 25,000 students including analyses of predictors of risk for substance abuse, mental health problems, school drop-out and teen pregnancy.

Major projects conducted through Evalumetrics Research Include:

#### **Allegany Council on Alcoholism and Substance Abuse (ACASA)**

Mr. Lillis provides program planning and evaluation services for ACASA prevention programs including conducting outcome evaluations for school and community based programs and analyzing student surveys which are conducted semi-annually. He serves as research consultant for the Drug Free Community project, which is currently developing a comprehensive prevention plan, and implementing and evaluating science based prevention strategies.

#### **Drug Treatment Courts**

Mr. Lillis served as the Evaluation Consultant for the Ontario County Drug Treatment Court and for the Finger Lakes Juvenile Drug Treatment Court.

#### **Partnership For Ontario County Inc.**

From 1996 to 2010 Mr. Lillis served as the Research Consultant to the Partnership for Ontario County, Inc. has conducted numerous surveys and needs assessments and developed a data based strategic planning process. He has designed evaluations for numerous school and community-based programs and prevention activities. He was the Evaluator for the Ontario County Youth Court, Finger Lakes Child Abuse Response Team-Child Advocacy Center Project and for the Ontario County Family Support Center

Project as well as for the Service-learning Through Recreation Education and Mentoring (STREAM) Project.

**National Highway Traffic Safety Administration (NHTSA)**

Since 1991 Mr. Lillis has been a member of the NHTSA Impaired Driver Assessment Team. He is responsible for reviewing prevention and treatment programs and policies related to impaired driving. He has conducted over 50 assessments of the impaired driver countermeasures systems in 32 states, Puerto Rico and for the Indian Nations.

**New York State Alcohol Policy Alliance**

Mr. Lillis is a member of the Advisory Board of the New York State Alcohol Policy Alliance and provides research support to alcohol policy initiatives.

**Evidence-based Program Review Panel**

Mr. Lillis is a member of the New York State Office of Alcoholism and Substance Abuse Services (OASAS) Evidence-based Program Review Panel and will be reviewing prevention strategies proposed by local prevention providers to assure adherence to evidence-based principles.

**Rochester Area Colleges Science, Technology, Engineering and Math (RAC-STEM)**

Mr. Lillis is the Evaluation Consultant for several projects under the RAC-STEM program that provides teacher training in inquiry-based science education. He is conducting quantitative and qualitative analyses of Summer Institutes and other professional development activities and the impact on students' STEM learning and interest.

**Big Brothers/ Big Sisters**

Mr. Lillis provided evaluation services for Big Brothers/Big Sisters school-based mentoring projects in the Rochester-Finger Lakes Region and in Steuben-Allegany County Region.

**Yes Pa Foundation**

Mr. Lillis has conducted numerous outcome studies for the Yes Pa Foundation Character Education program in the classroom setting as well as in after-school programs. He also is evaluating a program in which the Yes Pa character program is being used in corrections settings with young offenders.

**21<sup>st</sup> Century Learning Centers**

Mr. Lillis is the Evaluation Consultant to 21<sup>st</sup> Century Learning Centers, after-school programs in Allegany County and Wayne County, New York.

## **PREVIOUS EXPERIENCE**

### **NEW YORK STATE DEPARTMENT OF HEALTH**

From 1988 to 1991 Mr. Lillis served as Manager of Highway Safety Programs in the Injury Control Program, Division of Epidemiology, and NYS Department of Health and was responsible for the development and evaluation of state and local highway injury prevention initiatives. He was Project Director of the Comprehensive Community Traffic Injury Prevention Project. The Project provided technical assistance in needs assessment, program development, and evaluation as well as "mini-grants" to help establish coordinated community based highway safety efforts in high-risk counties in the state. Mr. Lillis was an Instructor in Epidemiology in the NYS School of Public Health, a department of the State University of New York at Albany, where he taught courses in policy analysis, injury control, and alcohol and public health. He also served on the Division of Epidemiology Survey Review Committee and the Behavioral Risk Factor Surveillance System work-group.

### **NEW YORK STATE DIVISION OF ALCOHOLISM**

From 1978 to 1988 Mr. Lillis served as Project Director on numerous research projects at the New York State Division of Alcoholism and Alcohol Abuse. The most recent was the Special Highway Safety Policy Analysis Project, supported by Federal highway safety funds through a grant from the Governor's Traffic Safety Committee. As Project Director he was responsible for development and maintenance of a comprehensive computerized data base, data analysis, research design, preparation of research reports including scientific publications and providing technical assistance to the highway safety community, the Governor's Office, the Legislature and members of the public. Mr. Lillis was the primary source of research and data support to Governor Cuomo and Senate and Assembly sponsors of legislation that increased New York's legal drinking age from 18 to 19 in 1982 and from 19 to 21 in 1985. Research conducted during this time and subsequent to the law's passage resulted in numerous scientific publications. His study of state border crossing by young drinking drivers was credited by the National Highway Traffic Safety Administration as a major influence in President Reagan's support for Federal legislation which directed states to increase their drinking age or face loss of Federal funds.

## **EDUCATION**

1971	John Carroll University	B.A. Psychology
1971-1975	University of Rochester	Graduate Study in Psychology
1972	Rutgers University Summer School of Alcohol Studies	

## **SHAWN P. WALKER**

501 Wallingham Drive  
Midlothian, Virginia 23114

Phone 801-794-2337  
Email [spwalkr@verizon.net](mailto:spwalkr@verizon.net)

### **WORK EXPERIENCE**

2010 - present Virginia ABC Law Enforcement      Richmond, VA

#### ***Director – Field Operations***

- Newly promoted into position.

2004 - 2010    Virginia ABC Law Enforcement      Richmond, VA

#### ***Deputy Director – Field Operations***

- Lead management team to achieve the Bureau goals and objectives. Served as Interim Bureau Director for four months. Provide leadership to 174 division employees.
- Manage all aspects of agency enforcement field operations. Review operational plans, develop and administer \$12.2M operating budget and \$1.8M asset forfeiture program, task force involvement, equipment, fleet management of 160+ vehicles, and personnel matters to include internal investigation review.
- Oversee department Education and Training Section. Responsible for approximately \$1.2M in grants and numerous OJJDP Enforcing the Underage Drinking Laws community and agency programs.
- Responsible for coordinating efforts with other departmental divisions, outside agencies, retail and wholesale industry representatives and associations, law enforcement, prevention groups (MADD,etc.), colleges, and community groups. Routinely interact with attorneys and industry to provide agency law enforcement interpretation.
- Serve as member of departmental regulatory Standards Committee. Routinely confer with Chief Operating Officer and Bureau Director on legislative and regulatory matters pertaining to agency mission. Work with the legislative process to provide interpretation and assistance to legislators and staff. Provide review of proposed legislation for constituencies as needed.
- Serve as ex-Officio Board Member for the Central Virginia Criminal Justice Training Academy.
- Currently serve on the Governor’s Motorcycle Advisory Council.
- Served as Bureau representative on departmental Compensation Committee.

- Serve as member of the National Liquor Law Enforcement Association Advisory Board.
- Serve on National Alcoholic Beverage Control Association Regulatory Committee.
- Serve on ABC Licensee Newsletter Committee, DMV Judicial Transportation Safety Conference planning committee, and Education Strategic Planning Committee. Serve as secondary representative to STARS project and as agency emergency coordinator for Department of Emergency Services.
- Served as agency representative to the Motorcycle Virginia Committee, Governor's Office of Substance Abuse Prevention Collaborative and the Governor's Youth Public Safety Advisory Council – all based in the Secretary of Public Safety's Office.
- Led agency effort to host 2005 NLLEA annual conference in Tysons Corner, VA.

1997 - 2004 Virginia ABC

Richmond, VA

- ***Special Agent in Charge Education, Training and Industry Matters***
- Management of Alcohol Industry Compliance program. Supervise five Senior Special Agents statewide assigned to program responsible for conducting criminal investigations and complex financial audits. Managed personnel actions to include performance issues, conducting performance evaluations, coaching and staff recruitment and selection.
- Serve as internal police academy director. Manage statewide law enforcement training programs for 134-member law enforcement agency. Oversee training activities of 45+ DCJS certified instructors.
- Manage department Education and Prevention Section
  - Oversee management of Federal Grants of \$1.2M.
  - Virginia EUDL Coordinator
  - Directly contributed to programs to overall grant mission – Law Enforcement Alcohol training, Operation Undergrad, etc.
- Coordinate training programs to meet DCJS mandated training requirements as well as for professional development of employees.
- Chair division policy review committee and serve as accreditation manager for VA accreditation.
- Coordinated statewide alcohol industry informational seminars.
- Serve as a member of departmental regulatory Standards Committee.
- Implemented formal Field Training Officer Program.
- Coordinated Law Enforcement Media Relations training program.
- Managed Rave and Club Drug training for 650 police attendees from Virginia and adjoining states.
- Conducted two Officer Survival trainings at Fort Pickett, Virginia to include driving, tactical firearms, and defensive tactics.
- Procured agency membership in the Central Virginia Criminal Justice Academy as ex-officio member.

- Serve on Licensee Newsletter Committee, Inside Spirits newsletter, College Conference Committee, DMV 16-20 Year Old Drivers Advisory Committee, Judicial Transportation Safety Conference Committee, Virginia Alcohol Leadership Council (VCALC) and Education Strategic Planning Committee. Editor of Bureau of Law Enforcement's Newsletter.
- Manage Special Agent recruitment process in entirety. Managed numerous major revisions to process to include recruitment and retention programs, psychological screening, pre-testing and interview process.
- Hosted the National Conference of State Liquor Administrators northeastern region meeting and National Liquor Law Enforcement Association Training Academy.

1993 - 1997 Virginia ABC

Chesapeake, VA

***Special Agent***

- Responsible for territory management of approximately 120 retail licensees. Conducted criminal investigations, street level enforcement activities, undercover assignments and financial reviews.
- Served as a member of the departmental Speakers' Bureau.
- Developed and implemented DCJS approved "False ID" program presented to the VA Probation and Parole & FOP state conferences.
- Developed proposal for Field Training Officer program.
- Developed and presented various educational programs to business, public, private, and law enforcement groups.
- DCJS and TIPS certified instructor.
- Staff member and presenter with annual College Conference (1994-96) and YADAPP (1996).
- Regional Intelligence Officer.
- Member and Team Leader of the Bureau's Organizational Committee.
- Member Tidewater Regional CCATS Impaired Driving Sub-committee.
- Member CORE Advisory Committee.
- CO-coordinator of Tidewater Regional 3-D media fair.
- Assisted with revision of current pursuit policy and others.
- Appointed to serve on departmental policy review committee.
- Interacted with members of the media when requested.
- Served on development committee for Store Employee Safety program.

1991-1993 Old Dominion University

Norfolk, VA

***Patrol Officer***

- Responsible for protection and service to the University community. Conducted routine patrol of University property and concurrent jurisdiction areas within City of

Norfolk. Primary response to emergency calls on campus as well as in concurrent jurisdiction area.

- Served as Officer in Charge of Bicycle Patrol Unit. Routinely served as Officer in Charge of patrol shift in absence of Sergeant.
- Regularly interacted with other University departments in the role of crime prevention and detection.
- Routinely worked with Norfolk Police Department personnel and was part of pilot program to institute concurrent jurisdiction.

## **EDUCATION**

July 2007 – July 2007   Averett University, Danville, VA

***Master of Business Administration***

- Accelerated Executive program.

1991 - 1992   Old Dominion University, Norfolk, VA

***Master of Public Administration***

- Six credit hours completed.

1989 - 1991   Old Dominion University, Norfolk, VA

***Bachelor of Science, Criminal Justice***

1987 - 1989   Central Virginia Community College, Lynchburg, VA

***Associate of Applied Science, Administration of Justice***

- Graduated Magna Cum Laude.

## **LEADERSHIP DEVELOPMENT**

Nov 2010    Law Enforcement and the Constitution  
                  Center for the Constitution, Montpelier, VA

Nov 2010    Budgeting for Law Enforcement Executives  
                  Central Virginia Criminal Justice Academy, Lynchburg, VA

Mar 2006    Graduate of the Federal Bureau of Investigation's National Academy 224<sup>th</sup>  
                  session, Quantico, VA

April 2005   New Chief/Deputy Chief School Natural Bridge, VA  
                  Virginia Police Chiefs Foundation

July 2002    Commonwealth Management Institute Williamsburg, VA  
                  VCU Center for Public Policy

Spring 2001  Police Executive Leadership School Richmond, VA  
                  Virginia Chiefs of Police Foundation

June 1999    High Performance Management, Richmond, VA  
                  Virginia ABC

June 1998    Criminal Justice Supervisory Institute, Radford, VA

Department of Criminal Justice Services  
May 1998 Ken Blanchard Leadership Seminar Richmond, VA

## **PROFESSIONAL MEMBERSHIPS**

- FBI National Academy Associates 2006-present
- Serve on 2007 Virginia conference planning committee
- National Liquor Law Enforcement Association 1997-present
- Immediate Past-President August 2007- present
  - President 2006-2007
    - Serve on MADD National Social Host subcommittee
  - Vice President 2005-2006
    - National Highway Transportation Safety Administration – Underage Drinking Law Enforcement Working Group June 2006
  - Secretary/Treasurer 2004-2005
    - Serve as organization representative to the National Governors Spouses Initiative Against Underage Drinking Executive Working Group September 2004 - 2005.
    - Chair Training Committee.
  - Sergeant-at-Arms 2003-2004
  - Serve on NLLEA Advisory Board. 2003-present
- International Association of Chiefs of Police (IACP) 2004 - present
- Member of University/Campus Police section
- Virginia Association of Chiefs of Police 1998- present
- Police Executive Leadership School Alumni Assoc. 2000-present
- American Society of Law Enforcement Trainers 1999 – 2006
- Virginia Law Enforcement Training Directors Assoc . 1997–2005
- VABCLEAA Secretary 1995-1997
- Conduct business of Association and produce semi-monthly newsletter
- Fraternal Order of Police 2<sup>nd</sup> V 1992-1997
- Conduct Lodge business in the absence of President.
- Represent lodge at national and state conferences.

## **PROFESSIONAL PRESENTATIONS**

NABCA Administrators Conference, Big Sky Montana, 2009

MADD National Conference, 2007

NHTSA Working Group for Underage DUI, 2006

Lifesavers Conference, Austin Texas, 2006

Moderator for Virginia Juvenile Judges session, Virginia Juridical Transportation Safety Conference, Virginia Beach, VA, 2005, 2006

NLLEA Annual Training Conference, San Diego, CA, 2004

SAMHSA Interagency Committee, Washington, DC, 2004

NCADD/NHTSA Meeting for Traffic Safety, Washington, DC, 2003

OJJDP National Leadership Conference, Atlanta, GA, 2003

Region III NHTSA Conference, Fredericksburg, VA, 2003

National Liquor Law Enforcement Association Training Academy, Wilmington, NC 2001, El Paso, TX 2002 and Portsmouth, VA, 2003

National Liquor Law Enforcement Association Conference, Sebasco Estates, ME, 2001

CADCA Conference, Washington DC, 2001

National Council of Juvenile and Family Court Judges, faculty and member of planning committee, Richmond, VA, 2001

Office of Juvenile Justice and Delinquency Prevention Symposium, San Diego, CA, 2000

Office of Juvenile Justice and Delinquency Prevention 2<sup>nd</sup> Leadership Conference, Reno, NV, 2000

Virginia Association of Campus Law Enforcement Administrators, Virginia Beach, VA 1999, 2001, 2003

National Alcoholic Beverage Control Association, Best Practices Symposium, Washington DC, 1997

Virginia Department of Probation and Parole Conference, Virginia Beach, VA, 1996

Military/Civilian Workshop presentation, Virginia Beach, VA, 1995

Presented and facilitated statewide wholesale informational seminars (1998 and 2001), and a Farm Winery informational seminar (1999 & 2002)

Support Instructor for Bureau Microsoft Word/Excel Training, 2000

Fraternal Order of Police State Conference, Lynchburg, VA, 1996

### **TRAINING**

DCJS General Instructors School, TIPS Trainer Certification, Street Survival Seminar, Bicycle Patrol Operations - Norfolk PD, Substance Abuse and Victimology, False Identification and Fraudulent Documents, Managing Police Training, Managing the Field Training Process (April 2000), IACP Developing a Legally Defensible Curriculum August 1999, OJJDP – Local Policy Options for Preventing Youth Access to Alcohol (November 2000), NHTSA Law Enforcement Public Information Workshop (November 1998). ASLET 13<sup>th</sup> International Training Conference (February 2001), FBI National Academy Associates National Conference “Managing in the New Millennium” (August 1997), NLLEA Annual Training Conference (September 1997, 1999 - 2004), Virginia ABC High Performance Management (June 1999), BLEO Advanced Criminal Investigations in-service training (June 1995).

### **PROFESSIONAL AWARDS RECEIVED**

National Liquor Law Enforcement Association, Most Innovative Program of the Year 2010

National Liquor Law Enforcement Association, Agency of the Year and Most Innovative Program of the year 2002

Received Chief’s Community Collaboration Award, Old Dominion University 2000

Received Community award from Concerned Citizens Advocating Traffic Safety, Virginia Beach 1997

Special Olympics Bronze award for 1996 campaign in Chesapeake. Served as department representative for region.

## **IX. AGENDA**

### **STATE OF MAINE**

#### **Enforcing the Underage Drinking Laws Program Assessment**

**Fairfield Inn, Anthony Avenue, Augusta, ME  
May 1-6, 2011**

#### **Sunday, May 1, 2011**

**Fairfield Inn Meeting Room Team a**

6:00 p.m. – 8:00 p.m.                    **Dinner and Informal Team Briefing – Team Members**

#### **Monday, May 2, 2011**

**Fairfield Inn Meeting Room – All Participants**

8:00 a.m. - 8:50 a.m.                    **Program Management and Strategic Planning**

*Topic: State-level EUDL planning and program management*

Guy Cousins, OSA Director

Geoff Miller, OSA Associate Director

Jo McCaslin, OSA Prevention Team Manager

Maryann Harakall, OSA EUDL Coordinator

9:00 a.m. - 9:50 a.m.                    **Maine State Statutes on UD**

Frank Lyons, Consultant with expertise on Maine Liquor Laws

10:00 a.m. - 10:50 a.m.                    **Program Management and Strategic Planning**

*Topic: State-level EUDL Data and Evaluation*

Maryann Harakall, OSA, EUDL Coordinator

Sarah Goan, Hornby Zeller, Project Evaluator

Duane Brunell, Maine Department of Transportation

11:00 a.m. - 11:50 a.m.

**Enforcement of UD Laws: State-level Enforcement**

Maryann Harakall, EUDL Coordinator, Maine Office of Substance Abuse

Jeff Austin, Maine Department of Public Safety, Liquor Licensing

Mary-Anne La Marre, Maine Sheriff's Association, contracted to conduct statewide compliance checks of off-premise liquor licensees.

12:00 p.m. - 1:00 p.m.

**Lunch brought in to hotel provided by Maine EUDL Discretionary Grant**

1:00 p.m. - 1:50 p.m.

**UD Prevention and Assessment-Special Settings**

Becky Ireland, Maine's Higher Education Alcohol Prevention Partnership (Colleges' efforts to address underage drinking)

Cheryl Cichowski, OSA, Prevention Specialist (Work places' efforts to address underage drinking)

Jacinda Goodwin, OSA, Prevention Manager (Schools' effort to address underage drinking)

Sgt. Roger Brawn, Maine National Guard (Military)

2:00 p.m. - 2:50 p.m.

**UD Intervention/Treatment Programs for Violators**

Corrie Brown, Adcare Educational, SIRP TA Provider

Maria Duffy, SIRP Provider

Bud Walkup, University of Maine, BASICS program for college student offenders

3:00 p.m. - 3:50 p.m.

**Enforcement of UD Laws: County-wide Perspective**

Sgt. Rob Ullrich, Androscoggin County Alcohol Enforcement Team

4:10 p.m. -5:00 p.m.

**Prosecution/Adjudication**

*Topic: Courts*

ChristineThibeault, ADA Cumberland County  
Edwin “Ned” Chester, juvenile defense attorney  
Patricia Reynolds, ADA Androscoggin County

## **Tuesday, May 3, 2011**

### **Fairfield Inn Meeting Room – All Participants**

9:00 a.m. - 9:50 a.m.

#### **Enforcement of UD Law: Local Law Enforcement Agency Perspective**

Sgt. Don Finnegan, Rockland Police Department

Chief Richard Rizzo, Brunswick Police Department

Captain Tom Roth, Westbrook Police Department  
(Urban/Suburban)

Lt. Bob Welch, University of Maine Police Department

10:00 a.m. - 10:25 a.m.

#### **UD Deterrence: Liquor Regulators**

Jeff Austin, Maine Department of Public Safety, Licensing &  
Beer Wholesale regulation

Johnnie Meehl, Maine Bureau of Alcoholic Beverage and  
Lottery Operations, BABLO, Liquor Wholesale regulation

10:25 a.m. - 10:50 a.m.

#### **UD Deterrence: Beverage Sales Industry**

*Representatives to overview beverage sales industry efforts to  
deter underage drinking)*

Shelly Doak, Maine Grocers Association (association also  
represents convenience stores)

11:00 a.m. - 11:50 a.m.

#### **UD Prevention –Community Programs**

Neill Miner, Healthy Communities of the Capital Area, Augusta  
Jo Morrissey, 21 Reasons, Portland

Melissa Fochesato, Access Health, Brunswick

12:00 p.m. - 1:00 p.m.

**Lunch brought in to hotel provided by Maine EUDL  
Discretionary Grant**

1:00 p.m. - 1:50 p.m.

**Prosecution/Adjudication**

*Topic: Programs related to Driver's Licensing, Probation, and  
Youth Corrections-*

Barry Stoodley, Associate Commissioner for Juvenile Services  
Department of Corrections

Robert O'Connell, Maine Bureau of Motor Vehicles

Patrick Walsh, representing Maine's Juvenile Justice Advisory  
Group

2:00 p.m. - 3:15 p.m.

**Program Management**

*Topic: Communications and campaigns relating to UD*

Jo McCaslin, OSA, Prevention Manager

Michelle Ward, Bureau of Highway Safety

Maryann Harakall, OSA, EUDL Coordinator

Bill Patterson, Healthy Coastal Communities/Maine Alliance to  
Prevent Substance Abuse

3:30 p.m. - 4:45 p.m.

**Program Management**

*Topic: UD related Monitoring and Information/Records Systems*

Jeff Austin, Department of Public Safety, Liquor Licensing data

Duane Brunell, Maine Department of Transportation

Sarah Goan, Hornby Zeller, evaluation and data contractor

Maryann Harakall, OSA, EUDL Coordinator

## Wednesday, May 4, 2011

### Fairfield Inn Meeting Room – All Participants

8:30 a.m. - 10:00 a.m.	<b><u>Enforcement &amp; Prosecution: Training , Resources, and Capacity Building</u></b>  Maryann Harakall, OSA, EUDL Coordinator  James Lyman, Maine Criminal Justice Academy  Becky Ireland, EUDL Discretionary Grant State Program Manager
10:15 a.m.-11:00 a.m.	<b><u>Prevention/Treatment: Training, Resources and Capacity Building</u></b>  Susan Kring, Maine Alliance to Prevent Substance Abuse  Bill Lowenstein, Adcare Educational/New England Institute of Addiction studies  Geoff Miller, OSA, Associate Director
11:00 a.m. - 12:00 p.m.	<b><u>Program Management: Resources &amp; Evaluation</u></b>  Maryann Harakall, OSA, EUDL Coordinator  Jo McCaslin, OSA, Prevention Manager  Sarah Goan, Hornby Zeller, Evaluator  Becky Ireland, State EUDL Assessment Grant Manager
12:00 p.m. - 1:00 p.m.	<b>Lunch brought in to hotel provided by Maine EUDL Discretionary Grant</b>
1:00 p.m. - 5:00 p.m.	<b>Panel Deliberations</b>

**Thursday, May 5, 2011**

**Fairfield Inn Meeting Room – Team Members**

8:00 a.m. - 11:30 p.m.

**Panel Deliberations**

**Friday, May 6, 2011**

**Fairfield Inn Meeting Room – All Participants**

8: 30 a.m. – 10:00 a.m. **Presentation of Panel Findings and Recommendations**