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Identifying the Effects of Local Policies and Enforcement Strategies to Prevent Alcohol use by Older Adolescents

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Final Report

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Abstract.

We tracked state and local policy, and measured law enforcement efforts related to underage drinking, in a large sample of local communities in the U.S. We merged these data with data on self-reported youth drinking and consequences, as well as a measure of underage drinking crashes. We then examined the relationships among local alcohol policy, law enforcement strategies, and underage drinking. Several important findings emerged. First, we found that finding historical data on local policy change is very challenging. This is a challenge for the field of alcohol policy research, and creative solutions need to be found. Second, we created an index of alcohol policy that seems to have some predictive validity (the Policy Score). It would be useful to replicate and test this index in future research. Third, we found that some policy

domains are relatively untapped, and are in need in further testing and implementation at both the state and local level. Fourth, we found that the policy index was related to lower prevalence of attendance at underage drinking parties among youth; this is an important finding that could inform future community-level efforts. Fifth, we found a positive relationship between the tax score and partygoing; this suggests that communities that enact local tax authority may want to address underage drinking parties, through enforcement efforts and social host policies, at the same time. Finally, we did not find a consistent relationship between enforcement efforts and underage drinking; this is a key area for future research.

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Executive Summary.

For the purposes of this study, we utilized two large, existing databases on youth drinking behaviors and law enforcement activities in 272 local communities across 22 states. We combined these with data compiled on motor vehicle crashes, local policies, and local community characteristics, to investigate the impact of local policies and local enforcement strategies on key indicators of underage drinking. Some data are drawn from two earlier efforts: the National Evaluation of the Enforcing Underage Drinking Laws Program (EUDL-NE) and National Evaluation of the EUDL Randomized Community Trial (EUDL-CT), as described below (Preisser, Young, Zaccaro, Wolfson, 2003; Wolfson et al., 2004; Wolfson et al., 2011; Reboussin, Lohman, and Wolfson, 2006).

The first evaluation we drew from is the National Evaluation of the Enforcing Underage Drinking Laws Program (EUDL-NE) (Wolfson et al., 2004). As part of this evaluation, our

research team conducted telephone surveys of samples of youth, aged 16 through 20, in 204 study communities. We also conducted surveys of the local police chief (or a designee) and the local sheriff (or a designee) in each of these communities (Wolfson et al., 2004). Procedures for selecting communities, as well as youth within those communities, are described in detail in Preisser, Young, Zaccaro, and Wolfson, 2003 (also see Wolfson et al., 2004). In summary, local communities (cities and counties) that received funding under Fiscal Year 1998, 1999, and 2001 EUDL discretionary grants awarded on a competitive basis to states were matched with comparison communities using propensity scores (D'Agostino, 1998), a statistical method that allows the matching of cases based on multiple covariates. In the case of the EUDL-NE, we used population size, median income, number of liquor law arrest per 100,000 population, and size of the college population (adjusted for the size of the general population) to create these propensity scores; this resulted in good balance on both community characteristics and the characteristics of youth surveyed in the intervention communities (i.e., communities that received discretionary grant funding) and comparison communities (Preisser, Young, Zaccaro, Wolfson, 2003; Wolfson et al., 2004).

We also drew on data from the National Evaluation of the EUDL Randomized Community Trial (EUDL-CT). Five states received EUDL discretionary grant funding under OJJDP's FY 2003 funding program. States were required to nominate cities in each state, which would be randomized to either the intervention condition (which received funding and technical assistance to implement a defined set of best or most promising practices for addressing underage drinking) or a comparison condition. In order to be eligible, communities were required to be an incorporated city or town, with a population between 25,000 and 200,000, and not have implemented a number of specific enforcement strategies or have adopted specific local policies in the two years preceding the date of the solicitation (Wolfson et al., 2011; Reboussin, Lohman, and Wolfson, 2006). Communities in each of the five states receiving funding were matched based on population, median family income, percentages of the population that were black, Hispanic, speak Spanish, and currently in college, and, where available, the arrest rate of 16- to 20-year-olds for liquor law violations. After creation of 35 matched pairs, communities with a pair were randomly assigned to either the intervention or comparison condition (Wolfson et al., 2011; Reboussin, Lohman, and Wolfson, 2006). These procedures resulted in excellent balance between the intervention and comparison conditions on both community characteristics and on the characteristics of youth who participated in the youth survey (Wolfson et al., 2011).

Overview of the Problem.

Underage Drinking. Underage drinking is a critical public health problem. Following passage of the National Minimum Drinking Age Act of 1984, the 31 states that did not already have a 21 year old drinking age enacted one, with Wyoming being the last to do so, on July 1, 1988 (Toomey et al., 2009; Wolfson, 1995). A universal minimum legal drinking age (MLDA) contributed significantly to a 47% decrease in alcohol-related traffic fatalities among youth aged 15-20 from 1988 (when there were 4,187) to 1995 (when there were 2,212) (NCSA, 2003, Fell et al., 2008). However, despite the dramatic impact of the MLDA, and a proliferation of policy and programmatic efforts, alcohol remains the most heavily abused substance by adolescents in the U.S. (Johnston et al., 2016).

Responses to the Problem of Underage Drinking. As noted in The Surgeon General’s Call to Action to Prevent and Reduce Underage Drinking (USDHHS, 2007), efforts to prevent underage drinking have typically taken one of two broad approaches. The first is changing the adolescent him or herself. In the words of that report, “Interventions aimed at adolescents themselves seek to change expectations, attitudes, and intentions; impart knowledge and skills; and provide the necessary motivation to better enable adolescents to resist influences that would lead them to drink” (USDHHS, 2007: 28). The second approach is changing the adolescent’s environment. Again, in the words of the Surgeon General’s report, “Environmental interventions seek to reduce opportunities for underage drinking (i.e., the availability of and access to alcohol for adolescent consumption). Examples include (1) increasing enforcement of and penalties for violating the minimum legal drinking age for youth who drink or attempt to purchase alcohol, for merchants who sell to youth, and for people who provide alcohol to underage youth, and (2) reducing community tolerance for underage alcohol use” (USDHHS, 2007: 28).

A number of typologies have been developed that elaborate on the distinction between individual and environmental interventions. For example, Komro and Toomey (2002) cite five types of strategies: school, extracurricular, family, policy/community, and multi-component. Spoth and colleagues (2008) characterize strategies to prevent or reduce underage drinking by whether they are universal (for everyone in the population), selective (for those who are members of subgroups that are at higher risk), or indicated (for those with risk factors or conditions that mark them as being individually at risk). Spoth and colleagues also characterize strategies by target age group (<10, 10-15, 16-20 years old) and by the “domain” or setting (family, school, workplace, community, multi-component, and state-level). Other category schemes divide interventions aimed at high-risk or underage drinking into those that target intrapersonal (individual) factors, interpersonal (group) processes, institutional factors, community factors, and public policy (DeJong and Langford, 2002).

A number of individually focused interventions have been shown to be effective, at least in controlled experimental trials (See review, Spoth et al., 2008), including school and/or family-based programming. In contrast, less research has been conducted on community-level, environmental interventions that aim for population-level changes in behavior by modifying policies, practices, and social norms (Stokols, 1996; National Institute on Alcohol Abuse and Alcoholism, 2006). Examples include alcohol control policies that increase product price, limit the density of retail alcohol outlets, lower the blood alcohol concentration (BAC) limit for impaired driving, and raise the minimum legal drinking age, as well as related enforcement efforts (e.g., enforcement of laws related to the minimum legal drinking age).

In theory, environmental strategies offer a number of distinct advantages for addressing underage drinking. First, they are, by their nature, “universal” strategies, which target the entire population, within a particular age group. It has been convincingly argued that universal interventions are preferred under the following circumstances (Spoth et al., 2008; Offord et al., 1998) (our commentary is provided in *italics*):

1. The condition the intervention addresses is prevalent. *This is certainly the case for underage drinking, where 41.8% of 14-18 year olds report past 30-day consumption (CDC, 2010).*

2. The costs of the condition are high. *Underage drinking was estimated to account for \$62 billion in economic costs in 2010 (Underage Drinking Enforcement Training Center, 2011), in addition to the costs to health and well-being, described above.*
3. The intervention is relatively inexpensive. *This depends on the particular environmental intervention. Policy may be relatively inexpensive to enact, in cases where there is not organized resistance. However, enforcement of policies represents an ongoing expense (since policies are seldom self-enforcing). While few benefit-cost analyses of environmental strategies for reducing underage drinking have been conducted, a comprehensive review by Anderson and colleagues (2009) concludes that “making alcohol more expensive and less available... [is a] highly cost-effective strategy[y] to reduce harm.”*
4. The intervention has proven to be effective. *As discussed in some detail below, the record here is somewhat mixed. State-level policies have been studied fairly extensively, and a number of them have been shown to be effective. There is also evidence that comprehensive community initiatives that incorporate environmental strategies can have a significant impact on underage drinking in college populations and in community-wide populations of underage youth. However, there have been very few studies assessing the effectiveness of individual environmental strategies (including enforcement strategies and policies) at the local level. Moreover, there is very little work that has tried to identify optimal combinations of strategies.*

There is a substantial literature on state-level policies, especially on increasing alcohol taxes and the privatization of retail alcohol sales. For example, the CDC Community Guide (CDC, 2012), which systematically reviewed the literature, found that there was strong evidence that increasing alcohol taxes reduced excessive alcohol consumption and harms, including among underage individuals (also see Wagenaar et al., 2009, 2010). The CDC Community Guide (2010) recommends against the privatization of retail alcohol sales; there is strong evidence that privatization leads to increased alcohol consumption per capita, which serves as a proxy for excessive consumption and related harms (also see Her et al., 1999).

While policy and enforcement approaches are increasingly widespread, relatively little is known about their effectiveness at the local level. Moreover, very little is known about the optimal mix of policy and enforcement strategies. Table 1 (below) shows environmental strategies that have been used to address underage drinking at the community level, and summarizes the evidence base underlying each strategy.

Table 1: Environmental Strategies Used Locally to Address Underage Drinking		
Strategy	Definition	Evidence
		Local Policies

Limiting Days of Sale	<ul style="list-style-type: none"> Limiting the days when alcohol can be sold is intended to prevent excessive alcohol consumption and related harms by regulating access to alcohol. Most policies limiting days of sale target weekend days (usually Sundays). They may apply to alcohol outlets in which alcohol may be legally sold for the buyer to drink at the place of purchase (on-premises outlets, such as bars or restaurants) or elsewhere (off-premises outlets, such as liquor stores) (CDC, 2012). 	<ul style="list-style-type: none"> The CDC Community Guide (CDC, 2012) found strong evidence to prevent excessive consumption and related harms. Only looked at repealing limits sales on weekend days and focused on both on and off premise settings. Removing limits of sale in on-premise settings found small increases in consumption levels and substantial increases in motor vehicle related harm. Insufficient evidence on imposing limits of sales based on too few studies. Strong and consistent evidence that this is an effective strategy for preventing excessive alcohol consumption and related harms. Limitations: small number of studies, some studies did not directly assess alcohol consumption or harms but rather motor vehicle crashes not specifically related to alcohol, studies were often unable to control for confounders (Middleton et al 2010).
Limiting Hours of Sale	<ul style="list-style-type: none"> Policies limiting hours of sale may apply to outlets that sell alcohol for consumption at the place of purchase (on-premises outlets, such as bars or restaurants) or elsewhere (off-premises outlets, such as liquor stores) (CDC, 2012). 	<ul style="list-style-type: none"> The CDC Community Guide recommends this as a strategy: studies looked at increasing and decreasing hours of sale at on-premise locations. Those examining increasing hours by 2 or more found increases in vehicle crash, emergency room admissions, alcohol-related assault and injury. Limiting the hours showed inconsistent effects. No studies were done of increasing/decreasing hours at off premise locations.
Hosting Underage Drinking Parties	<ul style="list-style-type: none"> Prohibitions Against Hosting Underage Drinking Parties addresses laws that establish State-imposed liability against individuals (social hosts) responsible for underage drinking events on property they own, lease, or otherwise control. These laws often are closely linked to laws prohibiting furnishing alcohol to minors although laws establishing State-imposed liability for hosting underage drinking parties may apply without regard to who furnishes the alcohol (NIAAA, 	<ul style="list-style-type: none"> In one cross sectional study using data from 11,205 14-20 year olds, social host policies were not associated with drinking location, decreased heavy episodic drinking or non-violent consequences. However, adolescents from communities with a pre-existing policy had lower odds of drinking in large peer-groups compared to those from communities without a policy

	Underage Drinking: Against Hosting Underage Drinking Parties).	at baseline. (Wagoner et al., 2013)
Social Host Liability	<ul style="list-style-type: none"> • Social Host Liability expands the legal responsibility for the consumption of alcohol beyond the person who consumes it to those who furnish it. The intoxicated guest remains liable to persons injured as a result of his actions, but now shares that liability with the host. In many states the social host may also be liable for injuries suffered by the intoxicated guest. Imposing liability on the host reflects the modern view that the provider of alcohol has an obligation to the public to reduce risky behavior by furnishing alcohol safely and responsibly (NIAAA, Underage Drinking: Against Hosting Underage Drinking Parties). 	<ul style="list-style-type: none"> • Using state-level traffic fatality data, Dills (2010) showed social host civil liability laws reduced drunk-driving fatality rate for 18-20 year olds by 9%. Estimates suggest only modest, if any, effect on current alcohol consumption or binge drinking. Whetten, Goldstein et al. (2000) found social host civil liability was not associated with lower adult or minor death rates
Keg registration	<ul style="list-style-type: none"> • Keg registration laws (sometimes called keg tagging laws) require wholesalers or retailers to attach a tag, sticker, or engraving with an identification number to kegs exceeding a specified capacity (two to eight gallon minimum depending on the State). At purchase, the retailer records identifying information about the purchaser (e.g., name, address, telephone number, driver's license). A refundable deposit may also be collected for the keg itself, the tapper mechanism used to serve the beer, or both. The deposit is refunded when the keg and/or tapper are returned with the identification number intact. In some States, keg laws specifically prohibit destroying or altering the ID tag and provide penalties for doing so. Other States make it a crime to possess an unregistered or unlabeled keg (NIAAA, Retail Sales: Keg Registration). 	<ul style="list-style-type: none"> • More research is needed: too many differences in implementation, but exists in over half US states (Wagenaar et al., 2005)
Minor in Possession/ Intoxication	<ul style="list-style-type: none"> • All States prohibit possession of alcoholic beverages (with certain exceptions) by those under age 21. In addition, most but not all States have statutes that specifically prohibit consumption of alcoholic beverages by those under the age of 21. Internal possession" of alcohol by persons under 21 years of age provisions typically require evidence of alcohol in the minor's body, but do not require any specific evidence of possession or consumption. Internal possession laws are especially useful to law enforcement in 	<ul style="list-style-type: none"> • Evidence suggests that this policy has an impact on underage drinking-and-driving fatalities (NHTSA, 2007).

	making arrests or issuing citations when breaking up underage drinking parties. Internal possession laws allow officers to bring charges against underage persons who are neither holding nor drinking alcoholic beverages in the presence of law enforcement officers (NIAAA, Underage Drinking: Possession/Consumption/Internal Possession of Alcohol).	
Conditional Use Permits	<ul style="list-style-type: none"> • Zoning ordinances may specify types of land uses that require a Conditional Use Permit (CUP) and the process for approving them. They may be required in order for retail alcohol outlets to operate and allow for continued monitoring, as the permit may be revoked. (Pacific Institute for Research and Evaluation, 2013). 	<ul style="list-style-type: none"> • There is limited data published on the efficacy of alcohol related conditional use permits-it has been implemented in California but there is currently no data on its generalizability to other states and communities.
Alcohol Prohibited at Local Events	<ul style="list-style-type: none"> • Alcohol restrictions at community events include policies that control the availability and use of alcohol at public venues, such as concerts, street fairs and sporting events. Restrictions can be implemented voluntarily by event organizers or through local legislation. Alcohol restrictions at these events can range from a total ban on alcohol consumption to the posting of warning posters that detail the risks associated with consuming alcohol. (Center for Applied Research Solutions) 	<ul style="list-style-type: none"> • Alcohol restrictions at local events can reduce access to alcohol through commercial and social sources. The efficacy of this approach has not been thoroughly evaluated and tested, it was highly implemented in EUDL-CT.
Furnishing Alcohol to Minor	<ul style="list-style-type: none"> • All States prohibit furnishing alcoholic beverages to minors, although most States allow various types of exceptions. Exceptions include: when alcoholic beverages are furnished to a minor by a parent/guardian or spouse. Some States specify that the spouse must be of legal age, while others do not. The exception for family members applies only if the furnishing occurs in a specified location, e.g., all private locations, private residences only, or in the home of a parent or guardian only (NIAAA, Underage Drinking: Furnishing Alcohol to Minors). 	<ul style="list-style-type: none"> • Evidence suggests that this policy has an impact on underage drinking-and-driving fatalities (NHTSA, 2007).

Regulating Alcohol Outlet Density	<ul style="list-style-type: none"> Alcohol outlet density regulation is defined as applying regulatory authority to reduce alcoholic beverage outlet density or to limit the increase of alcoholic beverage outlet density. Regulation is often implemented through licensing or zoning processes. An alcohol outlet is a place where alcohol may be legally sold for the buyer to drink there (on-premises outlets, such as bars or restaurants) or elsewhere (off-premises outlets, such as liquor stores). Density refers to the number of alcohol outlets in a given area. Issues include, but are not limited to, proximity to schools and churches, and limits on the number of outlets permitted (CDC, 2012). 	<ul style="list-style-type: none"> Recommended by CDC Community Guide: A diverse group of studies of the association of outlet density with alcohol consumption and related harms indicates that when the density of on- or off-premises alcohol outlets is high or increases, the level of alcohol consumption is correspondingly high or increases, and excessive consumption and its diverse related harms occur. A smaller number of studies indicate the converse association. The validity of the causal link between outlet density and excessive alcohol consumption and its related harms is further supported by evidence from evaluations of related interventions that affect outlet density (e.g., bans or privatization of alcohol sales). Cross-sectional studies generally show consistent positive associations between outlet density and excessive alcohol consumption and related harms, with the possible exception of injuries, for which findings were less consistent. Largest effect sizes were for studies relating outlet density to population consumption and violent crime. (Campbell et al., 2009)
Enforcement Strategies		
Shoulder Taps	<ul style="list-style-type: none"> Law enforcement uses young people trained as decoys to approach individuals outside of alcohol outlets to make a purchase for them, or they may use undercover officers to hang out near alcohol outlets and wait to see if they are approached by underage youth. (NHTSA, 2001) 	<ul style="list-style-type: none"> Although being implemented in some communities across the nation, the efficacy of this strategy has yet to be evaluated.
Overservice Law Enforcement Initiatives	<ul style="list-style-type: none"> Alcohol Beverage Control personnel or police carry out overservice law enforcement initiatives by notifying alcohol outlets of enforcement plans, and by providing information or training to improve ability of managers and staff to recognize intoxicated customers and comply with overservice laws. (Guide to Community Preventive Services, 2016) 	<ul style="list-style-type: none"> The CDC Community Guide found insufficient evidence: small number of available studies and inconsistent findings

Source Tracing	<ul style="list-style-type: none"> Enforcement officers question minors in possession of alcohol where they obtained the alcohol, then look for the adult provider of the alcohol. (Pacific Institute for Research and Evaluation, 1999) 	<ul style="list-style-type: none"> Although being implemented in some communities across the nation, the efficacy of this strategy has yet to be evaluated.
Sobriety Checkpoints / Emphasis Patrols	<ul style="list-style-type: none"> Sobriety checkpoint programs are a strategy where law enforcement officers stop drivers systematically to assess whether they are alcohol-impaired. (Guide to Community Preventive Services, 2017) 	<ul style="list-style-type: none"> There is substantial and consistent evidence that highly publicized, highly visible, and frequent sobriety checkpoints in the US reduce impaired driving fatal crashes by 18-24%. A survey found that lack of local police resources and funding, lack of support by task forces and citizen activists, and perceptions that checkpoints are not productive or cost effective are key reasons many states do not use checkpoints. (Fell et al., 2004)
Party Patrols	<ul style="list-style-type: none"> Party patrols comprise sending law enforcement officers to patrol, locate, and disperse underage parties. (Pacific Institute for Research and Evaluation, 1999) 	<ul style="list-style-type: none"> Although being implemented in some communities across the nation, the efficacy of this strategy has yet to be evaluated.
Enforcement of Possession Laws	<ul style="list-style-type: none"> This strategy is an effort to enforce existing laws that define under which circumstances a minor is considered to be in possession of alcohol. (Prevention Research Center, 2004) 	<ul style="list-style-type: none"> Correlational evidence--1 study of over 16,000 11th graders found that communities with higher levels of enforcement of minor in possession laws have lower community levels of binge drinking and overall alcohol use, suggesting perceived negative consequences may deter certain behaviors (Dent et al., 2005).
Enhanced Enforcement of Laws Prohibiting Sales to Minors (e.g., compliance checks)	<ul style="list-style-type: none"> “Enhanced enforcement programs initiate or increase the frequency of retailer compliance checks for laws against the sale of alcohol to minors in a community. Retailer compliance checks, or “sting operations,” are conducted by, or coordinated with local law enforcement or alcohol beverage control (ABC) agencies, and violators receive legal or administrative sanctions.” (Guide to 	<ul style="list-style-type: none"> The CDC Community Guide found sufficient evidence of effectiveness in limiting underage alcohol purchases; further research required to assess the degree to which changes in retailer behavior affect underage drinking Citizen surveillance and feedback has been shown to be

	Community Preventive Services, 2006)	effective in reducing sales to underage youth (Lewis et al, 1996). Similar effects have been shown on a smaller scale in MN (Wagenaar et al., 2005b); however, effects decayed after 3 months of initial enforcement.
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As explained above, environmental strategies may provide a good “fit” with the problem of underage drinking, given its prevalence, the social and economic costs it imposes, and the manageable cost level of many of these strategies. However, the missing link is evidence on their effectiveness at the local level. This study aimed to use two existing, multi-state datasets to identify effective environmental strategies (including local policies and local enforcement practices) to assess their impact on key indicators of underage drinking.

Study Design.

For the purposes of this study, we utilized two large, existing databases on youth drinking behaviors and law enforcement activities in 272 local communities across 22 states. We combined these with data compiled on motor vehicle crashes, local policies, and local community characteristics, to investigate the impact of local policies and local enforcement strategies on key indicators of underage drinking. Some data are drawn from two earlier efforts: the National Evaluation of the Enforcing Underage Drinking Laws Program (EUDL-NE) and National Evaluation of the EUDL Randomized Community Trial (EUDL-CT), as described below (Preisser, Young, Zaccaro, Wolfson, 2003; Wolfson et al., 2004; Wolfson et al., 2011; Reboussin, Lohman, and Wolfson, 2006).

The first evaluation we drew from is the National Evaluation of the Enforcing Underage Drinking Laws Program (EUDL-NE) (Wolfson et al., 2004). As part of this evaluation, our research team conducted telephone surveys of samples of youth, aged 16 through 20, in 204 study communities. We also conducted surveys of the local police chief (or a designee) and the local sheriff (or a designee) in each of these communities (Wolfson et al., 2004). Procedures for selecting communities, as well as youth within those communities, are described in detail in Preisser, Young, Zaccaro, and Wolfson, 2003 (also see Wolfson et al., 2004). In summary, local communities (cities and counties) that received funding under Fiscal Year 1998, 1999, and 2001 EUDL discretionary grants awarded on a competitive basis to states were matched with comparison communities using propensity scores (D'Agostino, 1998), a statistical method that allows the matching of cases based on multiple covariates. In the case of the EUDL-NE, we used population size, median income, number of liquor law arrest per 100,000 population, and size of the college population (adjusted for the size of the general population) to create these propensity scores; this resulted in good balance on both community characteristics and the characteristics of youth surveyed in the intervention communities (i.e., communities that received discretionary grant funding) and comparison communities (Preisser, Young, Zaccaro, Wolfson, 2003; Wolfson et al., 2004).

We also drew on data from the National Evaluation of the EUDL Randomized Community Trial (EUDL-CT). Five states received EUDL discretionary grant funding under OJJDP's FY 2003 funding program. States were required to nominate cities in each state, which would be randomized to either the intervention condition (which received funding and technical assistance to implement a defined set of best or most promising practices for addressing underage drinking) or a comparison condition. In order to be eligible, communities were required to be an incorporated city or town, with a population between 25,000 and 200,000, and not have implemented a number of specific enforcement strategies or have adopted specific local policies in the two years preceding the date of the solicitation (Wolfson et al., 2011; Reboussin, Lohman, and Wolfson, 2006). Communities in each of the five states receiving funding were matched based on population, median family income, percentages of the population that were black, Hispanic, speak Spanish, and currently in college, and, where available, the arrest rate of 16- to 20-year-olds for liquor law violations. After creation of 35 matched pairs, communities with a pair were randomly assigned to either the intervention or comparison condition (Wolfson et al., 2011; Reboussin, Lohman, and Wolfson, 2006). These procedures resulted in excellent balance between the intervention and comparison conditions on both community characteristics and on the characteristics of youth who participated in the youth survey (Wolfson et al., 2011).

Methods

Policy Tracking.

The goal of policy tracking was to assess the existence and dimensions of local policies that have the potential for reducing or preventing underage alcohol use. Based on our literature review, 12 key public policies were preliminarily identified:

1. Advertising Restrictions
2. Days and Hours of Sale
3. Alcohol Outlet Density
4. Restaurant to Bar Morphing
5. Conditional Use Permits (CUPs)
6. Responsible Beverage Service (RBS)
7. Drink Specials
8. Keg Registration
9. Local Events
10. Social Host Ordinances (SHO)
11. Taxes
12. Underage in Bars

The team collected policy information from all 272 EUDL-National Evaluation (NE) and EUDL-Community Trial (CT) communities and their corresponding county or county seat, for a total of 544 communities. The team also collected policy information for the 22 states where the communities are located.

The team started by developing a policy review protocol based on previous work by LaFond and colleagues (2000) and Tremper and colleagues (2010). Key search terms were identified and piloted in 2 study communities (one city and one county) in 11 states for a total of 22 communities representing communities in EUDL-CT and EUDL-NE prior to conducting the full policy search. The team met during the process to discuss modification of search terms and search strategies. The pilot study enabled the study team to create a final list of targeted search terms and strategies to use when searching municipal codes for ordinances related to underage drinking.

The policy search was divided by state among 4 data collectors who searched on-line municipal and county codes for the 12 identified policies in all 544 communities and the 22 states. On-line resources included Municode, American Legal Publisher, and Ecode 360. If policies were not available in these 3 sites, google searches and municipal/county websites were searched. When municipal or county codes were not available on line, or there appeared to be discrepancies or more information was needed, the city or county clerks were contacted via email or phone to request clarification. Ordinances collected in the first phase were then reviewed for effect dates to determine how the current versions related to the EUDL study periods. Extensive follow-up was then also conducted with city and county clerks in order to collect copies of historical ordinance versions that were in effect at the start of the relevant study periods, if that version was no longer current. This procedure was often necessary as the EUDL study periods preceded the development of the online code

repositories, and thus earlier versions were unavailable in web format. Policies that were enacted or amended during the timeframe of the EUDL-NE or EUDL-CT study were included in the policy tracking database along with current policy data. Data was collected from 524 (96%) of the 544 communities and all 22 states.

Policy coding. The first level of coding used qualitative data analysis software NVivo version 8 (QSR International) to determine the types of policies in each community. Data collectors were trained on how to use NVivo and coded all collected data for presence of policy types, community by community. A second coder then reviewed coding by policy type and assessed whether to keep coding as it had been applied. This process helped to identify ordinances that were appropriate for coding for further policy details, described below.

To develop a comprehensive codebook, a conceptual model that identifies characteristics of the collected policy types that are hypothesized to impact behavior was developed. Team members were assigned policy types and drafted policy codebook sections informed by existing literature, team experience, and model ordinances. The full codebook is available in the appendix. All twelve sections included the following standardized items or series of items, along with additional items that were more specific to the policy:

1. Does the policy exist? Y/N
2. Recent effective date
3. Recent adoption date
4. Documentation of any prior amendments to the ordinance
5. Penalty structure
6. Adoption of/Reference to state statutes

Key features of each policy type that are known or hypothesized to be associated with impacting underage drinking were discussed with the study consultant before the codebook was finalized. Policies were coded based on the effective dates of the evaluation period (historical data) and also the effective date of the policy data (current policy) at time of policy collection (2013).

Database. In addition to collecting the policy data and creating a codebook, the team developed a web-based database for policy coding so that policies could be double coded. The team started coding policies from the EUDL-CT communities first. Two coders were trained and all EUDL-CT policies were double coded in order to assure coding eligibility. Double coding was assessed and found to have a high level of agreement. Cases where there were disagreements in coding were discussed and consensus coding was achieved; coding definitions were refined in response to these discussion. Based on the high level of agreement in coding local policies in the EUDL-CT communities, it was decided not to double code the EUDL-NE communities. Therefore, one coder coded the remaining EUDL-NE community policies.

For communities where any alcohol legislation was in place, each policy type (for each community) had at minimum one ordinance version entered into the database and up to as many as three or more. In communities where the last time that an ordinance was updated preceded the start of the relevant EUDL study period, only the most current version was

coded. Similarly, in communities where the earliest ordinance version followed the close of the study period, only the most current ordinance was coded. Where the ordinances differed between the start of the study periods and the current version, both were coded. If ordinances were revised for content at any point during the study period, all versions that were in effect at any time during the relevant EUDL study period were coded.

Once all effective dates had been collected, each policy type for each community was categorized by policy status:

1. ***Adopter***: Policy adopted for the first time during study period
2. ***Non-adopter***: No policy in place at start of study period, and policy not adopted during study period
3. ***Sustainer, no change***: Policy in place at start of study period, no revision or amendment during study period
4. ***Sustainer, with change***: Policy in place at start of study period, revision(s) or amendment(s) during study period
5. ***Non-Sustainer***: Policy in place at start of study period, and repealed during study period

Policy Indices. In addition to creating discrete measures of policies, we sought to create one or more indices of policies potentially related to underage drinking. Our motivation for this was that not just individual policies, but the overall policy environment, is likely to be an important factor in shaping behavior—including adult and youth behaviors related to underage drinking and its consequences (Erickson et al., 2014). While there have been a number of efforts to create indices of state-level policy pertaining to general population or youth alcohol use and problems (Erickson et al., 2014; Naimi et al., 2013), to our knowledge, there are no publications reporting local-level alcohol policy indices. In order to create the indices, we conducted exploratory factor analyses, based on data from policy tracking (which is described above). Data on seven policies that we believed to be most likely to affect underage drinking, based on the literature reviewed above, were used in the factor analysis. These policies were: (1) restrictions on days and hours of sale, (2) restrictions on alcohol outlet density, (3) restrictions on retail alcohol outlets offering “drink specials” (e.g., two drinks for the price of one), (4) restrictions on local events involving alcohol, (5) social host ordinances, (6) local taxes on alcohol, and (7) restrictions on underage people being present in bars. In order to characterize the policy environment in each community in the study, we coded each of the seven policies as follows in order to create overall policy indices: 0 if there was neither a local nor a state policy, 1 where there was a state policy only, 2 where there was a local policy only, and 3 where there was both a state and a local policy. We then conducted exploratory factor analyses to identify potential scales to use in subsequent analyses of the impact of policy on youth drinking behaviors. The results of these factor analyses are presented in the *Results* section, below.

Survey Data.

Law Enforcement Agency (LEA) Survey. Data from EUDL-NE and EUDL-CT LEA surveys were combined across all years. The study team looked at an agreement analysis for the responses from multiple community agencies in the LEA data to determine how to utilize the responses in analyses. Once these data were cleaned and compared, the decision was made to use

the self-reported designation of police or sheriff by the respondent rather than the agency type as reported in the tracking sheets, primarily because this information was not always available in the tracking sheets and when it was, there was good agreement with the more complete self-report.

Youth Survey. Survey data from EUDL-NE and EUDL-CT Youth Surveys were combined across all years. Subsequently, the Youth Survey was combined with the LEA surveys. The combined dataset of LEA and Youth Surveys was used to identify optimal combinations of local policies and enforcement strategies to prevent use among older adolescents.

Archival Data – This component of the study compiled county and community policy, crash data, and census data.

- **Crash data.** Our primary focus was to collect crash data from the 22 states in which the study communities and counties resided. First, we searched state agency databases to collect non-fatal crashes, city or county level data, for each state. Searches were followed up with emails, a data request letter and/or phone calls to each state agency for data request, the following non-fatal crash data elements were requested for all study cities or counties in the 22 states.
 - Age of driver
 - Alcohol involvement of driver (contributing circumstance)
 - Time & Date (month/day/year) of crash
 - Location of crash (address, city and county)
 - Number of vehicles involved in crash
 - Injury severity (fatal, injury, PDO)

These requests resulted in obtaining data from 13 states.

Next, we contacted the State Data System (SDS) at National Highway Traffic Safety Administration (NHTSA) for data purchasing. Crash data from eight states was purchased through SDS at \$150 per state, but only after a state agency approved the data release request. For the final state, we contacted the Highway Safety Information System (HSIS) managed by University of North Carolina Highway Safety Research Center under contact with Federal Highway Administration (FHA) and purchased the data. Therefore, we collected some crash data from 21 of the 22 states in which the study communities and counties reside.

Once we collected the data and began to create study variables, we found that 15 of the states had sufficient data to create the study variables. In three states, the data supplied to us did not contain the requested study period crash data (VA, LA, WA). Sufficient crash data for creating study variables was not available in two states (MA, NV). [We requested six items, but all six items were not available in the data; therefore, we couldn't create the study variables.] A partial year's data for the requested study period was provided by 2 states (NY, CA).

- **Census data.**

We obtained Census data for the years 2000 & 2010 for each community for characteristics such as: total population, household (e.g. family, single); race, ethnicity, age, education, college enrollment, income, employment status, and poverty status.

- **Uniform Crime Report Data.**

We originally planned to compile Uniform Crime Report (UCR) data. However, in the process of compiling UCR data, we learned that data for several years of the study were not available for many communities, including one entire state (Florida, which has communities in both the EUDL-NE and EUDL-CT samples). This data was to be used for control variables, not for key predictor or outcome variables. Thus, because of the level of missing data, and it being non-essential data for the analyses of interest, we did not include UCR data in the analyses presented below.

Analyses

Analyses of Policy Data. As described above, the team conducted an analysis of seven of the 12 policy types to examine the relationship between local policy and state policy. The seven policies were included in the analysis based on evidence of effectiveness and popularity of policy with state and local communities. The policies selected for these analyses include alcohol outlet density, days/hours of sale, drink specials, local events, social host ordinances, taxes, and underage in bars. For each policy type, we determined the presence of state policy (Yes/No) and the presence of local community policy (Yes/No). Descriptive results are presented in the RESULTS section.

For the analyses examining the relationship between the **local policy environment and youth behavior**, we focused on five self-reported outcome variables: (1) attending a drinking party (past 12 months), (2) getting drunk (past 30 days), current drinking (past 30 days), (3) perceived likelihood that police would catch you drinking, and (4) having experienced one or more nonviolent consequences of drinking (past 12 months). Each community was categorized by the policy indices at the three time points at which the youth survey was conducted (Time 1, Time 2, and Time 3). Because the different outcomes for each individual are likely to be correlated (Liang and Zeger, 1993), we adopted a population-averaged, multivariate modeling approach for analyzing multiple binary outcomes (Das, Poole and Bada, 2004). This approach simultaneously modeled all of the youth behavior outcomes as a function of the policy indices. Models included time and interaction between time and each of the policy indices for each outcome.

For the analyses examining the relationship between the **local policy environment and alcohol-involved motor vehicle crashes**, we focused on the same five outcome variables. Following Gruenwald and Johnson (2010) and others, we used single-vehicle nighttime crashes as a proxy measure of alcohol-involved crashes. The outcome variable was, for each site (community), the ratio of single-vehicle nighttime crashes to multiple vehicle daytime crashes among individuals under the age of 21. This approach of using a ratio has been used previously to control for unmeasured factors that could contribute to both alcohol-involved and non-alcohol-involved factors, such as road conditions and variations in overall enforcement of traffic laws (Fell et al.,

2016). For the analyses reported here, we examined the cross-sectional association, at Time 3, of the policy indices and our measure of alcohol-involved crashes. SAS PROC MIXED was used for modelling.

Analyses of Law Enforcement Strategy Data. Analyses of the youth data compared changes from baseline to follow-up in the binary (Y/N) outcomes of past 30 day drinking, getting drunk, binge drinking, experiencing non-violent consequences from drinking, riding with a drinking driver, beliefs that police will catch them if they drink, and parents providing alcohol at a party between youth in communities where law enforcement has or has not implemented strategies. Each community was categorized by the reporting of implementation of a particular law enforcement strategy at baseline and the last follow-up assessment, as described in the methods: Adopter (A); Non-adopter (NA); Sustainer (S); Non-Sustainer (NS). Traditional statistical approaches would model each outcome using logistic regression where the probability of reporting the behavior (e.g. past 30 day drinking) is modeled as a function of the four law enforcement strategy categorizations (adopter, non-adopter, sustainer, non-sustainer). However, the different outcomes for each individual are likely to be correlated. They also broadly purport to measure the same underlying condition or construct (i.e. risky drinking behavior). Ignoring the correlation can result in a loss of precision (Liang and Zeger, 1993) and modeling outcomes separately leaves the analysis vulnerable to a multiple comparisons problem. For this reason, we adopted a population-averaged, multivariate modeling approach for analyzing multiple binary outcomes (Das, Poole and Bada, 2004). This approach simultaneously modeled all of the risky drinking behavior outcomes as a function of law enforcement strategy categorizations. Even though the outcomes are broadly measuring the same construct, we have scientific interest in outcome-specific effects so that law enforcement strategy coefficients were allowed to vary by outcome. Models included time and an interaction between law enforcement strategy and time that were outcome-specific. The evaluation of the law enforcement strategies is given by a test of the interaction. In other words, the question of interest is whether changes over time in behavior are dependent on the presence of a law enforcement strategy. All models adjusted for individual gender and race as well as community level census characteristics (percent married couples, percent college educated, percent employed, percent grandparents as caregivers, percent white) and current community-specific underage drinking rates. In order to gain efficiency, adjustment for potential confounding effects was not outcome-specific. Models were fit separately for youth aged 14-17 and 18-20. Analyses were performed using SAS PROC GENMOD.

Results

Local Policies and Underage Drinking

The Landscape of State and Local Alcohol Policy

The panels of Table 2, below, show the results of policy tracking, in order to provide a sense of the “landscape” of state and local policy related to underage drinking in our sample of 271 communities across 22 states. Each panel shows a cross tabulation of the existence of a local policy and a state policy for each of seven policies: (1) restrictions on alcohol outlet density, (2) restrictions on the days and hours of sale of alcohol outlets, (3) restrictions on drink specials, (4) restrictions on local events, (5) social host ordinances (and/or state laws), (6) taxation of alcoholic beverages, and (7) restrictions on entry of underage persons into bars.

Table 2. Number of Study Communities with State and Local Policies Related to Underage Drinking, 2015

Alcohol Outlet Density			
		State Policy	
		Yes	No
Local Policy	Yes	24	13
	No	91	143

States with this policy: CA, CT, FL, IL, MO, NJ, NY

Days/Hours of Sale			
		State Policy	
		Yes	No
Local Policy	Yes	74	15
	No	162	20

States with this policy: CA, CT, FL, GA, IL, MA, ME, MI, MN, MO, NC, NM, NY, OH, PA, VA, WI

Drink Specials			
		State Policy	
		Yes	No
Local Policy	Yes	3	6
	No	157	105

States with this policy: CT, , GA, IL, ME, MI, NC, NJ, NM, NY, OH, PA, VA, WA

Local Events.			
		State Policy	
		Yes	No
Local Policy	Yes	64	53

	No	31	123
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States with this policy: CA, CT, FL, NJ, NY

Social Host Ordinance			
		State Policy	
		Yes	No
Local Policy	Yes	25	16
	No	64	166

States with this policy: CT, FL, IL, MI, MO

Taxes			
		State Policy	
		Yes	No
Local Policy	Yes	12	0
	No	260	0

States with this policy: ALL States have Alcohol Tax Law, except NJ (which is not in the sample)

Underage in Bars		
		State Policy
		Yes No

Local Policy	Yes	18	6
	No	148	99

State: CA, CT, FL, LA, ME, MO, NM, NV, NY, PA, WA, WI

Several observations may be made on the descriptive data on state and local policies related to underage drinking. First, we can rank order the policies by the extent to which they are present, in some form, in local communities—whether as a result of state law, local ordinance, or both. Thus, 100% of the communities are governed by alcohol tax policy, 92.6% by policy related to days and hours of sale, 63.5% by policy restricting underage persons in bars, 61.2% by policy restricting drink specials, 54.6% by policy regulating local events involving sale of alcoholic beverages, 47.2% by policy related to alcohol outlet density, and 38.7% by social host laws or ordinances. Second, some policy coverage primarily stems from state actions (e.g., taxes, underage persons in bars, drink specials, and days and hours of sale), and some from state and local actions (e.g., restrictions on local events); none are primarily driven by local action. We will return to the opportunities for local policy innovation in the discussion section of this report, after examining the results of modelling the relationship between policy and youth and crash outcomes.

Creation of Policy Indices

As described in the *Methods* section, above, we used exploratory factor analysis to identify appropriate summary measures of the policy environment in communities.

Table 3. Results of Exploratory Factor Analysis to Create Policy Indices			
Policy Index			
Policy	Factor Loading		
Policy Index Based on 7 Policies			
	Factor 1	Factor 2	Factor 3
Alcohol Outlet Density	.812	.074	-.203
Local Events	.669	-.169	.059
Days & Hours of Sale	.629	.151	-.109
Social Host	.602	-.275	.175
Underage in Bars	.502	-.249	-.050

Drink Specials	.451	.249	.496
Tax	.104	.627	-.076
N=269. Chi-Square = 5.790. DF = 3. P=.122			
Policy Index Based on 5 Policies			
Alcohol Outlet Density	.782		
Local Events	.685		
Days & Hours of Sale	.618		
Social Host	.590		
Underage in Bars	.528		
N=269. Chi-Square = 16.565. DF = 5. P=.005			

As can be seen above, the Policy Index based on five policies provided the best outcome. We used this index, as well as two single items based on existence of a tax policy and existence of restrictions on drink specials (coded as described earlier), in the subsequent analyses.

Relationships between Policies and Underage Drinking

Results of the analysis of the relationship between the three policy measures and self-reported underage drinking behaviors and consequences are shown in the table, below. The Time 3 (vs. Time 1) parameter estimates are of primary interest. In cases where they are statistically significant, a relationship between the policy and outcome of interest is indicated.

Table 4. Policy Indices X Time Interactions for Youth Drinking Outcomes				
Outcome Variable	Parameter Estimates – Policy Score			
	14-17 Year Olds		18-20 Year Olds	
	Time 2 (vs. T1)	Time 3 (vs. T1)	Time 2 (vs. T1)	Time 3 (vs. T1)
Attended Drinking Party	-.038	-.084*	-.015	-.058
Got Drunk (Past Month)	-.010	-.006	.054	.059
Perceived Likelihood Police would Catch You Drinking	.006	.011	-.043	-.099

Past 30-day Drinking	.020	.028	.003	.017
Experienced Nonviolent Consequences of Drinking	.032	.034	.064	.035
Parameter Estimates – Tax Score				
Attended Drinking Party	.042	.139	.302	.289***
Got Drunk (Past Month)	.054	-.031	.051	.038
Perceived Likelihood Police would Catch You Drinking	.011	.099	.162	.107
Past 30-day Drinking	.103	-.053	.047	-.015
Experienced Nonviolent Consequences of Drinking	.018	-.100	.075	-.034
Parameter Estimates – Drink Specials Score				
Attended Drinking Party	.063	-.001	-.042	-.013
Got Drunk (Past Month)	-.028	-.253	.203	.264
Perceived Likelihood Police would Catch You Drinking	.085	.068	.114	-.005
Past 30-day Drinking	.022	-.014	-.090	.048
Experienced Nonviolent Consequences of Drinking	-.128	-.182	.206	.182

***P<.05; **P<.01; ***P<.001**

As can be seen in the table, there are two significant relationships. The first is a negative relationship between the Policy Score and youth reporting that they had attended a drinking party in the past year. The negative relationship indicates that higher values on the Policy Score are related to lower prevalence of past-year drinking party attendance among youth, aged 14-17. The second is, among 18-20-year olds, the tax score is positively related to attendance at a past-year drinking party. This is consistent with the observation in the literature that parties are a place where youth can often obtain low-cost alcohol; thus, when taxes increase, there may be a tendency for youth to seek out such parties.

Relationships between Policies and Crashes Involving Youth

As can be seen in the table below, we did not find a relationship between any of the policy indices and our measure of alcohol-related crashes among youth.

Table 5. Policy Indices as a Predictor of Single-Vehicle Nighttime Crashes/Multiple-Vehicle Daytime Crashes Involving Youth (N=152 Communities)			
Outcome Variable	Parameter Estimates		
	Policy Score	Tax Score	Drink Specials Score
Crash Ratio (SVNC/MVDC)	-.014	-.081	-.011

*P<.05; **P<.01; ***P<.001

Local Enforcement Efforts and Underage Drinking

The Landscape of Local Enforcement Efforts

For the following two tables, the abbreviations below are used.

1. **Adopter (A)**: Policy adopted for the first time during study period
2. **Non-adopter (NA)**: No policy in place at start of study period, and policy not adopted during study period
3. **Sustainer (S)**: Policy in place at start of study period.
4. **Non-Sustainer**: Policy in place at start of study period, and repealed during study period

The table below shows the distribution our conceptual categories (adopter, non-adopter, sustainer, and non-sustainer), by each of the eight policies of interest.

Table 6. Distribution of Enforcement Strategies in NE Communities, Comparing Time 1 to Time 3				
Strategy	Adopter (n)	Non-Adopter (n)	Sustainer (n)	Non-Sustainer (n)
Compliance Checks	19	36	43	18
Contact Landlord	12	20	12	10
Furnishing Laws	14	59	17	26
Parking Lots	21	19	61	9
Party Patrol	15	18	13	9
Shoulder Tap	15	67	8	14
Trace Source	14	4	81	12
Sobriety Checks	6	9	21	5

Relationships between Local Enforcement Efforts and Underage Drinking

The table below shows statistically significant comparisons (p<0.05) between all 4 groups. Yellow highlighting indicates that the empirical findings are consistent with the hypothesized

direction (i.e., enforcement strategy is associated with a reduction in underage drinking behavior or consequences). (We do not present all results—only the statistically significant ones—because there are a total of 480 contrasts.

Table 7.

Strategy	Comparison	Outcome	Age Group	Parameter Estimate	Number of Communities
Compliance Checks	A vs NA	Past 30 day	16-17	-0.464*	19 vs 36
Compliance Checks	A vs NA	Non-violent	16-17	-0.534*	19 vs 36
Contact Landlord	A vs NS	Non-violent	16-17	0.663*	12 vs 10
Contact Landlord	A vs NS	Non-violent Party	16-17	-1.513*	12 vs 10
<u>Contact Landlord</u>	<u>S vs A</u>	<u>Party</u>	<u>16-17</u>	-1.731*	12 vs 12
Contact Landlord	NS vs NA	Party	18-20	0.461*	10 vs 20
Furnishing Laws	S vs NS	Non-violent	16-17	0.929**	17 vs 26
Furnishing Laws	S vs NA	Non-violent	16-17	0.693**	17 vs 59
Furnishing Laws	S vs A	Non-violent	16-17	1.221***	17 vs 14
Furnishing Laws	S vs NS	Police catch	18-20	-1.436*	17 vs 26
Furnishing Laws	S vs NA	Police catch	18-20	-0.953*	17 vs 59
Furnishing Laws	NS vs NA	Party	18-20	0.702*	26 vs 59
Parking Lots	A vs NA	Non-violent	18-20	0.684*	21 vs 19
Party Patrol	NS vs NA	Past 30 day	16-17	-0.629*	9 vs 18
Party Patrol	NS vs NA	Police catch	16-17	-0.890*	9 vs 18
Party Patrol	A vs NA	Past 30 day	18-20	0.657*	15 vs 18
Shoulder Tap	S vs NA	Party	16-17	-0.863*	8 vs 67
Shoulder Tap	A vs NS	Past 30	18-20	-0.871*	15 vs 14
Shoulder Tap	S vs NS	Drunk	18-20	0.702*	8 vs 14
Shoulder Tap	S vs NS	Non-violent	18-20	0.902*	8 vs 14
Shoulder Tap	A vs NS	Non-violent	18-20	-1.024**	15 vs 14
Shoulder Tap	NS vs NA	Non-violent	18-20	-0.782*	14 vs 67
Trace Source	S vs NA	Police catch	16-17	0.989*	81 vs 4
Trace Source	A vs NS	Non-violent	16-17	0.767*	14 vs 12
Trace Source	S vs A	Non-violent	16-17	0.416*	81 vs 14
Sobriety Checks	S vs A	Past 30	16-17	-0.716*	21 vs 6

*p<.05; **p<.01; ***p<.001

Discussion.

In this discussion, we begin with a few reflections on the process of compiling local data. We then discuss the results of the analysis of policies, followed by a discussion of the results of the analysis of law enforcement strategies. We then describe next steps, both for the study team, and for the field.

Process of Compiling Local Data

We demonstrated in this study that systematically identifying and coding *current* policies from a large sample of local communities is feasible—albeit highly labor intensive. That said, all of the existing sources of data on historical policies (i.e., past policies) are often spotty, at best. This created some challenges for us—as it presents for research on the effects of local policy, in general.

Policy Results

During the study period, we completed the first-ever analysis (to our knowledge) of the joint occurrence (or non-occurrence) of state and local policy. The preliminary results of this analysis were presented at the Alcohol Policy 17 conference in Arlington, VA, in March of this year (2016), to a large and highly engaged audience (Wolfson and Ellerbee, 2016). We are currently working on a manuscript reporting these results, for submission to a peer-reviewed scientific journal.

That analysis pointed to several areas where policies known or likely to be effective at the local level are seldom used, ceding policymaking to state authorities, or leaving a vacuum with respect to policy (i.e., neither a state nor a local policy being present). These policy vacuums can be easily identified by examining the number of communities listed in the “No Local Policy” and “No State Policy” cell of the 2X2 tables presented in the results section, above. Policies that make sense to focus on at the local level (because of a policy vacuum), where possible (with there being at least one community in a having a policy being a good indication that it is not preempted by state law—see list below the 2X2 table for each policy) include restrictions on alcohol outlet density, drink specials, local events, social host policies, and underage individuals being allowed in bars.

Policy Results

As reported above, we found two significant relationships between policy indices and youth behavior. The first is a negative relationship between the Policy Score and youth reporting that they had attended a drinking party in the past year. The negative relationship indicates that higher values on the Policy Score are related to lower prevalence of past-year drinking party attendance among youth, aged 14-17. The second is, among 18-20-year olds, the tax score is positively related to attendance at a past-year drinking party. This is consistent with the

observation in the literature that parties are a place where youth can often obtain low-cost alcohol; thus, when taxes increase, there may be a tendency for youth to seek out such parties.

Law Enforcement Strategy Results

In the table presenting results of the analysis of law enforcement strategies, yellow highlighting indicates that the presence of a policy at the local level is associated with reduced levels of underage drinking or consequences. Because there are multiple comparisons, consistent trends in these data are of the greatest interest. Based on this analysis, it appears that compliance checks, enforcement of furnishing laws, shoulder tap operations, and, to some extent, party patrols, are law enforcement strategies that are likely to have an impact on underage drinking and its consequences.

Limitations.

This study has a number of limitations. It is based on observational data, so causal relationships are uncertain. Moreover, there may be measurement error in the assessment of policies. That said, this is one of the few studies of the impact of local policies on underage drinking.

Implications for Policy and Practice, and Future Research

While these are preliminary results, in need of replication, they do have several implications. First, we found that finding historical data on local policy change is very challenging. This is a challenge for the field of alcohol policy research, and creative solutions need to be found. Second, we created an index of alcohol policy that seems to have some predictive validity (the Policy Score). It would be useful to replicate and test this index in future research. Third, we found that some policy domains are relatively untapped, and are in need in further testing and implementation at both the state and local level. Fourth, we found that the policy index was related to lower prevalence of attendance at underage drinking parties among youth; this is an important finding that could inform future community-level efforts. Fifth, we found a positive relationship between the tax score and partygoing; this suggests that communities that enact local tax authority may want to address underage drinking parties, through enforcement efforts and social host policies, at the same time. Finally, we did not find a consistent relationship between enforcement efforts and underage drinking; this is a key area for future research.

Next Steps

The next steps for our study team involve publication of our findings in the peer-reviewed literature. We are working on a paper reporting the results of the descriptive analysis of the presence or absence of policies at the state and local level (“The Landscape of State and Local Alcohol Policy”). As mentioned above, a preliminary version of these results was presented at a national meeting earlier this year (Wolfson and Ellerbee, 2016). We also plan a paper that will examine the separate and combined effects of policy and enforcement strategies on key indicators of underage drinking and its consequences, building on the law enforcement strategy results reported here.

The effects of local policy and enforcement on underage drinking is a vital issue for future policy and research. It will be important to conduct not only observational studies, such as the study we report on here, but prospective studies as well—such as our current NIAAA-funded study of policy and enforcement focused on teen drinking parties (using such policies as social host ordinances).

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Appendices.

Appendix 1: Policy Tracking Codebook.

EUDL-FIRE Policy Codebook

Codebook Sections:

1. [Advertising Restrictions](#)
2. [Days and Hours of Sale](#)
3. [Alcohol Outlet Density](#)
4. [Restaurant to Bar Morphing](#)
5. [Conditional Use Permits \(CUPs\)](#)
6. [Responsible Beverage Service \(RBS\)](#)
7. [Drink Specials](#)
8. [Keg Registration](#)
9. [Local Events](#)
10. [Social Host Ordinances \(SHO\)](#)
11. [Local Taxes](#)
12. [Underage in Bars](#)

P Categor ory (if applica ble)	Variable Number	Variable Name	Description	Codes
	AD1	Ads_yn	Is there a provision regulating alcoholic beverage advertisement outdoors? →If answer is NO, skip to next section on page x.	1 = Yes 2 = No
	AD2.01	Ads_adopt	What date was this adopted ? <u>Notes:</u> Enter <88/88/8888> if not specified.	<mm/dd/yyyy>
	AD2.02	Ads_effect	On what date was this specified to become effective ? <u>Notes:</u> Enter <88/88/8888> if not specified.	<mm/dd/yyyy>
	AD3.01	Ads_amend	Of which iteration of this policy (within the study period) is this the transcription?	0 = Earliest 1 = First Amendment 2 = Second Amendment 3 = Third Amendment

x. Advertising Restrictions

				4 = Fourth Amendment 5 = Fifth Amendment
Place	AD4	Ads_radius	Does the ordinance specify a radius around certain locations within which alcoholic beverage advertisements cannot be placed outdoors? →If answer is NO, enter '-7' for n/a for all items in AD5, AD6, and AD7. Continue at AD8.	1 = Yes 2 = No
Place	AD8.01	ADS_warning	Does the ordinance allow for a warning to be given first prior to any other action?	1 = Yes 2 = No
Place	AD8.02	ADS_offense_multi	Are penalties specified for multiple offenses (i.e., first, second, third and subsequent)? →If NO, enter '-7' or 'N/A' for SH18 – SH27.	1 = Yes 2 = No -8 = Not specified
Place	AD8.03	ADS_offense1	A [first] violation of the provision results in what type of an offense? →If no offense are specified for violations of this ordinance, enter '-7' or 'N/A' for all items below, then continue with SH28.	1 = Civil 2 = Criminal 3 = Response cost recovery -8 = Not specified

x. Advertising Restrictions

			<p><u>Notes:</u> A ‘cost recovery provision’ details how municipality, law enforcement agency, emergency personnel, etc. can recover the cost of services that were utilized in responding to the party in question.</p>	
Place	AD8.04	ADS_called1	<p>A [first] violation of the provision is referred to as what?</p> <p><u>Notes:</u> Examples include “administrative citation,” “misdemeanor,” “infraction.”</p>	<text>
Place	AD9	ADS_civil_fine1	<p>If [first] violation results in a civil offense, what is the maximum penalty fine? (\$)</p> <p><u>Notes:</u> If no fine is listed, enter ‘-8’ for none specified. If violation does not result in a civil offense, enter ‘-7’ for n/a.</p>	<number>
Place	AD10	ADS_crim_fine1	<p>If [first] violation results in a criminal offense, what is the maximum penalty fine? (\$)</p> <p><u>Notes:</u> If no fine is listed, enter ‘-8’ for none specified. If violation does not result in a criminal offense, enter ‘-7’ for n/a.</p>	<number>
Place	AD11	ADS_crim_jail1	<p>If [first] violation results in a criminal offense, what is the maximum jail time? (in months)</p>	<text>

x. Advertising Restrictions

			<p><u>Notes:</u> If no jail time is listed, enter 'Not specified.' If violation does not result in a criminal offense, enter 'Not applicable.'</p>	
Place	AD12	ADS_response1	<p>If [first] violation collects response recovery costs, what is the amount collected? (\$)</p> <p><u>Notes:</u> If no recovery cost is specified, enter ' allowed, but none specified.' If violation does not collect recovery costs, enter 'n/a.'</p>	<text>
Place	AD13	ADS_offense2	<p>A second violation of the provision results in what type of an offense?</p> <p>→If an offense is not specified for a second violation of this ordinance, enter '-7' or 'N/A' for all following items, then continue with SH28.</p>	<p>1 = Civil</p> <p>2 = Criminal</p> <p>3 = Response cost recovery</p> <p>-8 = Not specified</p> <p>-7 = N/A</p>
Place	AD14.01	ADS_called2	<p>A second violation of the provision is referred to as what?</p> <p><u>Notes:</u> Examples include "administrative citation," "misdemeanor," "infraction."</p>	<text>
Place	AD15	ADS_civil_fine2	<p>If second violation results in a civil offense, what is the maximum penalty fine? (\$)</p>	<number>

x. Advertising Restrictions

			<p><u>Notes:</u> If no fine is listed, enter '-8' for none specified. If violation does not result in a civil offense, enter '-7' for n/a.</p>	
Place	AD16	ADS_crim_fine2	<p>If second violation results in a criminal offense, what is the maximum penalty fine? (\$)</p> <p><u>Notes:</u> If no fine is listed, enter '-8' for none specified. If violation does not result in a criminal offense, enter '-7' for n/a.</p>	<number>
Place	AD17	ADS_crim_jail2	<p>If second violation results in a criminal offense, what is the maximum jail time? (in months)</p> <p><u>Notes:</u> If no jail time is listed, enter 'Not specified.' If violation does not result in a criminal offense, enter 'Not applicable.'</p>	<text>
Place	AD18	ADS_response2	<p>If second violation collects response recovery costs, what is the amount collected? (\$)</p> <p><u>Notes:</u> If no recovery cost is specified, enter 'allowed, but none specified.' If violation does not collect recovery costs, enter 'n/a.'</p>	<text>
Place	AD19	ADS_offense3	<p>A third violation of the provision results in what type of an offense?</p>	<p>1 = Civil</p> <p>2 = Criminal</p>

x. Advertising Restrictions

			→If an offense is not specified for a second violation of this ordinance, enter '-7' or 'N/A' for all following items, then continue with SH28.	3 = Response cost recovery -8 = Not specified -7 = N/A
Place	AD19.01	ADS_called3	A third violation of the provision is referred to as what? <u>Notes: Examples include "administrative citation," "misdemeanor," "infraction."</u>	<text>
Place	AD20	ADS_civil_fine3	If third violation results in a civil offense, what is the maximum penalty fine? (\$) <u>Notes:</u> If no fine is listed, enter '-8' for none specified. If violation does not result in a civil offense, enter '-7' for n/a.	<number>
Place	AD21	ADS_crim_fine3	If third violation results in a criminal offense, what is the maximum penalty fine? (\$) <u>Notes:</u> If no fine is listed, enter '-8' for none specified. If violation does not result in a criminal offense, enter '-7' for n/a.	<number>
Place	AD22	ADS_crim_jail3	If third violation results in a criminal offense, what is the maximum jail time? (in months)	<text>

x. Advertising Restrictions

			<u>Notes:</u> If no jail time is listed, enter 'Not specified.' If violation does not result in a criminal offense, enter 'Not applicable.'	
Place	AD23	ADS_response3	If third violation collects response recovery costs, what is the amount collected? (\$) <u>Notes:</u> If no recovery cost is specified, enter 'allowed, but none specified.' If violation does not collect recovery costs, enter "n/a."	<text>
	AD24	Ads_state	Does this ordinance refer to state statute(s)? If so please enter reference here: <u>Notes:</u> If no state statute(s) is referenced, enter 'not specified.'	<text>
	AD25	Ads_notes	Please list any additional information or notes, including but not limited to code sections that need to be followed up on: <u>Notes:</u> Enter 'none' if there is no information to follow up on.	<text>
	ADx.01	Ads_amend	Was an ordinance addressing this policy type passed later in the study period? <u>Notes:</u> NE Round1 dates, 07/15/1999 – 12/09/2001	1 = Yes 2 = No

x. Advertising Restrictions

			NE Round 2 dates, 07/26/2000 – 12/02/2002 NE Round 4 dates, 06/18/2002 – 10/16/2004 CT dates, 01/17/2004 – 08/09/2007 →If answer is NO, enter 'not applicable' or -9 for all subsequent items.	
	ADx.02	Ads_amend_when	Enter the date of the later ordinance:	<date>
	ADx.03	Ads_amend_change	Did this later ordinance change components of the policy type that are included in this codebook? →If answer is YES, full codebook will be active for data entry. →If answer is NO, enter 'not applicable' or -9 for all subsequent items.	1 = Yes 2 = No

x. Advertising Restrictions

P	Var. #	Variable Name	Description	Codes
	DH1.01	DH_yn	Does this community have an ordinance specifying days and/or hours of sale? <u>→If answer is NO, skip to next section on page xx.</u>	1 = Yes 2 = No
	DH1.02	DH_Sunday	Does this ordinance apply to Sunday sales only?	1 = Yes 2 = No
	DH2.01	DH_adopt	What date was this adopted ? <u>Notes:</u> Enter <88/88/8888> if not specified.	<MM/DD/YYYY>
	DH2.02	DH_effect	On what date was this specified to become effective ? <u>Notes:</u> Enter <88/88/8888> if not specified.	<MM/DD/YYYY>
	DH3.01	DH_amend	Of which iteration of this policy (within the study period) is this the transcription?	0 = Earliest 1 = First Amendment 2 = Second Amendment 3 = Third Amendment 4 = Fourth

x. Days and Hours of Sale

				Amendment 5 = Fifth Amendment
Place	DH4	DH_earliest	Is there a specific time of earliest sale, generally for all alcohol outlets? →If answer is NO, enter '77:77' for DH5. Continue at <u>DH6</u> .	1 = Yes 2 = No
Place	DH5	DH_earliest	What is the time of earliest sale, generally for all alcohol outlets?	<HH:MM>
Place	DH6	DH_last	Is there a specific time of last sale, generally for all alcohol outlets? →If answer is NO, enter '77:77' for DH7. Continue at <u>DH8</u> .	1 = Yes 2 = No
Place	DH7	DH_last	What is the time of last sale, generally for all alcohol outlets?	<HH:MM>
Place	DH26.01	DH_warning	Does the ordinance allow for a warning to be given first prior to any other action?	1 = Yes 2 = No
Place	DH26.02	DH_offense_multi	Are penalties specified for multiple offenses (i.e., first, second, third and subsequent)? →If NO, enter '-7' or 'N/A' for SH18 – SH27.	1 = Yes 2 = No -8 = Not specified
Place	DH26.03	DH_offense1	A [first] violation of the provision results in what type of an	1 = Civil

x. Days and Hours of Sale

			<p>offense?</p> <p>→ If no offense are specified for violations of this ordinance, enter '-7' or 'N/A' for all items below, then continue with SH28.</p> <p><u>Notes:</u> A 'cost recovery provision' details how municipality, law enforcement agency, emergency personnel, etc. can recover the cost of services that were utilized in responding to the party in question.</p>	<p>2 = Criminal</p> <p>3 = Response cost recovery</p> <p>-8 = Not specified</p>
Place	DH26.04	DH_called1	<p>A [first] violation of the provision is referred to as what?</p> <p><u>Notes:</u> Examples include "administrative citation," "misdemeanor," "infraction."</p>	<text>
Place	DH27	DH_civil_fine1	<p>If [first] violation results in a civil offense, what is the maximum penalty fine? (\$)</p> <p><u>Notes:</u> If no fine is listed, enter '-8' for none specified. If violation does not result in a civil offense, enter '-7' for n/a.</p>	<number>
Place	DH28	DH_crim_fine1	<p>If [first] violation results in a criminal offense, what is the</p>	<number>

x. Days and Hours of Sale

			<p>maximum penalty fine? (\$)</p> <p><u>Notes:</u> If no fine is listed, enter '-8' for none specified. If violation does not result in a criminal offense, enter '-7' for n/a.</p>	
Place	DH29	DH_crim_jail1	<p>If [first] violation results in a criminal offense, what is the maximum jail time? (in months)</p> <p><u>Notes:</u> If no jail time is listed, enter 'Not specified.' If violation does not result in a criminal offense, enter 'Not applicable.'</p>	<text>
Place	DH30	DH_response1	<p>If [first] violation collects response recovery costs, what is the amount collected? (\$)</p> <p><u>Notes:</u> If no recovery cost is specified, enter ' allowed, but none specified.' If violation does not collect recovery costs, enter 'n/a.'</p>	<text>
Place	DH31	DH_offense2	<p>A second violation of the provision results in what type of an offense?</p> <p>→If an offense is not specified for a second violation of this ordinance, enter '-7' or 'N/A' for all following items, then continue with SH28.</p>	<p>1 = Civil</p> <p>2 = Criminal</p> <p>3 = Response cost recovery</p> <p>-8 = Not specified</p>

x. Days and Hours of Sale

				-7 = N/A
Place	DH31.01	DH_called2	<p>A second violation of the provision is referred to as what?</p> <p><u>Notes: Examples include “administrative citation,” “misdemeanor,” “infraction.”</u></p>	<text>
Place	DH32	DH_civil_fine2	<p>If second violation results in a civil offense, what is the maximum penalty fine? (\$) <u>Notes: If no fine is listed, enter ‘-8’ for none specified. If violation does not result in a civil offense, enter ‘-7’ for n/a.</u></p>	<number>
Place	DH33	DH_crim_fine2	<p>If second violation results in a criminal offense, what is the maximum penalty fine? (\$) <u>Notes: If no fine is listed, enter ‘-8’ for none specified. If violation does not result in a criminal offense, enter ‘-7’ for n/a.</u></p>	<number>
Place	DH34	DH_crim_jail2	<p>If second violation results in a criminal offense, what is the maximum jail time? (in months) <u>Notes: If no jail time is listed, enter ‘Not specified.’ If violation does not result in a criminal offense, enter ‘Not applicable.’</u></p>	<text>
Place	DH35	DH_response2	<p>If second violation collects response recovery costs, what is the amount collected? (\$)</p>	<text>

x. Days and Hours of Sale

			<p><u>Notes:</u> If no recovery cost is specified, enter ‘allowed, but none specified.’ If violation does not collect recovery costs, enter ‘ n/a.’</p>	
Place	DH36	DH_offense3	<p>A third violation of the provision results in what type of an offense?</p> <p>→If an offense is not specified for a second violation of this ordinance, enter ‘-7’ or ‘N/A’ for all following items, then continue with SH28.</p>	<p>1 = Civil</p> <p>2 = Criminal</p> <p>3 = Response cost recovery</p> <p>-8 = Not specified</p> <p>-7 = N/A</p>
Place	DH36.01	DH_called3	<p>A third violation of the provision is referred to as what?</p> <p><u>Notes: Examples include “administrative citation,” “misdemeanor,” “infraction.”</u></p>	<text>
Place	DH37	DH_civil_fine3	<p>If third violation results in a civil offense, what is the maximum penalty fine? (\$)</p> <p><u>Notes:</u> If no fine is listed, enter ‘-8’ for none specified. If violation does not result in a civil offense, enter ‘-7’ for n/a.</p>	<number>
Place	DH38	DH_crim_fine3	<p>If third violation results in a criminal offense, what is the maximum penalty fine? (\$)</p>	<number>

x. Days and Hours of Sale

			<p><u>Notes:</u> If no fine is listed, enter '-8' for none specified. If violation does not result in a criminal offense, enter '-7' for n/a.</p>	
Place	DH39	DH_crim_jail3	<p>If third violation results in a criminal offense, what is the maximum jail time? (in months)</p> <p><u>Notes:</u> If no jail time is listed, enter 'Not specified.' If violation does not result in a criminal offense, enter 'Not applicable.'</p>	<text>
Place	DH40	DH_response3	<p>If third violation collects response recovery costs, what is the amount collected? (\$)</p> <p><u>Notes:</u> If no recovery cost is specified, enter 'allowed, but none specified.' If violation does not collect recovery costs, enter " n/a.'</p>	<text>
	DH41	DH_state	<p>Does this ordinance refer to state statute(s)? If so please enter reference here:</p> <p><u>Notes:</u> If no state statute(s) is referenced, enter 'not specified.'</p>	<text>
	DH42	DH_notes	<p>Please list any additional information or notes, including but not limited to code sections that need to be followed up on:</p>	<text>

x. Days and Hours of Sale

			<u>Notes:</u> Enter 'none' if there is no information to follow up on.	
	DHx.01	DH_amend	<p>Was an ordinance addressing this policy type passed later in the study period?</p> <p><u>Notes:</u></p> <p>NE Round1 dates, 07/15/1999 – 12/09/2001</p> <p>NE Round 2 dates, 07/26/2000 – 12/02/2002</p> <p>NE Round 4 dates, 06/18/2002 – 10/16/2004</p> <p>CT dates, 01/17/2004 – 08/09/2007</p> <p>→If answer is NO, enter 'not applicable' or -9 for all subsequent items.</p>	<p>1 = Yes</p> <p>2 = No</p>
	DHx.02	DH_amend_when	Enter the date of the later ordinance:	<date>
	DHx.03	DH_amend_change	<p>Did this later ordinance change components of the policy type that are included in this codebook?</p> <p>→If answer is YES, full codebook will be active for data entry.</p> <p>→If answer is NO, enter 'not applicable' or -9 for all subsequent items.</p>	<p>1 = Yes</p> <p>2 = No</p>

x. Days and Hours of Sale

P	Variable Number	Variable Name	Description	Codes
	AOD1	AOD_yn	Is there a provision(s) specifying where alcohol can be sold? <u>→If answer is NO, skip to next section on page xx.</u>	1 = Yes 2 = No
	AOD2.01	AOD_adopt	What date was this adopted ? <u>Notes:</u> Enter <88/88/8888> if not specified.	<mm/dd/yyyy>
	AOD2.02	AOD_effect	On what date was this specified to become effective ? <u>Notes:</u> Enter <88/88/8888> if not specified.	<mm/dd/yyyy>
	AOD3.01	AOD_amend	Of which iteration of this policy (within the study period) is this the transcription?	0 = Earliest 1 = First Amendment 2 = Second Amendment 3 = Third Amendment 4 = Fourth Amendment

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Place	AOD4	AOD_where_on	Can alcohol be sold in on-premise establishments?	1 = Yes
				2 = No

If NO, skip to AOD6.

Place	AOD5	AOD_where_on_sp	If on-premise establishments are defined, describe here:	<text>
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Place	AOD6	AOD_where_off	Can alcohol be sold in off-premise establishments?	1 = Yes
				2 = No

If NO, skip to AOD8.

Place	AOD9.01	AOD_num	Is there a limit on the number of outlets allowed in a given area?	1 = Yes
				2 = No

If NO, enter '-7' for AOD9.02 and AOD9.03. Continue at AOD10.

Place	AOD9.02	AOD_num_sp	What is the number limit for number of outlets allowed in a given area?	<number>
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Notes: If no distance is listed, enter '-8' for none specified.

Place	AOD10		Is there a limit on proximity of alcohol outlets to...
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Place	AOD10.01	AOD_church	1. Church?	1 = Yes
				2 = No

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Place	AOD10.02	AOD_church_dist	If proximity is specified, enter distance in feet here:	<number>
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Notes: If no distance is listed, enter ‘-8’ for none specified. If restriction does not apply to this location enter ‘-7’ for n/a.

Place	AOD10.03	AOD_school	2. Schools?	1 = Yes
				2 = No

Place	AOD10.04	AOD_school_dist	If radius is specified, enter distance in feet here:	<number>
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Notes: If no distance is listed, enter ‘-8’ for none specified. If restriction does not apply to this location enter ‘-7’ for n/a.

Place	AOD10.05	AOD_park	3. Public parks?	1 = Yes
				2 = No

Place	AOD10.06	AOD_park_rad	If radius is specified, enter distance in feet here:	<number>
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Notes: If no distance is listed, enter ‘-8’ for none specified. If restriction does not apply to this location enter ‘-7’ for n/a.

Place	AOD10.07	AOD_reside	4. Residential areas?	1 = Yes
				2 = No

Place	AOD10.08	AOD_reside_rad	If radius is specified, enter distance in feet here:	<number>
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xa. Regulating Alcohol Outlet Density

Notes: If no distance is listed, enter '-8' for none specified. If restriction does not apply to this location enter '-7' for n/a.

Place	AOD10.09	AOD_alcohol	5. Other alcohol outlets?	1 = Yes
				2 = No

Place	AOD10.10	AOD_alcohol_rad	If radius is specified, enter distance in feet here:	<number>
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Notes: If no distance is listed, enter '-8' for none specified. If restriction does not apply this to location enter '-7' for n/a.

Place	AOD10.11	AOD_other	6. Other establishments?	1 = Yes
				2 = No

Place	AOD10.12	AOD_other_rad	If radius is specified, enter distance in feet here:	<number>
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Notes: If no distance is listed, enter '-8' for none specified. If restriction does not apply this to location enter '-7' for n/a.

	AOD12	AOD_state	Does this ordinance refer to state statute(s)? If so please enter reference here:	<text>
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Notes: If no state statute(s) is referenced, enter 'not specified.'

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AOD13	AOD_notes	Please list any additional information or notes, including but not limited to code sections that need to be followed up on:	<text>
		<u>Notes:</u> Enter 'none' if there is no information to follow up on.	
AODx.01	AOD_amend	Was an ordinance addressing this policy type passed later in the study period?	1 = Yes 2 = No
		<u>Notes:</u> NE Round1 dates, 07/15/1999 – 12/09/2001 NE Round 2 dates, 07/26/2000 – 12/02/2002 NE Round 4 dates, 06/18/2002 – 10/16/2004 CT dates, 01/17/2004 – 08/09/2007 →If answer is NO, enter 'not applicable' or -9 for all subsequent items.	
AODx.02	AOD_amend_when	Enter the date of the later ordinance:	<date>
AODx.03	AOD_amend_change	Did this later ordinance change components of the policy type that are included in this codebook?	1 = Yes 2 = No
		→If answer is YES, full codebook will be active for data entry.	

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→ If answer is NO, enter 'not applicable' or -9 for all subsequent items.

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P	Variable Name	Description	Codes
Var. #			
M1	Morph_yn	Is there a designation or license type for an establishment that transitions/morphs from a restaurant to a bar?	1 = Yes 2 = No
		<u>→If answer is NO, skip to next section on page xx.</u>	
M2.01	Morph_adopt	What date was this adopted ?	<mm/dd/yyyy>
		<u>Notes:</u> Enter <88/88/8888> if not specified.	
M2.02	Morph_effect	On what date was this specified to become effective ?	<mm/dd/yyyy>
		<u>Notes:</u> Enter <88/88/8888> if not specified.	
M3.01	Morph_amend	Of which iteration of this policy (within the study period) is this the transcription?	0 = Earliest 1 = First Amendment 2 = Second Amendment 3 = Third Amendment 4 = Fourth

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Place	M4	Morph_landuse	Is this designation or license type restricted to specific zoning areas or land-use types?	1 = Yes 2 = No
Place	M5	Morph_hrs_open	If opening hour is specified, enter time here:	<HH:MM>
Place	M6	Morph_hrs_close	If closing hour is specified, enter time here:	<HH:MM>
Place	M7	Morph_num	Is there a restriction on the number of establishments of this designation that can be allowed to be in business?	1 = Yes 2 = No
Place	M8	Morph_DAO	Are there deemed-approved ordinances (DAOs) established for existing outlets?	1 = Yes 2 = No
			<u>Notes:</u> This provision specifies that outlets in existence as of a certain point in time are grandfathered in and not subject to this ordinance.	
	M9	Morph_state	Does this ordinance refer to state statute(s)? If so please enter reference here:	<text>
			<u>Notes:</u> If no state statute(s) is referenced, enter 'not specified.'	
	M10	Morph_notes	Please list any additional information or notes, including but not limited to code sections that need to be followed up on:	<text>

xb. Restaurant to Bar Morphing

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Notes: Enter 'none' if there is no information to follow up on.

Mx.01	Morph_amend	Was an ordinance addressing this policy type passed later in the study period?	1 = Yes 2 = No
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Notes:

NE Round1 dates, 07/15/1999 – 12/09/2001

NE Round 2 dates, 07/26/2000 – 12/02/2002

NE Round 4 dates, 06/18/2002 – 10/16/2004

CT dates, 01/17/2004 – 08/09/2007

→If answer is NO, enter 'not applicable' or -9 for all subsequent items.

Mx.02	Morph_amend_when	Enter the date of the later ordinance:	<date>
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Mx.03	Morph_amend_change	Did this later ordinance change components of the policy type that are included in this codebook?	1 = Yes 2 = No
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→If answer is YES, full codebook will be active for data entry.

→If answer is NO, enter 'not applicable' or -9 for all subsequent items.

xb. Restaurant to Bar Morphing

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P	Variable Number	Variable Name	Description	Codes
Place	CUP1	CUP_yn	Is a conditional use permit (CUP) established?	1 = Yes 2 = No
			→If answer is NO, skip to next section on page xx.	
	CUP2.01	CUP_adopt	What date was this adopted ?	<mm/dd/yyyy>
			<u>Notes:</u> Enter <88/88/8888> if not specified.	
	CUP2.02	CUP_effect	On what date was this specified to become effective ?	<mm/dd/yyyy>
			<u>Notes:</u> Enter <88/88/8888> if not specified.	
	CUP3.01	CUP_amend	Of which iteration of this policy (within the study period) is this the transcription?	0 = Earliest 1 = First Amendment 2 = Second Amendment 3 = Third Amendment 4 = Fourth Amendment

xc. Conditional Use Permits (CUPs)

5 = Fifth
Amendment

Place	CUP7	CUP_DAO	Does the ordinance address deemed-approved ordinances (DAOs) for existing outlets?	1 = Yes
				2 = No

Notes: This provision indicates that outlets in existence as of a certain point in time are grandfathered in and not subject to this ordinance.

→If answer is NO, enter ‘-7’ for ‘n/a’ for CUP8 and CUP9. Continue at CUP10

Place	CUP8	CUP_DAO_perform	Do the DAOs set performance standards for existing outlets?	1 = Yes
				2 = No

Place	CUP9	CUP_DAO_train	Do the DAOs specify training requirements for existing outlets?	1 = Yes
				2 = No

	CUP10	CUP_state	Does this ordinance refer to state statute(s)? If so please enter reference here:	<text>
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Notes: If no state statute(s) is referenced, enter ‘not specified.’

	CUP11	CUP_notes	Please list any additional information or notes, including but not limited to code sections that need to be followed up on:	<text>
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xc. Conditional Use Permits (CUPs)

Notes: Enter 'none' if there is no information to follow up on.

CUPx.01	CUP_amend	Was an ordinance addressing this policy type passed later in the study period?	1 = Yes 2 = No
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Notes:

NE Round1 dates, 07/15/1999 – 12/09/2001

NE Round 2 dates, 07/26/2000 – 12/02/2002

NE Round 4 dates, 06/18/2002 – 10/16/2004

CT dates, 01/17/2004 – 08/09/2007

→If answer is NO, enter 'not applicable' or -9 for all subsequent items.

CUPx.02	CUP_amend_when	Enter the date of the later ordinance:	<date>
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CUPx.03	CUP_amend_change	Did this later ordinance change components of the policy type that are included in this codebook?	1 = Yes 2 = No
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→If answer is YES, full codebook will be active for data entry.

→If answer is NO, enter 'not applicable' or -9 for all subsequent items.

xc. Conditional Use Permits (CUPs)

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P	Variable Number	Variable Name	Description	Codes
	RBS1	RBS_yn	Is there a provision regulating responsible beverage service/responsible server training?	1 = Yes 2 = No
			<u>→If answer is NO, skip to next section on page 18.</u>	
	RBS2.01	RBS_adopt	What date was this adopted ?	<mm/dd/yyyy>
			<u>Notes:</u> Enter <88/88/8888> if not specified.	
	RBS2.02	RBS_effect	On what date was this specified to become effective ?	<mm/dd/yyyy>
			<u>Notes:</u> Enter <88/88/8888> if not specified.	
	RBS3.01	RBS_amend	Of which iteration of this policy (within the study period) is this the transcription?	0 = Earliest 1 = First Amendment 2 = Second Amendment 3 = Third Amendment 4 = Fourth Amendment 5 = Fifth Amendment
Place	RBS4	RBS_ONPrem	Does the provision apply to on-premise outlets?	1 = Yes

xd. Responsible Beverage Service (RBS)

				2 = No
Place	RBS5	RBS_OFFPrem	Does the provision apply to off-premise outlets?	1 = Yes
				2 = No
Place	RBS6	RBS_licensetype	What type of licensee does the provision apply to?	1 = New licensees only
				2 = Existing licensees only
				3 = Both new and existing licensee
Place	RBS7	RBS_train_mand	Is the training mandatory?	1 = Yes
				2 = No
Place	RBS8	RBS_train_incent	If not mandatory, do licensees receive incentives to run trainings or to attend a state-sponsored one?	1 = Yes
				2 = No
Place	RBS9	RBS_curriculum	Are curriculum standards stated in the ordinance?	1 = Yes
				2 = No
Place	RBS10	RBS_train_custom	Is training customized?	1 = Yes
				2 = No
			→If NO, enter <-7> for 'n/a' for all items in RBS11. Continue at RBS12.	
Place	RBS16	RBS_freq	How frequently is training required?	<text>

xd. Responsible Beverage Service (RBS)

Notes: Include number and unit (e.g., 1x only, 1x/year, every 5 years). Enter 'not specified' if ordinance does not indicate a frequency for training.

Place	RBS17.01	RBS_warning	Does the ordinance allow for a warning to be given first prior to any other action?	1 = Yes 2 = No
		RBS_offense_multi	Are penalties specified for multiple offenses (i.e., first, second, third and subsequent)?	1 = Yes 2 = No -8 = Not specified
Place	RBS17.02		→If NO, enter '-7' or 'N/A' for SH18 – SH27.	
Place	RBS17.03	RBS_offense1	A [first] violation of the provision results in what type of an offense?	1 = Civil 2 = Criminal 3 = Response cost recovery -8 = Not specified
			→If no offense are specified for violations of this ordinance, enter '-7' or 'N/A' for all items below, then continue with SH28.	
			<u>Notes:</u> A 'cost recovery provision' details how municipality, law enforcement agency, emergency personnel, etc. can recover the cost of services that were utilized in responding to the party in question.	
Place	RBS17.04	RBS_called1	A [first] violation of the provision is referred to as what?	<text>

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Notes: Examples include “administrative citation,”
misdemeanor,” “infraction.”

Place	RBS18	RBS_civil_fine1	If [first] violation results in a civil offense, what is the maximum penalty fine? (\$)	<number>
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Notes: If no fine is listed, enter ‘-8’ for none specified. If violation does not result in a civil offense, enter ‘-7’ for n/a.

Place	RBS19	RBS_crim_fine1	If [first] violation results in a criminal offense, what is the maximum penalty fine? (\$)	<number>
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Notes: If no fine is listed, enter ‘-8’ for none specified. If violation does not result in a criminal offense, enter ‘-7’ for n/a.

Place	RBS20	RBS_crim_jail1	If [first] violation results in a criminal offense, what is the maximum jail time? (in months)	<text>
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Notes: If no jail time is listed, enter ‘Not specified.’ If violation does not result in a criminal offense, enter ‘Not applicable.’

Place	RBS21	RBS_response1	If [first] violation collects response recovery costs, what is the amount collected? (\$)	<text>
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xd. Responsible Beverage Service (RBS)

Notes: If no recovery cost is specified, enter ' allowed, but none specified.' If violation does not collect recovery costs, enter 'n/a.'

Place	RBS22	RBS_offense2	<p>A second violation of the provision results in what type of an offense?</p> <p>→If an offense is not specified for a second violation of this ordinance, enter '-7' or 'N/A' for all following items, then continue with SH28.</p>	<p>1 = Civil</p> <p>2 = Criminal</p> <p>3 = Response cost recovery</p> <p>-8 = Not specified</p> <p>-7 = N/A</p>
Place	RBS22.01	RBS_called2	<p>A second violation of the provision is referred to as what?</p> <p><u>Notes: Examples include “administrative citation,” “misdemeanor,” “infraction.”</u></p>	<text>
Place	RBS23	RBS_civil_fine2	<p>If second violation results in a civil offense, what is the maximum penalty fine? (\$)</p> <p><u>Notes:</u> If no fine is listed, enter '-8' for none specified. If violation does not result in a civil offense, enter '-7' for n/a.</p>	<number>
Place	RBS24	RBS_crim_fine2	<p>If second violation results in a criminal offense, what is the maximum penalty fine? (\$)</p>	<number>

xd. Responsible Beverage Service (RBS)

Notes: If no fine is listed, enter '-8' for none specified. If violation does not result in a criminal offense, enter '-7' for n/a.

Place	RBS25	RBS_crim_jail2	If second violation results in a criminal offense, what is the maximum jail time? (in months)	<text>
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Notes: If no jail time is listed, enter 'Not specified.' If violation does not result in a criminal offense, enter 'Not applicable.'

Place	RBS26	RBS_response2	If second violation collects response recovery costs, what is the amount collected? (\$)	<text>
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Notes: If no recovery cost is specified, enter 'allowed, but none specified.' If violation does not collect recovery costs, enter 'n/a.'

Place	RBS26	RBS_offense3	A third violation of the provision results in what type of an offense?	1 = Civil
				2 = Criminal
				3 = Response cost recovery
			→If an offense is not specified for a second violation of this ordinance, enter '-7' or 'N/A' for all following items, then continue with SH28.	-8 = Not specified
				-7 = N/A

Place	RBS26.01	RBS_called3	A third violation of the provision is referred to as what?	<text>
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xd. Responsible Beverage Service (RBS)

Notes: Examples include “administrative citation,”
misdemeanor,” “infraction.”

Place	RBS27	RBS_civil_fine3	If third violation results in a civil offense, what is the maximum penalty fine? (\$)	<number>
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Notes: If no fine is listed, enter ‘-8’ for none specified. If violation does not result in a civil offense, enter ‘-7’ for n/a.

Place	RBS28	RBS_crim_fine3	If third violation results in a criminal offense, what is the maximum penalty fine? (\$)	<number>
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Notes: If no fine is listed, enter ‘-8’ for none specified. If violation does not result in a criminal offense, enter ‘-7’ for n/a.

Place	RBS29	RBS_crim_jail3	If third violation results in a criminal offense, what is the maximum jail time? (in months)	<text>
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Notes: If no jail time is listed, enter ‘Not specified.’ If violation does not result in a criminal offense, enter ‘Not applicable.’

Place	RBS30	RBS_response3	If third violation collects response recovery costs, what is the amount collected? (\$)	<text>
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Notes: If no recovery cost is specified, enter ‘allowed, but none specified.’ If violation does not collect recovery costs, enter “

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		n/a.'	
RBS31	RBS_state	Does this ordinance refer to state statute(s)? If so please enter reference here:	<text>
		<u>Notes:</u> If no state statute(s) is referenced, enter 'not specified.'	
RBS32	RBS_notes	Please list any additional information or notes, including but not limited to code sections that need to be followed up on:	<text>
		<u>Notes:</u> Enter 'none' if there is no information to follow up on.	
RBSx.01	RBS_amend	Was an ordinance addressing this policy type passed later in the study period?	1 = Yes 2 = No
		<u>Notes:</u> NE Round1 dates, 07/15/1999 – 12/09/2001 NE Round 2 dates, 07/26/2000 – 12/02/2002 NE Round 4 dates, 06/18/2002 – 10/16/2004 CT dates, 01/17/2004 – 08/09/2007	
		→If answer is NO, enter 'not applicable' or -9 for all subsequent	

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items.

RBSx.02	RBS_amend_when	Enter the date of the later ordinance:	<date>
RBSx.03	RBS_amend_change	Did this later ordinance change components of the policy type that are included in this codebook?	1 = Yes 2 = No

→If answer is YES, full codebook will be active for data entry.

→If answer is NO, enter 'not applicable' or -9 for all subsequent items.

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P	Var. #	Variable Name	Description	Codes
	DS1	DS_yn	Does this community have a policy restricting drink specials?	1= Yes 2=No
	DS2.01	DS_adopt	What date was this adopted ?	<MM/DD/YYYY>
			<u>Notes:</u> Enter <88/88/8888> if not specified.	
	DS2.02	DS_effect	On what date was this specified to become effective ?	<MM/DD/YYYY>
			<u>Notes:</u> Enter <88/88/8888> if not specified.	
	DS3.01	DS_amend	Of which iteration of this policy (within the study period) is this the transcription?	0 = Earliest 1 = First Amendment 2 = Second Amendment 3 = Third Amendment 4 = Fourth Amendment 5 = Fifth Amendment

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Product	DS4	DS_size	Does the ordinance specify beverage size or container? If YES, please indicate size, with units, or container. <u>Notes:</u> Enter <-8> if not specified.	<text>
Price	DS5	DS_bogo	Does ordinance prohibit multiple drinks for single price?	1 = Yes 2 = No
Price	DS6	DS_personmulti	Does ordinance prohibit sale of more than one drink to any one person at a time?	1 = Yes 2 = No
Price	DS7	DS_personprice	Does ordinance prohibit drink specials to one person or group of persons at prices less than those charged others for that day? (ex: 'Ladies Night', birthdays)	1 = Yes 2 = No
Price	DS8	DS_increasevol	Does the ordinance prohibit increased alcohol volume without proportional price increase?	1 = Yes 2 = No
Price	DS9	DS_retailcost	Does the ordinance prohibit selling alcohol for less than cost of beverage to the retailer/licensee?	1 = Yes 2 = No
Price	DS10	DS_pricesched	Does the ordinance require a schedule of all drink prices served? If YES what is the minimum amount of time prices shall be effective? Include units.	<text>

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Notes: Enter 'not specified' if no schedule of drink prices is specified.

Place	DS11	DS_underage	Does ordinance restrict underage individuals from entering premise during drink specials?	1 = Yes 2 = No
Place	DS24	DS_offprem	Does ordinance prohibit unfinished alcohol be taken off premise?	1 = Yes 2 = No
Promotion	DS13	DS_adv	Does ordinance restrict advertising of specials?	1 = Yes 2 = No
Promotion	DS14.01	DS_name	Does ordinance restrict what specials can be called? (ex: Happy Hour?)	1 = Yes 2 = No
→If NO, enter 'not applicable' for DS14.02. Continue at DS15				
Promotion	DS14.02	DS_name_sp	Specify restrictions what specials can be called:	<text>
Place	DS15	DS_takeaway	Does ordinance restrict "take-aways" with special?	1 = Yes 2 = No
Promotion	DS16	DS_game	Does ordinance prohibit any game or contest involving drinking or awarding of alcoholic beverage as a prize?	1 = Yes 2 = No
Place	DS17	DS_earliest	Does ordinance specify limitations on times that specials can be offered, generally for all alcohol outlets?	1 = Yes 2 = No

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→If answer is NO, enter '77:77' for 'N/A' for DS18 and DS19. Continue at DS20.

Place DS18 **DS_earliest** What is the time of earliest sale, generally for all alcohol outlets? <HH:MM>

Place DS19 **DS_last** What is the time of last sale, generally for all alcohol outlets? <HH:MM>

Place	DS39.01	DS_warning	Does the ordinance allow for a warning to be given first prior to any other action?	1 = Yes 2 = No
		DS_offense_multi	Are penalties specified for multiple offenses (i.e., first, second, third and subsequent)?	1 = Yes 2 = No -8 = Not specified
Place	DS39.02			
			→If NO, enter '-7' or 'N/A' for SH18 – SH27.	
Place	DS39.3	DS_offense1	A [first] violation of the provision results in what type of an offense?	1 = Civil 2 = Criminal 3 = Response cost recovery -8 = Not specified
			→If no offense are specified for violations of this ordinance, enter '-7' or 'N/A' for all items below, then continue with SH28.	

Notes: A 'cost recovery provision' details how municipality, law enforcement agency, emergency personnel, etc. can recover the cost of services that were utilized in responding to the party

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in question.

Place	DS39.04	DS_called1	A [first] violation of the provision is referred to as what?	<text>
			<u>Notes: Examples include “administrative citation,” “misdemeanor,” “infraction.”</u>	
Place	DS40	DS_civil_fine1	If [first] violation results in a civil offense, what is the maximum penalty fine? (\$)	<number>
			<u>Notes:</u> If no fine is listed, enter ‘-8’ for none specified. If violation does not result in a civil offense, enter ‘-7’ for n/a.	
Place	DS41	DS_crim_fine1	If [first] violation results in a criminal offense, what is the maximum penalty fine? (\$)	<number>
			<u>Notes:</u> If no fine is listed, enter ‘-8’ for none specified. If violation does not result in a criminal offense, enter ‘-7’ for n/a.	
Place	DS42	DS_crim_jail1	If [first] violation results in a criminal offense, what is the maximum jail time? (in months)	<text>
			<u>Notes:</u> If no jail time is listed, enter ‘Not specified.’ If violation does not result in a criminal offense, enter ‘Not applicable.’	
Place	DS43	DS_response1	If [first] violation collects response recovery costs, what is the	<text>

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amount collected? (\$)

Notes: If no recovery cost is specified, enter ' allowed, but none specified.' If violation does not collect recovery costs, enter 'n/a.'

Place	DS44	DS_offense2	A second violation of the provision results in what type of an offense?	1 = Civil 2 = Criminal 3 = Response cost recovery -8 = Not specified -7 = N/A
			→If an offense is not specified for a second violation of this ordinance, enter '-7' or 'N/A' for all following items, then continue with SH28.	
Place	DS45.01	DS_called2	A second violation of the provision is referred to as what?	<text>
			<u>Notes:</u> Examples include "administrative citation," "misdemeanor," "infraction."	
Place	DS46	DS_civil_fine2	If second violation results in a civil offense, what is the maximum penalty fine? (\$)	<number>
			<u>Notes:</u> If no fine is listed, enter '-8' for none specified. If violation does not result in a civil offense, enter '-7' for n/a.	

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Place	DS47	DS_crim_fine2	If second violation results in a criminal offense, what is the maximum penalty fine? (\$)	<number>
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Notes: If no fine is listed, enter '-8' for none specified. If violation does not result in a criminal offense, enter '-7' for n/a.

Place	DS48	DS_crim_jail2	If second violation results in a criminal offense, what is the maximum jail time? (in months)	<text>
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Notes: If no jail time is listed, enter 'Not specified.' If violation does not result in a criminal offense, enter 'Not applicable.'

Place	DS49	DS_response2	If second violation collects response recovery costs, what is the amount collected? (\$)	<text>
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Notes: If no recovery cost is specified, enter 'allowed, but none specified.' If violation does not collect recovery costs, enter 'n/a.'

Place	DS50	DS_offense3	A third violation of the provision results in what type of an offense?	1 = Civil
				2 = Criminal
				3 = Response cost recovery
			→If an offense is not specified for a second violation of this ordinance, enter '-7' or 'N/A' for all following items, then continue with SH28.	-8 = Not specified

x. Drink Specials

				-7 = N/A
Place	DS50.01	DS_called3	A third violation of the provision is referred to as what?	<text>
<u>Notes: Examples include “administrative citation,” misdemeanor,” “infraction.”</u>				
Place	DS51	DS_civil_fine3	If third violation results in a civil offense, what is the maximum penalty fine? (\$)	<number>
<u>Notes:</u> If no fine is listed, enter ‘-8’ for none specified. If violation does not result in a civil offense, enter ‘-7’ for n/a.				
Place	DS52	DS_crim_fine3	If third violation results in a criminal offense, what is the maximum penalty fine? (\$)	<number>
<u>Notes:</u> If no fine is listed, enter ‘-8’ for none specified. If violation does not result in a criminal offense, enter ‘-7’ for n/a.				
Place	DS53	DS_crim_jail3	If third violation results in a criminal offense, what is the maximum jail time? (in months)	<text>
<u>Notes:</u> If no jail time is listed, enter ‘Not specified.’ If violation does not result in a criminal offense, enter ‘Not applicable.’				
Place	DS54	DS_response3	If third violation collects response recovery costs, what is the	<text>

x. Drink Specials

amount collected? (\$)

Notes: If no recovery cost is specified, enter 'allowed, but none specified.' If violation does not collect recovery costs, enter "n/a.'

DS55	DS_state	Does this ordinance refer to state statute(s)? If so please enter reference here:	<text>
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Notes: If no state statute(s) is referenced, enter 'not specified.'

DS56	DS_notes	Please list any additional information or notes, including but not limited to code sections that need to be followed up on:	<text>
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Notes: Enter 'none' if there is no information to follow up on.

DSx.01	DS_amend	Was an ordinance addressing this policy type passed later in the study period?	1 = Yes 2 = No
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Notes:

NE Round1 dates, 07/15/1999 – 12/09/2001

NE Round 2 dates, 07/26/2000 – 12/02/2002

NE Round 4 dates, 06/18/2002 – 10/16/2004

x. Drink Specials

CT dates, 01/17/2004 – 08/09/2007

→If answer is NO, enter 'not applicable' or -9 for all subsequent items.

DSx.02	DS_amend_when	Enter the date of the later ordinance:	<date>
DSx.03	DS_amend_change	Did this later ordinance change components of the policy type that are included in this codebook?	1 = Yes 2 = No

→If answer is YES, full codebook will be active for data entry.

→If answer is NO, enter 'not applicable' or -9 for all subsequent items.

x. Drink Specials

P	Var. #	Variable Name	Description	Codes
	KReg1	KReg_yn	Does this community have an ordinance on Keg Registration?	1 = Yes 2 = No
			<u>If answer is NO, skip to next section on page xx.</u>	
	KReg2	KReg_adopt	What date was this adopted ?	<mm/dd/yyyy>
			<u>Notes:</u> Enter <88/88/8888> if not specified.	
	KReg3	KReg_effect	On what date was this specified to become effective ?	<mm/dd/yyyy>
			<u>Notes:</u> Enter <88/88/8888> if not specified.	
	KReg3.01	KReg_amend	Of which iteration of this policy (within the study period) is this the transcription?	0 = Earliest 1 = First Amendment 2 = Second Amendment 3 = Third Amendment 4 = Fourth Amendment 5 = Fifth Amendment
	KReg4	KReg_depo	Is a deposit amount stated in the ordinance? If YES, enter amount (in dollars).	<number>

x. Keg Registration

Notes: If NO, enter '-7' for 'not applicable.'

	KReg7	KReg_id	Does the ordinance require the buyer to show identification?	1 = Yes 2 = No
Product	KReg8		What information is required on the registration?	1=Yes 2=No
Product	KReg8.01	KReg_date	1. Date of Sale	1=Yes 2=No
Product	KReg8.02	KReg_size	2. Size of Keg	1=Yes 2=No
Product	KReg8.03	KReg_location	3. Location where keg will be served	1=Yes 2=No
Product	KReg8.04	KReg_kegid	4. Keg Identification Number	1=Yes 2=No
Product	KReg8.05	KReg_depositamt	5. Amount of Deposit	1=Yes 2=No

x. Keg Registration

Product	KReg8.06	KReg_name	6. Name of Purchaser	1=Yes
				2=No
Product	KReg8.07	KReg_address	7. Address of Purchaser	1=Yes
				2=No
Product	KReg8.08	KReg_dob	8. Date of Birth of Purchaser	1=Yes
				2=No
Product	KReg8.09	KReg_idtype	9. Form of ID presented by purchaser	1=Yes
				2=No
	KReg9	Kreg_records	Does the ordinance require the keg registration/ records be kept for a designated time frame?	1 =Yes 2 = No
			→If NO, enter ‘-7’ for ‘N/A’ for KReg10. Continue at KReg11.	
	KReg10	Kreg_records_time	How long does registration/records need to be kept for? (in months)	<number>
	KReg11	Kreg_numkegs	Does the ordinance place a limit on the number of kegs the buyer can purchase in a specified time period?	1 = Yes 2 = No
			→If NO, enter ‘-7’ for ‘N/A’ for KReg12 and KReg13. Continue at KReg14.	

x. Keg Registration

	KReg12	Kreg_numkegs_time	What time frame is specified? (in months)	<number>
	KReg13	Kreg_numkegs_num	What number of kegs is specified for this time frame? (in months)	<number>
Product	KReg14	KReg_label	Is a label/seal required on the keg?	1 = Yes
				2 = No
			→If NO, enter ‘-7’ for ‘N/A’ for all items in KReg15. Continue at KReg16	
Product	KReg15		What information is required on the label?	1=Yes
				2=No
Product	KReg15.01	KReg_date	1. Retailer Name	1=Yes
				2=No
Product	KReg15.02	KReg_size	2. Name of Purchaser	1=Yes
				2=No
Product	KReg15.03	KReg_location	3. Keg ID number	1=Yes
				2=No
	KReg15.04	KReg_kegid	4. Other	1=Yes
				2=No
Price	KReg16	KReg_laberemov	Does the ordinance state a penalty for purchaser for labeled kegs returned without the label?	1 =Yes

x. Keg Registration

2 = No

→If NO, enter ‘-7’ for ‘N/A’ for KReg17. Continue at KReg18

Price	KReg17	KReg_labelremvo_pen	If “Yes” what is the penalty?	<number>
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Notes: Enter <-8> if not specified.

Product	KReg18	KReg_sign	Does the buyer sign a statement attesting to the accuracy of the purchaser’s information?	1 = Yes
				2 = No

Product	KReg19	KReg_declare	Does the ordinance require the buyer to sign a declaration stating no one under age of 21 will be allowed to drink from the keg?	1 = Yes
				2 = No

Place	KReg20.01	KReg_warning	Does the ordinance allow for a warning to be given first prior to any other action?	1 = Yes
				2 = No

Place	KReg20.02	KReg_offense_multi	Are penalties specified for multiple offenses (i.e., first, second, third and subsequent)?	1 = Yes
				2 = No
				-8 = Not specified

→If NO, enter ‘-7’ or ‘N/A’ for SH18 – SH27.

Place	KReg20.03	KReg_offense1	A [first] violation of the provision results in what type of an offense?	1 = Civil
				2 = Criminal
				3 = Response cost recovery
			→If no offense are specified for violations of this ordinance,	

x. Keg Registration

enter '-7' or 'N/A' for all items below, then continue with SH28. -8 = Not specified

Notes: A 'cost recovery provision' details how municipality, law enforcement agency, emergency personnel, etc. can recover the cost of services that were utilized in responding to the party in question.

Place	KRe20.04	KReg_called1	A [first] violation of the provision is referred to as what?	<text>
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Notes: Examples include "administrative citation," "misdemeanor," "infraction."

Place	KReg21	KReg_civil_fine1	If [first] violation results in a civil offense, what is the maximum penalty fine? (\$)	<number>
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Notes: If no fine is listed, enter '-8' for none specified. If violation does not result in a civil offense, enter '-7' for n/a.

Place	KReg22	KReg_crim_fine1	If [first] violation results in a criminal offense, what is the maximum penalty fine? (\$)	<number>
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Notes: If no fine is listed, enter '-8' for none specified. If violation does not result in a criminal offense, enter '-7' for n/a.

x. Keg Registration

Place	KReg23	KReg_crim_jail1	If [first] violation results in a criminal offense, what is the maximum jail time? (in months)	<text>
			Notes: If no jail time is listed, enter 'Not specified.' If violation does not result in a criminal offense, enter 'Not applicable.'	
Place	KReg24	KReg_response1	If [first] violation collects response recovery costs, what is the amount collected? (\$)	<text>
			Notes: If no recovery cost is specified, enter ' allowed, but none specified.' If violation does not collect recovery costs, enter 'n/a.'	
Place	KReg25	KReg_offense2	A second violation of the provision results in what type of an offense?	1 = Civil 2 = Criminal 3 = Response cost recovery -8 = Not specified -7 = N/A
			→If an offense is not specified for a second violation of this ordinance, enter '-7' or 'N/A' for all following items, then continue with SH28.	
Place	KReg25.01	KReg_called2	A second violation of the provision is referred to as what?	<text>
			Notes: Examples include "administrative citation," "misdemeanor," "infraction."	

x. Keg Registration

Place	KReg 26	KReg_civil_fine2	If second violation results in a civil offense, what is the maximum penalty fine? (\$)	<number>
			<u>Notes:</u> If no fine is listed, enter '-8' for none specified. If violation does not result in a civil offense, enter '-7' for n/a.	
Place	KReg 27	KReg_crim_fine2	If second violation results in a criminal offense, what is the maximum penalty fine? (\$)	<number>
			<u>Notes:</u> If no fine is listed, enter '-8' for none specified. If violation does not result in a criminal offense, enter '-7' for n/a.	
Place	KReg 28	KReg_crim_jail2	If second violation results in a criminal offense, what is the maximum jail time? (in months)	<text>
			<u>Notes:</u> If no jail time is listed, enter 'Not specified.' If violation does not result in a criminal offense, enter 'Not applicable.'	
Place	KReg 29	KReg_response2	If second violation collects response recovery costs, what is the amount collected? (\$)	<text>
			<u>Notes:</u> If no recovery cost is specified, enter 'allowed, but none specified.' If violation does not collect recovery costs, enter 'n/a.'	

x. Keg Registration

Place	KReg 30	KReg_offense3	<p>A third violation of the provision results in what type of an offense?</p> <p>→If an offense is not specified for a second violation of this ordinance, enter ‘-7’ or ‘N/A’ for all following items, then continue with SH28.</p>	<p>1 = Civil</p> <p>2 = Criminal</p> <p>3 = Response cost recovery</p> <p>-8 = Not specified</p> <p>-7 = N/A</p>
Place	KReg 30.01	KReg_called3	<p>A third violation of the provision is referred to as what?</p> <p><u>Notes: Examples include “administrative citation,” “misdemeanor,” “infraction.”</u></p>	<text>
Place	KReg 31	KReg_civil_fine3	<p>If third violation results in a civil offense, what is the maximum penalty fine? (\$)</p> <p><u>Notes:</u> If no fine is listed, enter ‘-8’ for none specified. If violation does not result in a civil offense, enter ‘-7’ for n/a.</p>	<number>
Place	KReg 32	KReg_crim_fine3	<p>If third violation results in a criminal offense, what is the maximum penalty fine? (\$)</p> <p><u>Notes:</u> If no fine is listed, enter ‘-8’ for none specified. If violation does not result in a criminal offense, enter ‘-7’ for n/a.</p>	<number>

x. Keg Registration

Place	KReg 33		If third violation results in a criminal offense, what is the maximum jail time? (in months)	<text>
		KReg_crim_jail3		
			<u>Notes:</u> If no jail time is listed, enter 'Not specified.' If violation does not result in a criminal offense, enter 'Not applicable.'	
Place	KReg 34	KReg_response3	If third violation collects response recovery costs, what is the amount collected? (\$)	<text>
			<u>Notes:</u> If no recovery cost is specified, enter 'allowed, but none specified.' If violation does not collect recovery costs, enter "n/a.'	
	KReg38	KReg_state	Does this ordinance refer to state statute(s)? If so please enter reference here:	<text>
			<u>Notes:</u> If no state statute(s) is referenced, enter 'not specified.'	
	KReg39	KReg_notes	Please list any additional information or notes, including but not limited to code sections that need to be followed up on:	<text>
			<u>Notes:</u> Enter 'none' if there is no information to follow up on.	
	KRegx.01	KReg_amend	Was an ordinance addressing this policy type passed later in the study period?	1 = Yes 2 = No

x. Keg Registration

Notes:

NE Round1 dates, 07/15/1999 – 12/09/2001

NE Round 2 dates, 07/26/2000 – 12/02/2002

NE Round 4 dates, 06/18/2002 – 10/16/2004

CT dates, 01/17/2004 – 08/09/2007

→If answer is NO, enter 'not applicable' or -9 for all subsequent items.

KRegx.02	KReg_amend_when	Enter the date of the later ordinance:	<date>
KRegx.03	KReg_amend_change	Did this later ordinance change components of the policy type that are included in this codebook?	1 = Yes 2 = No

→If answer is YES, full codebook will be active for data entry.

→If answer is NO, enter 'not applicable' or -9 for all subsequent items.

x. Keg Registration

P	Var. #	Variable Name	Description	Codes
	LE1	LE_ord	Does this community have an ordinance regulating alcohol consumption/sale at local events?	1 = Yes 2 = No
			→ If NO, skip to next section on page xx	
	LE2.01	LE_adopt	What date was this adopted ?	<MM/DD/YYYY>
			<u>Notes:</u> Enter <88/88/8888> if not specified.	
	LE2.02	LE_effect	On what date was this specified to become effective ?	<MM/DD/YYYY>
			<u>Notes:</u> Enter <88/88/8888> if not specified.	
	LE3.01	LE_amend	Of which iteration of this policy (within the study period) is this the transcription?	0 = Earliest 1 = First Amendment 2 = Second Amendment 3 = Third Amendment 4 = Fourth Amendment 5 = Fifth

x. Local Events

			Amendment
LE4	LE_permit	Does ordinance require a permit/license for sale or service of alcohol at local events?	1 = Yes 2 = No
→If NO, enter '-7' for 'N/A' for LE5 and LE6. Continue at LE7			
LE7	LE_insur	Does ordinance state requirement for licensee to have liability insurance?	1 = Yes 2 = No
LE8	LE_type	Does ordinance place restrictions on event type?	1 = Yes 2 = No
→If NO, enter '-7' for 'N/A' for all items in LE9. Continue at LE10.			
LE10	LE_venuesell	Does ordinance specify what types of venues are allowed to sell or service alcohol?	1 = Yes 2 = No
→If NO, enter '-7' for 'N/A' for all items in LE 11. Continue at LE12.			
LE11		What types of venues are allowed to sell or service alcohol?	
LE11.01	LE_park	1. Parks	1 = Yes 2 = No -7 = N/A

x. Local Events

LE11.02	LE_street	2. Streets	1 = Yes
			2 = No
			-7 = N/A
LE11.03	LE_sport	3. Sport Complexes	1 = Yes
			2 = No
			-7 = N/A
LE11.04	LE_block	4. Rental Halls	1 = Yes
			2 = No
			-7 = N/A
LE11.05	LE_other	5. Theaters	1 = Yes
			2 = No
			-7 = N/A
LE11.06	LE_other	6. Other	1 = Yes
			2 = No
			-7 = N/A
LE12	LE_area	Does ordinance require a designated area for alcohol consumption?	1 = Yes
			2 = No

→If NO, enter '-7' for 'N/A' for LE13 and LE14. Continue at LE15

x. Local Events

LE13	LE_contain	Does ordinance require the designated area to be contained?	1 = Yes 2 = No -7 = N/A
LE14	LE_underage	Does ordinance prohibit anyone under 21 from the designated area?	1 = Yes 2 = No -7 = N/A
LE18	LE_alctyp	Does ordinance specify which types of alcohol can be sold at local events?	1 = Yes 2 = No
LE19		Which type(s) of alcohol can be sold at local events? →If NO, enter '-7' for 'N/A' for all items in LE19. Continue at LE20	
LE19.01	LE_beer	1. Beer	1 = Yes 2 = No -7 = N/A
LE19.02	LE_wine	2. Wine	1 = Yes 2 = No -7 = N/A
LE19.03	LE_liquor	3. Liquor	1 = Yes

x. Local Events

			2 = No
			-7 = N/A
LE20	LE_howbuy	Does ordinance specify how alcohol can be purchased?	1 = Yes
			2 = No
		→If NO, enter '-7' for 'N/A' for items in LE21. Continue at LE22	
LE21		How can alcohol be purchased?	
LE21.01	LE_cash	1. Cash	1 = Yes
			2 = No
			-7 = N/A
LE21.02	LE_script	2. Script	1 = Yes
			2 = No
			-7 = N/A
LE21.03	LE_stamp	3. Hand stamp	1 = Yes
			2 = No
			-7 = N/A
LE21.04	LE_wrist	4. Wristband	1 = Yes
			2 = No
			-7 = N/A

x. Local Events

LE21.05	LE_other	5. Other	1 = Yes 2 = No -7 = N/A
LE22	LE_cup	Does ordinance limit cup size? →If NO, enter '-7' for 'N/A' for LE23. Continue at LE24	1 = Yes 2 = No
LE23	LE_size	Please indicate cup size limit: <u>Notes:</u> Enter <-8> if not specified.	<number>
LE24	LE_purchase	Does ordinance restrict purchase quantity? →If NO, enter '-7' for 'N/A' for LE25. Continue at LE26	1 = Yes 2 = No
LE25	LE_quantity	Please indicate purchase quantity allowed (in units): <u>Notes:</u> Enter <-8> if not specified.	<number>
LE27	LE_serv_train	Does ordinance require server training?	1 = Yes 2 = No
LE28	LE_serv_age	Does ordinance require server to be 21?	1 = Yes

x. Local Events

				2 = No
	LE31	LE_security	Does ordinance require security at event?	1 = Yes
				2 = No
Place	LE34.01	LE_warning	Does the ordinance allow for a warning to be given first prior to any other action?	1 = Yes
				2 = No
Place	LE34.02	LE_offense_multi	Are penalties specified for multiple offenses (i.e., first, second, third and subsequent)?	1 = Yes
				2 = No
			→If NO, enter ‘-7’ or ‘N/A’ for SH18 – SH27.	-8 = Not specified
Place	LE34.03	LE_offense1	A [first] violation of the provision results in what type of an offense?	1 = Civil
				2 = Criminal
			→If no offense are specified for violations of this ordinance, enter ‘-7’ or ‘N/A’ for all items below, then continue with SH28.	3 = Response cost recovery
				-8 = Not specified
 <u>Notes:</u> A ‘cost recovery provision’ details how municipality, law enforcement agency, emergency personnel, etc. can recover the cost of services that were utilized in responding to the party in question.				

x. Local Events

Place	LE34.04	LE_called1	A [first] violation of the provision is referred to as what?	<text>
			<u>Notes: Examples include “administrative citation,” “misdemeanor,” “infraction.”</u>	
Place	LE35	LE_civil_fine1	If [first] violation results in a civil offense, what is the maximum penalty fine? (\$)	<number>
			<u>Notes:</u> If no fine is listed, enter ‘-8’ for none specified. If violation does not result in a civil offense, enter ‘-7’ for n/a.	
Place	LE36	LE_crim_fine1	If [first] violation results in a criminal offense, what is the maximum penalty fine? (\$)	<number>
			<u>Notes:</u> If no fine is listed, enter ‘-8’ for none specified. If violation does not result in a criminal offense, enter ‘-7’ for n/a.	
Place	LE37	LE_crim_jail1	If [first] violation results in a criminal offense, what is the maximum jail time? (in months)	<text>
			<u>Notes:</u> If no jail time is listed, enter ‘Not specified.’ If violation does not result in a criminal offense, enter ‘Not applicable.’	
Place	LE38	LE_response1	If [first] violation collects response recovery costs, what is the amount collected? (\$)	<text>

x. Local Events

Notes: If no recovery cost is specified, enter ' allowed, but none specified.' If violation does not collect recovery costs, enter 'n/a.'

Place	LE39	LE_offense2	A second violation of the provision results in what type of an offense?	1 = Civil 2 = Criminal 3 = Response cost recovery -8 = Not specified -7 = N/A
			→If an offense is not specified for a second violation of this ordinance, enter '-7' or 'N/A' for all following items, then continue with SH28.	
Place	LE39.01	LE_called2	A second violation of the provision is referred to as what?	<text>
			<u>Notes: Examples include "administrative citation," "misdemeanor," "infraction."</u>	
Place	LE40	LE_civil_fine2	If second violation results in a civil offense, what is the maximum penalty fine? (\$)	<number>
			<u>Notes:</u> If no fine is listed, enter '-8' for none specified. If violation does not result in a civil offense, enter '-7' for n/a.	
Place	LE41	LE_crim_fine2	If second violation results in a criminal offense, what is the maximum penalty fine? (\$)	<number>

x. Local Events

Notes: If no fine is listed, enter '-8' for none specified. If violation does not result in a criminal offense, enter '-7' for n/a.

Place	LE42	LE_crim_jail2	If second violation results in a criminal offense, what is the maximum jail time? (in months)	<text>
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Notes: If no jail time is listed, enter 'Not specified.' If violation does not result in a criminal offense, enter 'Not applicable.'

Place	LE43	LE_response2	If second violation collects response recovery costs, what is the amount collected? (\$)	<text>
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Notes: If no recovery cost is specified, enter 'allowed, but none specified.' If violation does not collect recovery costs, enter 'n/a.'

Place	LE44	LE_offense3	A third violation of the provision results in what type of an offense?	1 = Civil
				2 = Criminal
				3 = Response cost recovery
			→If an offense is not specified for a second violation of this ordinance, enter '-7' or 'N/A' for all following items, then continue with SH28.	-8 = Not specified
				-7 = N/A

Place	LE44.01	LE_called3	A third violation of the provision is referred to as what?	<text>
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x. Local Events

Notes: Examples include “administrative citation,”
misdemeanor,” “infraction.”

Place	LE45	LE_civil_fine3	If third violation results in a civil offense, what is the maximum penalty fine? (\$)	<number>
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Notes: If no fine is listed, enter ‘-8’ for none specified. If violation does not result in a civil offense, enter ‘-7’ for n/a.

Place	LE46	LE_crim_fine3	If third violation results in a criminal offense, what is the maximum penalty fine? (\$)	<number>
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Notes: If no fine is listed, enter ‘-8’ for none specified. If violation does not result in a criminal offense, enter ‘-7’ for n/a.

Place	LE47	LE_crim_jail3	If third violation results in a criminal offense, what is the maximum jail time? (in months)	<text>
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Notes: If no jail time is listed, enter ‘Not specified.’ If violation does not result in a criminal offense, enter ‘Not applicable.’

Place	LE48	LE_response3	If third violation collects response recovery costs, what is the amount collected? (\$)	<text>
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x. Local Events

Notes: If no recovery cost is specified, enter 'allowed, but none specified.' If violation does not collect recovery costs, enter "n/a.'

LE49	LE_state	Does this ordinance refer to state statute(s)? If so please enter reference here:	<text>
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Notes: If no state statute(s) is referenced, enter 'not specified.'

LE50	LE_notes	Please list any additional information or notes, including but not limited to code sections that need to be followed up on:	<text>
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Notes: Enter 'none' if there is no information to follow up on.

LEEx.01	LE_amend	Was an ordinance addressing this policy type passed later in the study period?	1 = Yes 2 = No
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Notes:

NE Round1 dates, 07/15/1999 – 12/09/2001

NE Round 2 dates, 07/26/2000 – 12/02/2002

NE Round 4 dates, 06/18/2002 – 10/16/2004

CT dates, 01/17/2004 – 08/09/2007

x. Local Events

→If answer is NO, enter 'not applicable' or -9 for all subsequent items.

LEEx.02	LE_amend_when	Enter the date of the later ordinance:	<date>
LEEx.03	LE_amend_change	Did this later ordinance change components of the policy type that are included in this codebook?	1 = Yes 2 = No

→If answer is YES, full codebook will be active for data entry.

→If answer is NO, enter 'not applicable' or -9 for all subsequent items.

x. Local Events

P	Var. #	Variable Name	Description	Codes
	SH1	SHO_yn	Is there a provision to hold someone accountable for underage drinking parties?	1 = Yes 2 = No
			<u>Notes:</u> Ordinance may refer explicitly to ‘social hosts’ or may alternately reference ‘nuisance parties’ or ‘open house parties.’	
			→If answer is NO, skip to next section on page xx.	
	SH1.02	SHO_drug	Does this provision address other drugs in addition to alcohol?	1 = Yes 2 = No
			<u>Notes:</u> These may include marijuana and/or other illicit drugs or controlled substances.	
	SH1.03	SHO_noise	Is this provision associated with or part of a nuisance or noise ordinance?	1 = Yes 2 = No
	SH2.01	SHO_adopt	What date was this adopted ?	<mm/dd/yyyy>
			<u>Notes:</u> Enter <88/88/8888> if not specified.	
	SH2.02	SHO_effect	On what date was this specified to become effective ?	<mm/dd/yyyy>

x. Social Host Ordinances (SHO)

Notes: Enter <88/88/8888> if not specified.

	SH3.01	SHO_amend	Of which iteration of this policy (within the study period) is this the transcription?	0 = Earliest 1 = First Amendment 2 = Second Amendment 3 = Third Amendment 4 = Fourth Amendment 5 = Fifth Amendment
Place	SH4		Who does this provision hold accountable?	
Place	SH4.01	SHO_owner	1. An owner of a residence or other private property	1 = Yes 2 = No
Place	SH4.02	SHO_tenant	2. A tenant or lessee	1 = Yes 2 = No
Place	SH4.03	SHO_incharge	3. The person(s) in charge of the residence or other private property	1 = Yes 2 = No
Place	SH4.04	SHO_controls	4. An organizer, supervisor, or individual who otherwise controls or is responsible for the gathering	1 = Yes 2 = No
Place	SH5	SHO_size	Is the number of individuals that constitutes a party/gathering	1 = Yes

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specified?

2 = No

→If answer is NO, enter “-7” for ‘not applicable’ for SH6.

Place	SH6	SHO_sizenum	What number of individuals constitutes a party?	<number>
Place	SH7		Does the ordinance specify any of the following general property categories that this provision applies to?	
Place	SH7.01	SHO_propresid	1. Residences	1 = Yes 2 = No
Place	SH7.02	SHO_proppriv	2. Other private property	1 = Yes 2 = No
Place	SH7.03	SHO_proppub	3. Public places	1 = Yes 2 = No
Place	SH7.04	SHO_propother	4. Other premise under responsible person’s control	1 = Yes 2 = No
Place	SH7.05	SHO_propapisresid	[APIS Category] Residence. Note: “A residence owned, leased, or otherwise controlled by the social host”	1 = Yes 2 = No
Place	SH7.06	SHO_propapisoutdoor	[APIS Category] Outdoor. Note: “Outdoor property owned, leased, or otherwise controlled by the social host”	1 = Yes 2 = No

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Place	SH7.07	SHO_propapisoutdoor	[APIS Category] Other. Note: “Other property, which may include a shed, garage, or other outbuilding owned, leased, or otherwise controlled by the social host, or lessee a hotel or motel room, campground, or other public site”	1 = Yes 2 = No
Place	SH8		Does the ordinance specify any of the following types of properties?	
Place	SH8.01	SHO_prop_home	1. Home	1 = Yes 2 = No
Place	SH8.02	SHO_prop_yard	2. Yard	1 = Yes 2 = No
Place	SH8.03	SHO_prop_farm	3. Farm	1 = Yes 2 = No
Place	SH8.04	SHO_prop_field	4. Field	1 = Yes 2 = No
Place	SH8.05	SHO_prop_land	5. Land	1 = Yes 2 = No
Place	SH8.06	SHO_prop_apt	6. Apartment	1 = Yes 2 = No
Place	SH8.07	SHO_prop_condo	7. Condominium	1 = Yes

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				2 = No
Place	SH8.08	SHO_prop_hotel	8. Hotel or motel room	1 = Yes
				2 = No
Place	SH8.09	SHO_prop_dwell	9. Other dwelling unit	1 = Yes
				2 = No
Place	SH8.10	SHO_prop_hall	10. Hall or meeting room	1 = Yes
				2 = No
Place	SH8.11	SHO_prop_park	11. Park	1 = Yes
				2 = No
Place	SH8.12	SHO_prop_other	12. Other place of assembly (public or private)	1 = Yes
				2 = No
Place	SH9	SHO_know	Does the ordinance include a “knowingly” provision?	1 = Yes
				2 = No

Notes: This provision specifies that the social host is only held accountable when there is evidence that this individual knew or should have known of the party/gathering/underage drinking in question.

→ If NO, enter ‘-7’ for ‘N/A’ for SH9.02.

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Place	SH9.02	SHO_primafacie	Does the ordinance indicate that when someone who has control over the property or premises is present on the premises it will be treated as "prima facie" evidence that this individual(s) knew or should have known of the party/gathering/underage drinking in question?	1 = Yes 2 = No
Place	SH10	SHO_excuse	Are mitigating/exculpating factors specified?	1 = Yes 2 = No
			<u>Notes:</u> Such factors could include efforts to prevent party from taking place and may be referred to as 'reasonable' action or steps.	
Place	SH11		Are there exceptions specified for this ordinance?	1 = Yes 2 = No
			→ If NO, enter '-7' for 'N/A' for all remaining SH11 items. Continue at <u>SH12</u> .	
Place	SH11.01	SHO_except_relig	1. Is there an exception for religious observances?	1 = Yes 2 = No -7 = N/A
Place	SH11.02	SHO_except_fam	2. Is there an exception for parental or guardian supervision?	1 = Yes 2 = No -7 = N/A
Place	SH11.03	SHO_except_edu	3. Is there an exception for approved educational	1 = Yes

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			activities?	2 = No
				-7 = N/A
Place	SH11.04	SHO_except_work	4. Is there an exception for situations when possession is part of lawful employment?	1 = Yes
				2 = No
				-7 = N/A
Place	SH11.05	SHO_except_medical	5. Is there an exception for situations where an individual has a lawful prescription for use of alcohol/another substance?	1 = Yes
				2 = No
				-7 = N/A
Place	SH11.06	SHO_except_license	6. Is there an exception for licensed premises regulated by another ordinance or statute?	1 = Yes
				2 = No
				-7 = N/A
			→If no, enter '-7' or 'N/A' for SHO11.07.	
Place	SH11.07	SHO_except_license_sp	6, specify. List ordinance(s) or statute(s) here:	<text>
Place	SH11.08	SHO_except_o	7. Are there any other exceptions specified?	1 = Yes
				2 = No
			<u>→If no other exceptions are specified, enter '-7' or 'N/A' for SHO11.08.</u>	-7 = N/A

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Place	SH11.09	SHO_except_o_sp	8. List other exceptions here:	<text>
Place	SH12	SHO_juv	If the person held accountable is a juvenile, does the provision hold the juvenile and the parents or guardians of that juvenile jointly and severally liable?	1 = Yes 2 = No -8 = Not specified
Place	SH13.01	SHO_warning	Does the ordinance allow for a warning to be given first prior to any other action?	1 = Yes 2 = No
		SHO_offense_multi	Are penalties specified for multiple offenses (i.e., first, second, third and subsequent)?	1 = Yes 2 = No
Place	SH13.02		→If NO, enter ‘-7’ or ‘N/A’ for SH18 – SH27.	-8 = Not specified
Place	SH13.03	SHO_offense1	A [first] violation of the provision results in what type of an offense?	1 = Civil 2 = Criminal 3 = Response cost recovery -8 = Not specified
			→If no offense are specified for violations of this ordinance, enter ‘-7’ or ‘N/A’ for all items below, then continue with SH28.	

Notes: A ‘cost recovery provision’ details how municipality, law enforcement agency, emergency personnel, etc. can recover the cost of services that were utilized in responding to the party

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in question.

Place	SH13.04	SHO_called1	A [first] violation of the provision is referred to as what?	<text>
Place	SH14	SHO_civil_fine1	If [first] violation results in a civil offense, what is the maximum penalty fine? (\$) <u>Notes: Examples include “administrative citation,” “misdemeanor,” “infraction.”</u>	<number>
Place	SH15	SHO_crim_fine1	If [first] violation results in a criminal offense, what is the maximum penalty fine? (\$) <u>Notes: If no fine is listed, enter ‘-8’ for none specified. If violation does not result in a civil offense, enter ‘-7’ for n/a.</u>	<number>
Place	SH16	SHO_crim_jail1	If [first] violation results in a criminal offense, what is the maximum jail time? (in months) <u>Notes: If no jail time is listed, enter ‘Not specified.’ If violation does not result in a criminal offense, enter ‘Not applicable.’</u>	<text>
Place	SH17	SHO_response1	If [first] violation collects response recovery costs, what is the	<text>

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amount collected? (\$)

Notes: If no recovery cost is specified, enter ' allowed, but none specified.' If violation does not collect recovery costs, enter 'n/a.'

Place	SH18	SHO_offense2	A second violation of the provision results in what type of an offense?	1 = Civil 2 = Criminal 3 = Response cost recovery -8 = Not specified -7 = N/A
			→If an offense is not specified for a second violation of this ordinance, enter '-7' or 'N/A' for all following items, then continue with SH28.	
Place	SH18.01	SHO_called2	A second violation of the provision is referred to as what?	<text>
			<u>Notes:</u> Examples include "administrative citation," "misdemeanor," "infraction."	
Place	SH19	SHO_civil_fine2	If second violation results in a civil offense, what is the maximum penalty fine? (\$)	<number>
			<u>Notes:</u> If no fine is listed, enter '-8' for none specified. If violation does not result in a civil offense, enter '-7' for n/a.	

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Place	SH20	SHO_crim_fine2	If second violation results in a criminal offense, what is the maximum penalty fine? (\$)	<number>
			<u>Notes:</u> If no fine is listed, enter '-8' for none specified. If violation does not result in a criminal offense, enter '-7' for n/a.	
Place	SH21	SHO_crim_jail2	If second violation results in a criminal offense, what is the maximum jail time? (in months)	<text>
			<u>Notes:</u> If no jail time is listed, enter 'Not specified.' If violation does not result in a criminal offense, enter 'Not applicable.'	
Place	SH22	SHO_response2	If second violation collects response recovery costs, what is the amount collected? (\$)	<text>
			<u>Notes:</u> If no recovery cost is specified, enter 'allowed, but none specified.' If violation does not collect recovery costs, enter 'n/a.'	
Place	SH23	SHO_offense3	A third violation of the provision results in what type of an offense?	1 = Civil
				2 = Criminal
				3 = Response cost recovery
			→If an offense is not specified for a second violation of this ordinance, enter '-7' or 'N/A' for all following items, then continue with SH28.	-8 = Not specified

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-7 = N/A

Place	SH23.01	SHO_called3	A third violation of the provision is referred to as what?	<text>
			<u>Notes: Examples include “administrative citation,” “misdemeanor,” “infraction.”</u>	
Place	SH24	SHO_civil_fine3	If third violation results in a civil offense, what is the maximum penalty fine? (\$)	<number>
			<u>Notes:</u> If no fine is listed, enter ‘-8’ for none specified. If violation does not result in a civil offense, enter ‘-7’ for n/a.	
Place	SH25	SHO_crim_fine3	If third violation results in a criminal offense, what is the maximum penalty fine? (\$)	<number>
			<u>Notes:</u> If no fine is listed, enter ‘-8’ for none specified. If violation does not result in a criminal offense, enter ‘-7’ for n/a.	
Place	SH26	SHO_crim_jail3	If third violation results in a criminal offense, what is the maximum jail time? (in months)	<text>
			<u>Notes:</u> If no jail time is listed, enter ‘Not specified.’ If violation does not result in a criminal offense, enter ‘Not applicable.’	
Place	SH27	SHO_response3	If third violation collects response recovery costs, what is the	<text>

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amount collected? (\$)

Notes: If no recovery cost is specified, enter 'allowed, but none specified.' If violation does not collect recovery costs, enter "n/a.'

SH28	SHO_state	Does this ordinance refer to state statute(s) as content or a regulating factor of the ordinance? If so please enter reference here:	<text>
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Notes: If no state statute(s) is referenced, enter 'not specified.'

SH29	SHO_notes	Please list any additional information or notes, including but not limited to code sections that need to be followed up on:	<text>
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Notes: Enter 'none' if there is no information to follow up on.

SHx.01	SHO_amend	Was an ordinance addressing this policy type passed later in the study period?	1 = Yes 2 = No
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Notes:

NE Round1 dates, 07/15/1999 – 12/09/2001

NE Round 2 dates, 07/26/2000 – 12/02/2002

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NE Round 4 dates, 06/18/2002 – 10/16/2004

CT dates, 01/17/2004 – 08/09/2007

→If answer is NO, enter 'not applicable' or -9 for all subsequent items.

SHx.02	SHO_amend_when	Enter the date of the later ordinance:	<date>
SHx.03	SHO_amend_change	Did this later ordinance change components of the policy type that are included in this codebook?	1 = Yes 2 = No

→If answer is YES, full codebook will be active for data entry.

→If answer is NO, enter 'not applicable' or -9 for all subsequent items.

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P Catego ry (if applica ble)	Variable Number	Variable Name	Description	Codes
	LT1	Tax_yn	Is there a provision regulating local taxes on alcoholic beverage ?	1 = Yes 2 = No
			<u>→If answer is NO, skip to next section on page x.</u>	
	LT2.01	Tax_adopt	What date was this adopted ?	<mm/dd/yyyy>
			<u>Notes:</u> Enter <88/88/8888> if not specified.	
	LT2.02	Tax_effect	On what date was this specified to become effective ?	<mm/dd/yyyy>
			<u>Notes:</u> Enter <88/88/8888> if not specified.	
	LT3.01	Tax_amend	Of which iteration of this policy (within the study period) is this the transcription?	0 = Earliest 1 = First Amendment 2 = Second Amendment 3 = Third Amendment 4 = Fourth

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			Amendment
			5 = Fifth Amendment
LT4.01	Tax_excise	Is the local tax an excise tax on alcohol?	1 = Yes
			2 = No
LT4.02	Tax_excise_Malt_Bev	Does the excise tax apply to Malt Beverages	1 = Yes
			2 = No
LT4.03	Tax_excise_malt_app.	If Yes is taxed applied by weight or volume?	1 = Weight
			2= Volume
LT4.04	Tax_excise_malt_Off	Does the tax apply to off premise sales	1 = Yes
			2 = No
LT4.05	Tax_excise_malt On	Does the tax apply to on premise sales	1 = Yes
			2 = No
LT5.01	Tax_excise Wine	Does the excise tax apply to Wine	1 = Yes
			2 = No
LT5.02	Tax_excise_wine_app	If Yes is taxed applied by weight or volume?	1 = Weight
			2= Volume
LT5.03	Tax_excise wine off	Does the tax apply to off premise sales	1 = Yes
			2 = No

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LT5.04	Tax__excise wine on	Does the tax apply to on premise sales	1 = Yes 2 = No
LT6.01	Tax_excise Distilled Spirits	Does the excise tax apply to Distilled Spirits	1 = Yes 2 = No
LT6.02	Tax_excise_DS_app	If Yes is taxed applied by weight or volume?	1 = Weight 2= Volume
LT6.03	Tax_excise DS off	Does the tax apply to off premise sales	1 = Yes 2 = No
LT6.04	Tax__excise DS_ on	Does the tax apply to on premise sales	1 = Yes 2 = No
LT7.01	Tax_Food_Bev	Is the tax on alcohol part of a broader tax on food and beverage?	1 = Yes 2 = No
LT7.02	Tax_Food_Bev_on	If yes does the tax apply to on premise sales	1 = Yes 2 = No
LT7.03	Tax_Food_Bev_off	If yes does the tax apply to off premise sales	1 = Yes 2 = No
LT8.01	Tax_Sales	Is there a tax levied on the sales price of alcohol that is to be paid by the consumer/ purchaser?	1 = Yes 2 = No
LT8.02	Tax_Sales_on	If yes does the tax apply to on premise sales	1 = Yes

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			2 = No
LT8.03	Tax_sales_on_rate	If yes what percent of sales price is collected?	<text>
LT8.05	Tax_sales_off	If yes does the tax apply to off premise sales	1 = Yes
			2 = No
LT8.05	Tax_sales_off_rate	If yes what percent of sales price is collected?	<text>
LT9.01	Tax_revenues	Are tax revenues dedicated to particular agency or programs	1 = Yes
			2 = No
LT9.02	Tax_rev_list	If yes please list the agencies	<text>
LT10.01	Tax_warning	Does the ordinance allow for a warning to be given first prior to any other action?	1 = Yes
			2 = No
LT10.02	Tax_offense_multi	Are penalties specified for multiple offenses (i.e., first, second, third and subsequent)?	1 = Yes
			2 = No
		→If NO, enter '-7' or 'N/A' for SH18 – SH27.	-8 = Not specified
LT10.03	Tax_offense1	A [first] violation of the provision results in what type of an offense?	1 = Civil
			2 = Criminal
		→If no offense are specified for violations of this ordinance, enter '-7' or 'N/A' for all items below, then continue with SH28.	3 = Response cost recovery
			-8 = Not

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specified

Notes: A 'cost recovery provision' details how municipality, law enforcement agency, emergency personnel, etc. can recover the cost of services that were utilized in responding to the party in question.

LT10.04	Tax_called1	A [first] violation of the provision is referred to as what?	<text>
		<u>Notes:</u> Examples include "administrative citation," misdemeanor," "infraction."	
LT11	Tax_civil_fine1	If [first] violation results in a civil offense, what is the maximum penalty fine? (\$)	<number>
		<u>Notes:</u> If no fine is listed, enter '-8' for none specified. If violation does not result in a civil offense, enter '-7' for n/a.	
LT12	Tax_crim_fine1	If [first] violation results in a criminal offense, what is the maximum penalty fine? (\$)	<number>
		<u>Notes:</u> If no fine is listed, enter '-8' for none specified. If violation does not result in a criminal offense, enter '-7' for n/a.	
LT13	Tax_crim_jail1	If [first] violation results in a criminal offense, what is the maximum jail time? (in months)	<text>
		<u>Notes:</u> If no jail time is listed, enter 'Not specified.' If violation does not result in a criminal offense, enter 'Not applicable.'	

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LT14	Tax_response1	If [first] violation collects response recovery costs, what is the amount collected? (\$)	<text>
		<u>Notes:</u> If no recovery cost is specified, enter ' allowed, but none specified.' If violation does not collect recovery costs, enter 'n/a.'	
LT15	Tax_offense2	A second violation of the provision results in what type of an offense?	1 = Civil
			2 = Criminal
		→If an offense is not specified for a second violation of this ordinance, enter '-7' or 'N/A' for all following items, then continue with SH28.	3 = Response cost recovery
			-8 = Not specified
			-7 = N/A
LT16.	Tax_called2	A second violation of the provision is referred to as what?	<text>
		<u>Notes:</u> Examples include "administrative citation," misdemeanor," "infraction."	
LT17	Tax_civil_fine2	If second violation results in a civil offense, what is the maximum penalty fine? (\$)	<number>
		<u>Notes:</u> If no fine is listed, enter '-8' for none specified. If violation does not result in a civil offense, enter '-7' for n/a.	
LT18	Tax_crim_fine2	If second violation results in a criminal offense, what is the maximum penalty fine? (\$)	<number>

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Notes: If no fine is listed, enter ‘-8’ for none specified. If violation does not result in a criminal offense, enter ‘-7’ for n/a.

LT19 **Tax_crim_jail2** If **second** violation results in a criminal offense, what is the maximum jail time? (in months) <text>

Notes: If no jail time is listed, enter ‘Not specified.’ If violation does not result in a criminal offense, enter ‘Not applicable.’

LT20 **Tax_response2** If **second** violation collects response recovery costs, what is the amount collected? (\$)

Notes: If no recovery cost is specified, enter ‘allowed, but none specified.’ If violation does not collect recovery costs, enter ‘ n/a.’

LT22 **Tax_offense3** A **third** violation of the provision results in what type of an offense?

1 = Civil

2 = Criminal

→If an offense is not specified for a second violation of this ordinance, enter ‘-7’ or ‘N/A’ for all following items, then continue with SH28.

3 = Response cost recovery

-8 = Not specified

-7 = N/A

LT23 **Tax_called3** A **third** violation of the provision is referred to as what? <text>

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<u>Notes: Examples include “administrative citation,” misdemeanor,” “infraction.”</u>			
LT22	Tax_civil_fine3	If third violation results in a civil offense, what is the maximum penalty fine? (\$)	<number>
<u>Notes:</u> If no fine is listed, enter ‘-8’ for none specified. If violation does not result in a civil offense, enter ‘-7’ for n/a.			
LT23	Tax_crim_fine3	If third violation results in a criminal offense, what is the maximum penalty fine? (\$)	<number>
<u>Notes:</u> If no fine is listed, enter ‘-8’ for none specified. If violation does not result in a criminal offense, enter ‘-7’ for n/a.			
LT24	Tax_crim_jail3	If third violation results in a criminal offense, what is the maximum jail time? (in months)	<text>
<u>Notes:</u> If no jail time is listed, enter ‘Not specified.’ If violation does not result in a criminal offense, enter ‘Not applicable.’			
LT25	Tax_response3	If third violation collects response recovery costs, what is the amount collected? (\$)	<text>
<u>Notes:</u> If no recovery cost is specified, enter ‘allowed, but none specified.’ If violation does not collect recovery costs, enter “ n/a.’			
LT26	Tax_state	Does this ordinance refer to state statue(s)? If so please enter reference here:	<text>

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		<u>Notes:</u> If no state statute(s) is referenced, enter 'not specified.'	
LT27	Tax_notes	Please list any additional information or notes, including but not limited to code sections that need to be followed up on:	<text>
		<u>Notes:</u> Enter 'none' if there is no information to follow up on.	
LTx.01	Tax_amend	Was an ordinance addressing this policy type passed later in the study period?	1 = Yes 2 = No
		<u>Notes:</u> NE Round1 dates, 07/15/1999 – 12/09/2001 NE Round 2 dates, 07/26/2000 – 12/02/2002 NE Round 4 dates, 06/18/2002 – 10/16/2004 CT dates, 01/17/2004 – 08/09/2007	
		→If answer is NO, enter 'not applicable' or -9 for all subsequent items.	
LTx.02	Tax_amend_when	Enter the date of the later ordinance:	<date>
LTx.03	Tax_amend_change	Did this later ordinance change components of the policy type that are included in this codebook?	1 = Yes 2 = No
		→If answer is YES, full codebook will be active for data entry.	
		→If answer is NO, enter 'not applicable' or -9 for all subsequent items.	

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P Categ ory (if applica ble)	Variable Number	Variable Name	Description	Codes
	U21_1	U21_yn	Is there a provision regulating presence of underage individuals in bars?	1 = Yes 2 = No
			<u>→If answer is NO, skip to next section on page x.</u>	
	U21_2.01	U21_adopt	What date was this adopted ?	<mm/dd/yyyy>
			<u>Notes:</u> Enter <88/88/8888> if not specified.	
	U21_2.02	U21_effect	On what date was this specified to become effective ?	<mm/dd/yyyy>
			<u>Notes:</u> Enter <88/88/8888> if not specified.	
	U21_3.01	U21_amend	Of which iteration of this policy (within the study period) is this the transcription?	0 = Earliest 1 = First Amendment 2 = Second Amendment 3 = Third Amendment 4 = Fourth Amendment

5 = Fifth Amendment

	U21_4.01	U21_age	Does the ordinance set restrictions only on individuals under an age other than 21?	1 = Yes 2 = No
			→ If answer is NO, enter 'not applicable' for U21_age_sp	
	U21_4.02	U21_age_sp	Enter restricted age other than 21?	<number>
	U21_5	U21_place	Does the ordinance specify conditions or types of licensees that may designate only a section of the premises to be restricted to underage individuals?	1 = Yes 2 = No
	U21_6	U21_time	Does the ordinance specify times during which underage individuals are not allowed on the premises?	1 = Yes 2 = No
	U21_7	U21_sign	Does the ordinance require a sign(s) be posted specifying any restrictions on underage presence on premises?	1 = Yes 2 = No
Place	U21_8.01	U21_except	Are there exceptions specified for this ordinance?	1 = Yes 2 = No
			→ If NO, enter '-7' for 'N/A' for all remaining U21 items. Continue at <u>SH12</u> .	
Place	U21_8.02	U21_except_employ	1. Is there an exception for employees?	1 = Yes 2 = No

				-7 = N/A
Place	U21_8.03	U21_except_fam	2. Is there an exception for parental or guardian supervision?	1 = Yes
				2 = No
				-7 = N/A

U21_9	U21_know	Does the ordinance include a knowingly provision?	1 = Yes 2 = No
U21_10.01	U21_whopenalty	Who does the ordinance specify penalties for? →If 1, complete section U21_11.xx, enter ‘-7’ or ‘N/A’ for sections U21_12.xx and U21.13xx. →If 2, complete section U21_12.xx, enter ‘-7’ or ‘N/A’ for sections U21_11.xx and U21.13xx. →If 3, complete section U21_13.xx, enter ‘-7’ or ‘N/A’ for sections U21_11.xx and U21.12xx. →If 4, complete sections U21_11.xx and U21_12.xx, enter ‘-7’ or ‘N/A’ for section U21_13.xx. →If 5, complete sections U21_11.xx and U21_13.xx, enter ‘-7’ or ‘N/A’ for section U21_12.xx. →If 6, complete sections U21_12.xx and U21_13.xx, enter ‘-7’ or ‘N/A’ for section U21_11.xx. →If 7, complete sections U21_11.xx, U21_12.xx, U21_13.xx.	1 = Licensee 2 = Employee 3 = Underage individual 4 = Licensee and/or Employee 5 = Licensee and/or Underage individual 6 = Employee and/or Underage individual 7 = Licensee, Employee, and/or Underage individual

LICENSEE PENALTY SECTION

U21_11.01	U21_warning_L	Does the ordinance allow for a warning to be given first prior to any other action?	1 = Yes 2 = No
U21_11.02	U21_offense_multi_L	Are penalties specified for multiple offenses (i.e., first, second, third and subsequent)?	1 = Yes 2 = No -8 = Not specified
		→If NO, enter '-7' or 'N/A' for U21xx– U21xx.	
U21_11.03	U21_offense1_L	A [first] violation of the provision results in what type of an offense?	1 = Civil 2 = Criminal -8 = Not specified
U21_11.04	U21_called1_L	A [first] violation of the provision is referred to as what?	<text>
		<u>Notes: Examples include “administrative citation,” misdemeanor,” “infraction.”</u>	
U21_11.05	U21_civil_fine1_L	If [first] violation results in a civil offense, what is the maximum penalty fine? (\$)	<number>
U21_11.06	U21_crim_fine1_L	<u>Notes:</u> If no fine is listed, enter '-8' for none specified. If violation does not result in a civil offense, enter '-7' for n/a.	
		If [first] violation results in a criminal offense, what is the maximum	<number>

penalty fine? (\$)

Notes: If no fine is listed, enter '-8' for none specified. If violation does not result in a criminal offense, enter '-7' for n/a.

U21_11.07	U21_crim_jail1_L	If [first] violation results in a criminal offense, what is the maximum jail time? (in months)	<text>
<u>Notes:</u> If no jail time is listed, enter 'Not specified.' If violation does not result in a criminal offense, enter 'Not applicable.'			
U21_11.08	U21_offense2_L	A second violation of the provision results in what type of an offense?	1 = Civil 2 = Criminal
→If an offense is not specified for a second violation of this ordinance, enter '-7' or 'N/A' for all following items, then continue with SH28.			-8 = Not specified -7 = N/A
U21_11.09	U21_called2_L	A second violation of the provision is referred to as what?	<text>
<u>Notes:</u> Examples include "administrative citation," misdemeanor," "infraction."			
U21_11.10	U21_civil_fine2_L	If second violation results in a civil offense, what is the maximum penalty fine? (\$)	<number>

		<u>Notes:</u> If no fine is listed, enter ‘-8’ for none specified. If violation does not result in a civil offense, enter ‘-7’ for n/a.	
U21_11.11	U21_crim_fine2_L	If second violation results in a criminal offense, what is the maximum penalty fine? (\$)	<number>
		<u>Notes:</u> If no fine is listed, enter ‘-8’ for none specified. If violation does not result in a criminal offense, enter ‘-7’ for n/a.	
U21_11.12	U21_crim_jail2_L	If second violation results in a criminal offense, what is the maximum jail time? (in months)	<text>
		<u>Notes:</u> If no jail time is listed, enter ‘Not specified.’ If violation does not result in a criminal offense, enter ‘Not applicable.’	
U21_11.13	U21_offense3_L	A third violation of the provision results in what type of an offense?	1 = Civil 2 = Criminal -8 = Not specified -7 = N/A
		→If an offense is not specified for a second violation of this ordinance, enter ‘-7’ or ‘N/A’ for all following items, then continue with SH28.	
U21_11.14	U21_called3_L	A third violation of the provision is referred to as what?	<text>
		<u>Notes:</u> Examples include “administrative citation,” misdemeanor,” “infraction.”	

U21_11.15 **U21_civil_fine3_L** If **third** violation results in a civil offense, what is the maximum penalty fine? (\$) <number>

Notes: If no fine is listed, enter '-8' for none specified. If violation does not result in a civil offense, enter '-7' for n/a.

U21_11.16 **U21_crim_fine3_L** If **third** violation results in a criminal offense, what is the maximum penalty fine? (\$) <number>

Notes: If no fine is listed, enter '-8' for none specified. If violation does not result in a criminal offense, enter '-7' for n/a.

U21_11.17 **U21_crim_jail3_L** If **third** violation results in a criminal offense, what is the maximum jail time? (in months) <text>

Notes: If no jail time is listed, enter 'Not specified.' If violation does not result in a criminal offense, enter 'Not applicable.'

EMPLOYEE PENALTY SECTION

U21_12.01	U21_warning_E	Does the ordinance allow for a warning to be given first prior to any other action?	1 = Yes 2 = No
U21_12.02	U21_offense_multi_E	Are penalties specified for multiple offenses (i.e., first, second, third and subsequent)?	1 = Yes 2 = No -8 = Not specified
		→If NO, enter '-7' or 'N/A' for U21xx– U21xx.	
U21_12.03	U21_offense1_E	A [first] violation of the provision results in what type of an offense?	1 = Civil 2 = Criminal -8 = Not specified
U21_12.04	U21_called1_E	A [first] violation of the provision is referred to as what?	<text>
		<u>Notes: Examples include “administrative citation,” misdemeanor,” “infraction.”</u>	
U21_12.05	U21_civil_fine1_E	If [first] violation results in a civil offense, what is the maximum penalty fine? (\$)	<number>
		<u>Notes:</u> If no fine is listed, enter '-8' for none specified. If violation does not result in a civil offense, enter '-7' for n/a.	
U21_12.06	U21_crim_fine1_E	If [first] violation results in a criminal offense, what is the maximum	<number>

penalty fine? (\$)

Notes: If no fine is listed, enter '-8' for none specified. If violation does not result in a criminal offense, enter '-7' for n/a.

U21_12.07	U21_crim_jail1_E	If [first] violation results in a criminal offense, what is the maximum jail time? (in months)	<text>
<u>Notes:</u> If no jail time is listed, enter 'Not specified.' If violation does not result in a criminal offense, enter 'Not applicable.'			
U21_12.08	U21_offense2_E	A second violation of the provision results in what type of an offense?	1 = Civil 2 = Criminal
→If an offense is not specified for a second violation of this ordinance, enter '-7' or 'N/A' for all following items, then continue with SH28.			-8 = Not specified -7 = N/A
U21_12.09	U21_called2_E	A second violation of the provision is referred to as what?	<text>
<u>Notes:</u> Examples include "administrative citation," misdemeanor," "infraction."			
U21_12.10	U21_civil_fine2_E	If second violation results in a civil offense, what is the maximum penalty fine? (\$)	<number>

		<u>Notes:</u> If no fine is listed, enter ‘-8’ for none specified. If violation does not result in a civil offense, enter ‘-7’ for n/a.	
U21_12.11	U21_crim_fine2_E	If second violation results in a criminal offense, what is the maximum penalty fine? (\$)	<number>
		<u>Notes:</u> If no fine is listed, enter ‘-8’ for none specified. If violation does not result in a criminal offense, enter ‘-7’ for n/a.	
U21_12.12	U21_crim_jail2_E	If second violation results in a criminal offense, what is the maximum jail time? (in months)	<text>
		<u>Notes:</u> If no jail time is listed, enter ‘Not specified.’ If violation does not result in a criminal offense, enter ‘Not applicable.’	
U21_12.13	U21_offense3_E	A third violation of the provision results in what type of an offense?	1 = Civil 2 = Criminal -8 = Not specified -7 = N/A
		→If an offense is not specified for a second violation of this ordinance, enter ‘-7’ or ‘N/A’ for all following items, then continue with SH28.	
U21_12.14	U21_called3_E	A third violation of the provision is referred to as what?	<text>
		<u>Notes:</u> Examples include “administrative citation,” misdemeanor,” “infraction.”	

U21_12.15 **U21_civil_fine3_E** If **third** violation results in a civil offense, what is the maximum penalty fine? (\$) <number>

Notes: If no fine is listed, enter '-8' for none specified. If violation does not result in a civil offense, enter '-7' for n/a.

U21_12.16 **U21_crim_fine3_E** If **third** violation results in a criminal offense, what is the maximum penalty fine? (\$) <number>

Notes: If no fine is listed, enter '-8' for none specified. If violation does not result in a criminal offense, enter '-7' for n/a.

U21_12.17 **U21_crim_jail3_E** If **third** violation results in a criminal offense, what is the maximum jail time? (in months) <text>

Notes: If no jail time is listed, enter 'Not specified.' If violation does not result in a criminal offense, enter 'Not applicable.'

UNDERAGE INDIVIDUAL PENALTY SECTION

U21_13.01	U21_possessdrink_U	Does an underage individual have to be in possession of an alcoholic beverage in order to receive a penalty?	1 = Yes 2 = No
U21_13.01	U21_warning_U	Does the ordinance allow for a warning to be given first prior to any other action?	1 = Yes 2 = No
U21_13.02	U21_offense_multi_U	Are penalties specified for multiple offenses (i.e., first, second, third and subsequent)?	1 = Yes 2 = No -8 = Not specified
		→If NO, enter '-7' or 'N/A' for U21xx– U21xx.	
U21_13.03	U21_offense1_U	A [first] violation of the provision results in what type of an offense?	1 = Civil 2 = Criminal -8 = Not specified
		→If no offense are specified for violations of this ordinance, enter '-7' or 'N/A' for all items below, then continue with U21xx.	
U21_13.04	U21_called1_U	A [first] violation of the provision is referred to as what?	<text>
		<u>Notes: Examples include “administrative citation,” misdemeanor,” “infraction.”</u>	
U21_13.05	U21_civil_fine1_U	If [first] violation results in a civil offense, what is the maximum penalty fine? (\$)	<number>

Notes: If no fine is listed, enter '-8' for none specified. If violation does

		not result in a civil offense, enter '-7' for n/a.	
U21_13.06	U21_crim_fine1_U	If [first] violation results in a criminal offense, what is the maximum penalty fine? (\$)	<number>
		<u>Notes:</u> If no fine is listed, enter '-8' for none specified. If violation does not result in a criminal offense, enter '-7' for n/a.	
U21_13.07	U21_crim_jail1_U	If [first] violation results in a criminal offense, what is the maximum jail time? (in months)	<text>
		<u>Notes:</u> If no jail time is listed, enter 'Not specified.' If violation does not result in a criminal offense, enter 'Not applicable.'	
U21_13.08	U21_offense2_U	A second violation of the provision results in what type of an offense?	1 = Civil 2 = Criminal -8 = Not specified -7 = N/A
		→ If an offense is not specified for a second violation of this ordinance, enter '-7' or 'N/A' for all following items, then continue with SH28.	
U21_13.09	U21_called2_U	A second violation of the provision is referred to as what?	<text>
		<u>Notes:</u> Examples include "administrative citation," misdemeanor," "infraction."	
U21_13.10	U21_civil_fine2_U	If second violation results in a civil offense, what is the maximum penalty	<number>

fine? (\$)

Notes: If no fine is listed, enter '-8' for none specified. If violation does not result in a civil offense, enter '-7' for n/a.

U21_13.11 **U21_crim_fine2_U** If **second** violation results in a criminal offense, what is the maximum penalty fine? (\$) <number>

Notes: If no fine is listed, enter '-8' for none specified. If violation does not result in a criminal offense, enter '-7' for n/a.

U21_13.12 **U21_crim_jail2_U** If **second** violation results in a criminal offense, what is the maximum jail time? (in months) <text>

Notes: If no jail time is listed, enter 'Not specified.' If violation does not result in a criminal offense, enter 'Not applicable.'

U21_13.13 **U21_offense3_U** A **third** violation of the provision results in what type of an offense? 1 = Civil
2 = Criminal
→ If an offense is not specified for a second violation of this ordinance, enter '-7' or 'N/A' for all following items, then continue with SH28. -8 = Not specified
-7 = N/A

U21_13.14 **U21_called3_U** A **third** violation of the provision is referred to as what? <text>

Notes: Examples include “administrative citation,” misdemeanor,” “infraction.”

U21_13.15	U21_civil_fine3_U	If third violation results in a civil offense, what is the maximum penalty fine? (\$)	<number>
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Notes: If no fine is listed, enter ‘-8’ for none specified. If violation does not result in a civil offense, enter ‘-7’ for n/a.

U21_13.16	U21_crim_fine3_U	If third violation results in a criminal offense, what is the maximum penalty fine? (\$)	<number>
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Notes: If no fine is listed, enter ‘-8’ for none specified. If violation does not result in a criminal offense, enter ‘-7’ for n/a.

U21_13.17	U21_crim_jail3_U	If third violation results in a criminal offense, what is the maximum jail time? (in months)	<text>
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Notes: If no jail time is listed, enter ‘Not specified.’ If violation does not result in a criminal offense, enter ‘Not applicable.’

U21_14	U21_state	Does this ordinance refer to state statute(s)? If so please enter reference here:	<text>
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Notes: If no state statute(s) is referenced, enter ‘not specified.’

U21_15	U21_notes	Please list any additional information or notes, including but not limited to code sections that need to be followed up on:	<text>
		<u>Notes:</u> Enter 'none' if there is no information to follow up on.	
U21x.01	U21_amend	Was an ordinance addressing this policy type passed later in the study period?	1 = Yes 2 = No
		<u>Notes:</u> NE Round1 dates, 07/15/1999 – 12/09/2001 NE Round 2 dates, 07/26/2000 – 12/02/2002 NE Round 4 dates, 06/18/2002 – 10/16/2004 CT dates, 01/17/2004 – 08/09/2007 →If answer is NO, enter 'not applicable' or -9 for all subsequent items.	
U21x.02	U21_amend_when	Enter the date of the later ordinance:	<date>
U21x.03	U21_amend_change	Did this later ordinance change components of the policy type that are included in this codebook?	1 = Yes 2 = No
		→If answer is YES, full codebook will be active for data entry. →If answer is NO, enter 'not applicable' or -9 for all subsequent items.	

Appendix 2. Details on Tables Showing the Landscape of State and Local Alcohol Policy

Alcohol Outlet Density			
		State Policy	
		Yes	No
Local Policy	Yes	24	13
	No	91	143

States with this policy: CA, CT, FL, IL, MO, NJ, NY

Local communities with this policy, by state:

CA: 1 local site out of 14

CT: 5 local sites out of 37

FL: 0 local sites out of 14

GA: 7 local site out of 8

IL: 3 local sites out of 6

LA: 2 local sites out of 6

MA: 0 local sites out of 4

MD: 0 local sites out of 12

ME: 0 local sites out of 8

MI: 0 local sites out of 18

MN: 2 local sites out of 24

MO: 12 local sites out of 14

NC: 1 local site out of 13

NJ: 2 local sites out of 4

NM: 0 local sites out of 10

NV: 0 local site out of 9

NY: 1 local site out of 26

OH: 0 local sites out of 6

PA: 0 local site out of 10

VA: 0 local site out of 10

WA: 0 local sites out of 4

WI: 1 local site out of 14

Days/Hours of Sale			
		State Policy	
		Yes	No
Local Policy	Yes	74	15
	No	162	20

States with this policy: CA, CT, FL, GA, IL, MA, ME, MI, MN, MO, NC, NM, NY, OH, PA, VA, WI

Local communities with this policy, by state :

CA: 2 local sites out of 14

CT: 16 local sites out of 37

FL: 14 local sites out of 14

GA: 8 local site out of 8

IL: 6 local sites out of 6

LA: 5 local sites out of 6

MA: 2 local sites out of 4

MD: 5 local sites out of 12

ME: 3 local sites out of 8

MI: 0 local sites out of 18

MN: 2 local sites out of 24

MO: 13 local sites out of 14

NC: 0 local sites out of 13

NJ: 4 local sites out of 4

NM: 0 local sites out of 10

NV: 1 local site out of 9

NY: 1 local site out of 26

OH: 3 local sites out of 6

PA: 1 local site out of 10

VA: 1 local site out of 10

WA: 0 local sites out of 4

WI: 2 local sites out of 14

Drink Specials			
		State Policy	
		Yes	No
Local Policy	Yes	3	6
	No	157	105

States with this policy: CT, ,
GA, IL, ME, MI, NC, NJ, NM,
NY, OH, PA, VA, WA

Local communities with this policy, by state:

CA: 0 local sites out of 14

CT: 0 local sites out of 37

FL: 0 local sites out of 14

GA: 2 local site out of 8

IL: 0 local sites out of 6

LA: 2 local sites out of 6

MA: 1 local site out of 4

MD: 1 local sites out of 12

ME: 0 local sites out of 8

MI: 0 local sites out of 18

MN: 0 local sites out of 24

MO: 2 local sites out of 14

NC: 0 local sites out of 13

NJ: 1 local site out of 4

NM: 0 local sites out of 24

NV: 0 local site out of 9

NY: 0 local site out of 26

OH: 0 local sites out of 6

PA: 0 local site out of 10

VA: 0 local site out of 10

WA: 0 local sites out of 4

WI: 0 local sites out of 14

Local Events.			
		State Policy	
		Yes	No
Local Policy	Yes	64	53
	No	31	123

States with this policy: CA, CT, FL, NJ, NY

Local communities with this policy, by state

CA: 13 local sites out of 14

CT: 27 local sites out of 37

FL: 12 local sites out of 14

GA: 5 local site out of 8

IL: 4 local sites out of 6

LA: 3 local sites out of 6

MA: 0 local sites out of 4

MD: 4 local sites out of 12

ME: 3 local sites out of 8

MI: 0 local sites out of 18

MN: 3 local sites out of 24

MO: 14 local sites out of 14

NC: 0 local sites out of 13

NJ: 4 local sites out of 4

NM: 1 local site out of 10

NV: 6 local site out of 9

NY: 8 local site out of 26

OH: 0 local sites out of 6

PA: 4 local site out of 10

VA: 4 local site out of 10

WA: 0 local sites out of 4

WI: 2 local sites out of 14

Social Host Ordinance			
		State Policy	
		Yes	No
Local Policy	Yes	25	16
	No	64	166

States with this policy: CT, FL, IL, MI, MO

Local communities with this policy, by state:

CA: 8 local sites out of 14

CT: 17 local sites out of 37

FL: 0 local sites out of 14

GA: 1 local site out of 8

IL: 0 local sites out of 6

LA: 0 local sites out of 6

MA: 0 local sites out of 4

MD: 0 local sites out of 12

ME: 0 local sites out of 8

MI: 0 local sites out of 18

MN: 4 local sites out of 24

MO: 8 local sites out of 14

NC: 0 local sites out of 13

NJ: 0 local sites out of 4

NM: 0 local sites out of 10

NV: 0 local site out of 9

NY: 3 local site out of 26

OH: 0 local sites out of 6

PA: 0 local site out of 10

VA: 0 local site out of 10

WA: 0 local sites out of 4

WI: 0 local sites out of 14

Taxes			
		State Policy	
		Yes	No
Local Policy	Yes	12	0
	No	260	0

States with this policy: ALL States have Tax Law, except NJ

Local communities with this policy, by state

CA: 0 local sites out of 14

CT: 0 local sites out of 37

FL: 0 local sites out of 14

GA: 8 local site out of 8

IL: 1 local site out of 6

LA: 0 local sites out of 6

MA: 0 local sites out of 4

MD: 0 local sites out of 12

ME: 0 local sites out of 8

MI: 0 local sites out of 18

MN: 0 local sites out of 24

MO: local sites out of 14

NC: 0 local sites out of 13

NJ: 0 local sites out of 4

NM: 0 local sites out of 10

NV: 0 local sites out of 9

NY: 0 local sites out of 26

OH: 0 local sites out of 6

PA: 0 local site out of 10

VA: 3 local site out of 10

WA: 0 local sites out of 4

WI: 0 local sites out of 14

Underage Persons in Bars			
		State Policy	
		Yes	No
Local Policy	Yes	18	6
	No	148	99

State: CA, CT, FL, LA, ME, MO, NM, NV, NY, PA, WA, WI

Local communities with this policy, by state:

CA: 2 local sites out of 14

CT: 1 local site out of 37

FL: 5 local sites out of 14

GA: 2 local sites out of 8

IL: 2 local sites out of 6

LA: 0 local sites out of 6

MA: 0 local sites out of 4

MD: 0 local sites out of 12

ME: 0 local sites out of 8

MI: 0 local sites out of 18

MN: 0 local sites out of 24

MO: 7 local sites out of 14

NC: 0 local sites out of 13

NJ: 2 local sites out of 4

NM: 0 local sites out of 10

NV: 2 local sites out of 9

NY: 0 local sites out of 26

OH: 0 local sites out of 6

PA: 0 local sites out of 10

VA: 0 local sites out of 10

WA: 0 local sites out of 4

WI: 1 local site out of 14