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Guide to Conducting Alcohol Purchase Surveys



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**OJJDP *Enforcing the
Underage Drinking Laws* Program**

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Field Advisors

James E. Copple
*Executive Deputy Director
National Crime Prevention Council*

Johnnetta Davis
*Director, Special Field Services
The Underage Drinking
Enforcement Training Center
Pacific Institute*

Gary Fisher, Ph.D.
*Director
Western Center for the Application
of Prevention Technologies
University of Nevada*

Gerald F. Jaker, Ed.S.
*Project Director
Central Center for the Application
of Prevention Technologies
Minnesota Institute of Public Health*

Mike Lowther
*Director
Southwest Center for the
Application of Prevention
Technologies
University of Oklahoma*

Sandra Miscovich
*Program Director
The Alaska Council on Prevention
of Alcohol and Drug Abuse, Inc.*

Diane Riibe
*Executive Director
Project Extra Mile*

Cheryl Vince-Whitman and
Michael Rosati
*Northeast Center for the
Application of Prevention
Technologies
Education Development Center, Inc.*

Law Enforcement Advisors

Ben Click
Chief of Police
City of Dallas Police Department

Manuel R. Espinoza
Chief Deputy Director
California Department of Alcoholic
Beverage Control

Gregory M. Hamilton
Chief
Enforcement and Marketing
Practices
Texas Alcoholic Beverage
Commission

Officer Gary Hein
Minneapolis Police Department
Community Services Bureau

Lt. Col. Robert C. Hickey
Deputy Commissioner of Staff
Pennsylvania State Police

Captain Mark Willingham
Youth & Alcohol/Tobacco
Program Administrator
Florida Division of Alcoholic
Beverages and Tobacco

Partner Organizations

Bobby Heard
Mothers Against Drunk Driving

Clifford Karchmer
Police Executive Research Forum

Trina Leonard
National Association of Governors'
State Highway Representatives



About This Guide

People who care about young people are aware of the serious problems caused by underage alcohol use. They should also be aware that there are many effective strategies for reducing underage drinking. Every State and community should be using these strategies. The Guide to Conducting Alcohol Purchase Surveys provides information about one important tool for combating underage drinking: the alcohol purchase survey. These surveys involve sending minors or young-looking adults into stores to purchase alcohol. In this way, law enforcement agencies and community members can find out who is selling alcoholic beverages to our children.

Why Do Purchase Surveys?

Illegal sales to minors can be prevented, but most communities need valid information in order to do the most effective job of prevention. Alcohol purchase surveys can provide this information.

They also

- Tell us who is selling to minors and how often,
- Raise community awareness and build support for reducing sales to minors,
- Inform merchants that they are being monitored by the community,
- Aid law enforcement, and
- Help monitor the impact of prevention strategies.

This guide can be used by advocates and policymakers to provide a rationale for carrying out purchase surveys.

The guide can also be used by organizations for

- Planning the surveys,
- Coordinating the efforts of various community organizations and agencies that have a stake in the surveys,
- Recruiting and training youth inspectors,
- Carrying out the surveys,

- Analyzing the data from the surveys, and
- Using the information from the surveys to change policy, obtain needed resources, and draw attention to the problem of sales to minors.

Because the legal, social, and geographic characteristics of localities differ, the guide describes an array of flexible options that can allow the general survey techniques to be adapted to local circumstances.



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Introduction

People who care about youth are aware of the serious problems caused by underage drinking. They realize that:

- Alcohol is the drug most commonly used by youth—more than tobacco and far more than marijuana or any other illicit drug.
- Alcohol is one of the most common contributors to injury, death, and criminal behavior among youth.
- Underage alcohol use can have immediate and potentially tragic consequences, as well as long-range harmful consequences, such as increased risk for chronic alcohol addiction.

There is no doubt that underage alcohol use is an extremely serious problem. But there are many effective strategies for reducing the problem. Strategies that *limit access* to alcohol by youth are some of the most powerful and well-documented approaches to reducing underage drinking and related problems.

The purpose of this guide is to promote the use of an important tool for monitoring underage access to alcohol—the purchase survey. These surveys involve sending young adults who appear underage (or minors under appropriate adult and police supervision) into stores to purchase alcohol. Communities and local groups can carry out purchase surveys of retail alcohol sales outlets to find out how easily available alcohol is to young people and to identify who is selling alcohol to youth. Such surveys provide extremely valuable information that can be used in addressing the problems of underage alcohol purchase and underage drinking.

This guide gives some of the background and rationale for these surveys as well as practical, step-by-step instructions for carrying out alcohol purchase surveys. The guide also shows how the information from the survey can be used to strengthen community awareness, promote better policies, and improve merchant compliance with the law.

Safe, efficient, and valid alcohol purchase surveys can be carried out in almost any community. This guide will show how.

Alcohol: The drug of choice for youth

National surveys of young people consistently show that alcohol is the drug of choice among young people. By the 12th grade, more than 80 percent of adolescents have experimented with alcohol, more than 50 percent report drinking within the previous month, and more than 30 percent report consuming five or more drinks in a row at least once in the previous 2 weeks (Johnston, O'Malley, & Bachman, 1998).

A recent study indicates that alcohol is responsible for 69 percent of all drug-related hospital stays among 10- to 19-year-olds. In contrast, tobacco accounts for 22 percent and other drugs for 9 percent of these hospital stays. Overall, 87 percent of years of life lost between the ages of 10 and 19 are alcohol related (Xie, Rehm, Single, & Robson, 1996).

In 1996, more than 6,300 young people between 15 and 20 years old died in traffic crashes. Of these fatalities, 2,315 (37 percent) were alcohol related. More than 21 percent of drivers aged 15–20 years old who were killed in traffic crashes in 1996 had been drinking (National Highway Traffic Safety Administration [NHTSA], 1998).

How Do Kids Get Alcohol?

Underage drinkers can obtain alcohol in many different ways—they can steal it or get it from their friends or their parents. In fact, kids are frequently quite creative in their schemes to get access to alcohol. All too often, however, they simply walk into a store and buy it—no questions asked, no identification requested, no problems encountered. Cutting off this type of easy access is the most important step toward preventing underage drinking in most communities.

Surveys carried out in various areas around the country have found that youth were able to buy alcohol in between 50 percent and 97 percent of stores, bars, and restaurants where attempts were made.

Studies indicate that enforcement of underage sales laws is lax in many communities. Police cite a number of reasons for not enforcing underage sales laws; most importantly, they perceive a lack of public support for such activities. This is unfortunate because research shows that enforcement can significantly reduce alcohol sales to minors.

Why Conduct Alcohol Purchase Surveys?

Illegal sales to minors can be prevented. A variety of strategies have been shown to be very effective, but most communities need valid information in order to make the best use of these strategies and to monitor their impact. Alcohol purchase surveys can help provide this information. In addition, the data obtained from purchase surveys can be used to increase support from the public and from public officials for policy changes and for more generous allocation of resources. This process is depicted in figure 1 as circular and involves a variety of segments of the community.

How Do You Conduct Purchase Surveys?

In order to carry out a purchase survey, a representative sample of alcohol outlets is selected. At each outlet in the sample, a buyer who appears to be underage attempts to purchase alcohol without presenting age identification (ID). If the outlet sells alcohol to the buyer, it is considered noncompliant. If the outlet refuses to sell to the buyer, it is considered in compliance. Details of this procedure vary, but the basic process is similar in all alcohol purchase

surveys. A flowchart of the tasks involved in conducting an alcohol outlet purchase survey is presented in appendix 1.

Purchase surveys are extremely useful, and they can be conducted practically, efficiently, and flexibly. This guide explains how to plan and carry out surveys under a variety of circumstances. It also provides sample protocols and materials that can be adapted for use in communities across the country.

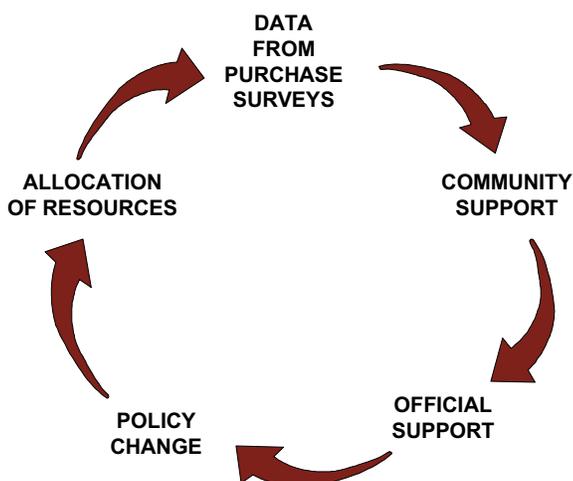


Figure 1. Survey Data and Community Process

Underage Purchase of Alcohol

Purchase surveys conducted in medium and small cities in Minnesota and Wisconsin have found youth able to purchase alcohol in about half of the attempts in both on- and off-premises outlets (Forster et al., 1994; Forster, Murray, Wolfson, & Wagenaar, 1995).

Another study surveyed communities in New York State and Washington, DC. Fully 97 percent of the Washington, DC, outlets sold to youth. Sales rates in New York varied from 44 percent to 80 percent (Preusser & Williams, 1992).

Five Reasons for Conducting Alcohol Purchase Surveys

1. Purchase surveys indicate who is selling alcohol to minors and how often. This lets a community know how large the problem of underage sales is and among which outlets. This information can be very useful in allocating scarce enforcement and prevention resources.
2. The results of surveys can be used to help raise community awareness and build support for efforts to reduce sales to minors. For example, some communities have called press conferences in which the buyers pose with all the beer they have managed to purchase from local stores. Such events can bring attention to the problem of alcohol sales to minors and make it easier for policymakers, merchants, and concerned citizens to act.
3. Purchase surveys can be an intervention. Informing merchants that they are being monitored by the community and providing them with feedback can motivate those with good policies and sales practices to continue them and motivate those with poor policies and practices to change them.
4. Purchase surveys can be an important part of enforcement. Some communities choose to issue citations to outlets who sell to minors during the surveys. Other communities use the information from the surveys to help target later enforcement efforts. *In either case, local police or Alcohol Beverage Control (ABC) authorities must always be involved when enforcement efforts are planned as part of a purchase survey.*
5. Purchase surveys can be used to measure the impact of prevention strategies. A series of surveys carried out over time can indicate whether prevention efforts are having an effect on sales to minors. This information can help communities decide whether to continue or discontinue particular policies or programs and can indicate how to modify prevention strategies to make them more effective.



Chapter 1:

Planning Alcohol Purchase Surveys

In planning an alcohol purchase survey, a community or group must first answer several important questions regarding the purpose of the survey based on its own needs and situation.

Who Should Carry Out the Survey?

If the survey is to include enforcement, the relevant enforcement agency must conduct the survey in most cases. Which agency this is varies from State to State and community to community. It can be the State ABC agency or a local police or sheriff's department.

If enforcement is not included in the survey, a much wider range of agencies and organizations can initiate and implement the survey. In some communities, a college or university can carry out the survey as a research activity. In other communities, the survey can be conducted by an underage drinking coalition, a Mothers Against Drunk Driving (MADD) or Students Against Destructive Decisions (SADD) chapter, a parent-teacher association, or other concerned group. In still other communities, a public health or drug prevention agency can take the lead.

Regardless of who conducts the purchase survey, it is important to consult beforehand with local law enforcement agencies regarding its implementation. A police chief or local public safety officer, for example, can provide important guidance regarding legal and safety issues and about the local situation. Consulting with local law enforcement agencies about purchase surveys ahead of time can also avoid conflicts and later misunderstandings regarding the nature and purpose of the data collection efforts.

What Kinds of Alcohol Outlets Should Be Surveyed?

There are two primary types of alcohol outlets that can be the target of purchase surveys: off-premises and on-premises. *Off-premises* outlets include liquor stores, supermarkets, minimarts, and other establishments that sell alcohol to be taken away and consumed somewhere else. *On-premises* outlets include bars, restaurants, and other establishments that sell alcohol to be consumed at the place of purchase. Although both types of outlets can be sources of alcohol for young people, underage drinkers usually obtain alcohol from off-premises outlets or from friends or strangers who have purchased it at off-premises outlets. Because off-premises outlets are the principal source of alcohol for underage drinkers, this guide focuses on how to conduct off-premises outlet purchase surveys. Nonetheless, some communities or groups will want to survey on-premises outlets as well as off-premises outlets. Most of the procedures described in this manual can be modified to apply to on-premises purchase surveys.¹ Some on-premises establishments, especially bars, can pose greater risks to the buyer than would be encountered in off-premises establishments. The additional problems and risks should be carefully weighed against the need for and value of the information that can be gained.

Should Minors Be Used as Buyers?

Although using minors as buyers can increase the validity of the data and is essential if enforcement is planned, this strategy raises very serious legal and safety issues. It is almost always illegal for private citizens or groups to conduct purchase surveys using minors as buyers. Adult supervisors of underage buyers may be charged with contributing to the delinquency of minors, providing alcohol to minors, or other offenses. The underage buyers themselves may be subject to arrest or citation for possession of alcohol or attempting to purchase alcohol. In many States, minors in possession of alcohol can lose their drivers licenses. In some States it is illegal for minors even to enter licensed on-premises establishments. In addition, supervisors or sponsoring organizations may be liable if minors are injured in the course of an alcohol purchase survey. ***Always consult with legal counsel and with local law enforcement agencies before undertaking a purchase survey using minors as buyers.***

¹ On-premises surveys, however, do raise additional issues. It is difficult, for example, to do an interrupted or unconsummated purchase attempt at a bar or restaurant unless a method for preventing the server from preparing the drink can be devised. (See the section on using minors to conduct purchase surveys on page 22.) One possibility is for the buyer to stop the server just after he or she takes the order. The buyer can then make a show of checking pockets, indicate that they left their wallet and money at home, and get up and leave. Such scenarios must be carefully scripted and practiced to be convincing.

Because of the legal and safety issues involved in using minors as buyers in purchase surveys, the recommended strategy is to use young adults who are over 21 years old, but who appear to be younger. It is crucial that the buyers clearly appear to be 18 or 19 years old. In this strategy, no law is broken because the purchasers are of legal age to buy alcohol. The key information to be obtained is whether age identification is requested and if a sale is refused when no ID is presented.

Should the Survey Include Enforcement or Be Conducted for Data Collection Only?

It is generally not recommended that enforcement be a part of the purchase survey effort. If the survey is to be done for enforcement as well as monitoring purposes, it is essential that the relevant local or State enforcement agency be involved. In most jurisdictions, purchase surveys for enforcement purposes must be undertaken by police, the ABC agency, or other authorities.

If the survey is to include enforcement, the data collected will more accurately reflect underage sales rates if citations are issued after the data collection has been completed throughout the community. Otherwise, merchants who have been cited are likely to alert other outlets that enforcement is taking place and thus suppress sales. It is important to keep in mind that for purposes of reducing sales to minors, this kind of grapevine warning about an ongoing enforcement program can be a very useful way of amplifying the effects of the campaign. When a community is trying to measure accurately the rate of sales to minors, however, it is better to delay the citations until all the data have been collected. Note that in many jurisdictions, the citation must be issued at the time the infraction is observed. This requirement precludes delayed enforcement.

Should Informational Letters Be Sent?

Even if enforcement is not part of the survey, a community group will perhaps want to issue informational letters to outlets telling them that they were surveyed and either warning them that they sold to an apparent minor or commending them for not selling. These letters can be an important part of efforts to build awareness and support. Such letters, in and of themselves, can help reduce sales to minors by making merchants aware that the community is monitoring them. Here again, in order to maximize the accuracy of the survey results, it is better to wait until the survey has been completed before sending the letters.



Chapter 2: Carrying Out Purchase Surveys

Purchase Survey Protocol

Once the decision has been made to undertake a purchase survey, key questions arise regarding the specifics of its implementation, including:

- How many buyers should be involved in the survey?
- Must the buyer actually purchase alcohol or only attempt to do so?
- Should the buyer enter the retail outlet alone?
- Should the buyer purchase beer or some other type of alcohol (e.g., wine, wine cooler)?
- Should the alcohol be purchased alone or with other items?
- At what time of the day or on what days of the week should purchase surveys be done?
- Should more than one purchase attempt be made at each outlet?

Most of these questions have no clear-cut answers, and there are little or no reliable empirical data. However, the way each of these questions is answered can influence the results of purchase surveys. For survey results to provide an accurate reflection of sales rates, one must be able to define and defend decisions made in developing the purchase survey methodology. The decisions made initially will influence what can be done subsequently because the same basic measurement protocol will be used in later surveys to allow for valid comparisons over time. This chapter addresses these questions about methodology and elaborates on the recommended best practices for conducting purchase surveys.

An annotated bibliography and a list of resource materials are included at the end of this guide to give further information about implementing

purchase surveys and to provide examples of purchase surveys that have been successfully completed. Sample forms, letters, and data collection instructions are also included as appendixes 2 and 3.

Characteristics of Buyers

Several studies have observed that the characteristics of buyers used in purchase surveys can influence the results. Not surprisingly, older, more mature-appearing buyers are more successful in purchasing alcohol than are those with more youthful appearances. A few studies also have reported that females are more likely than males to be sold alcohol illegally. Less tangible characteristics of buyers such as their physical attractiveness, apparent trustworthiness, and likability can influence the results obtained from purchase surveys. Controlling for the varying characteristics of buyers in purchase surveys is important for counteracting potential bias. It should be kept in mind that the purpose of a purchase survey is not to trick retailers into selling alcohol, but rather to obtain accurate estimates of the extent to which alcohol is sold to young people under typical circumstances. The buyers should *not* be selected to either maximize or minimize sales rates.

Controlling for Buyer Characteristics

There are several ways to control for the potential biasing characteristics of buyers in purchase surveys. The most straightforward but least practical approach is to have only one buyer conduct all of the purchase attempts. This eliminates any variability among buyers but is impractical if a large number of purchase surveys are to be performed, especially over a wide geographic region. Also, comparisons with subsequent purchase surveys will be difficult to interpret because the results of each survey are likely to be dependent on the particular buyer involved. This approach can also lead to another type of bias because a single youth is not necessarily the ideal candidate for buy attempts in all geographic areas of interest.

The recommended strategy is to use multiple buyers.

To control for variation in purchase survey results due to the differing characteristics of the buyers:

- Make sure all buyers have sufficient and equivalent training.
- Randomly assign buyers to outlets.

- Make multiple buy attempts at each outlet using different buyers for each attempt.

Training is covered in detail later in this guide. The importance of training, however, cannot be overemphasized. Role playing is a particularly important part of the training; and buyers should practice how to interact with clerks, what to say in different scenarios, and how to deal with different situations that could arise. The training should be standardized, and all buyers should receive the same training.

By randomly assigning buyers, any bias due to differing characteristics is spread equally across the outlets in the survey. As a practical matter, if the purchase survey covers a wide geographic region (e.g., a State), randomly assigning buyers to purchase survey locations can be done separately within regions (i.e., stratified by region). Alternatively, some research studies have recruited a core group of buyers to travel across different regions to conduct all purchase surveys.

Making multiple purchase attempts using different buyers each time also means that the outcomes for any given outlet will not be the result of a particular buyer's characteristics. When using multiple buyers, the purchase attempts should be on different days and at different times to help control for clerk characteristics as well as buyer characteristics.

Recruiting Buyers

The following selection criteria should be used in recruiting buyers for purchase surveys:

- Limit the selection to young adults who appear to be 18 to 19 years of age (i.e., who look young enough to be clearly underage, but old enough to be successful in some purchases).
- Validate the perceived age of the buyers. (See “Validating Youthful Appearance” on page 13.)
- Select an equal number of male and female buyers.
- Match the buyers to the racial or ethnic characteristics of the neighborhoods where the purchase survey sites are located and then randomly assign specific buyers to outlets within neighborhoods to which they are matched.

Recruiting Tips

Recruiting enough conscientious inspectors is crucial to the success of the survey. The number of buyers needed depends on how many outlets will be surveyed, the timeframe for conducting the survey, how many purchase attempts will be made, and how many buyers will be on a team.

- Identify inspectors through family, friends, church groups, colleagues at work, youth groups, clubs, teachers, counselors, etc. Some colleges have community service requirements that could be fulfilled through participation in the survey. In some cases students can get class credit for participating in research studies.
- Give presentations to groups of people, explaining the project and the benefits of participation.
- Send a letter to potential buyers, explaining the project and the educational benefits of participation. (See appendix 2.)
- Make sure the potential inspectors have a realistic understanding of the time commitment involved.
- Offer potential inspectors a small stipend to participate in the project. Additional incentives might include free meals or possible appearances at press conferences and at other media opportunities.
- Arrange for potential inspectors to attend an information session where they can learn more about the project.

Teams

Some research groups have advocated using teams of two inspectors or buyers for each purchase survey site. The rationale for this approach is based on the assumption that young people are likely to feel more comfortable in pairs. The use of a second buyer also permits two persons to observe details of the purchase situation, such as the posting of warning signs, the location of alcohol displays in a store, and the gender and approximate age of the salesclerk. *In order to maximize standardization, the decision to use one or two buyer teams should be followed for all outlets in the survey.*

Compensation and Insurance

In order to recruit and maintain a trained and committed core of young people, they should be compensated for their participation in the purchase survey. It is best to check with the appropriate personnel office and/or legal

staff of the sponsoring organization about the procedures for recruiting and hiring buyers. Survey sponsors can offer a variety of reimbursement options including both monetary (e.g., \$3 per outlet, \$20 per day) and nonmonetary (e.g., movie tickets, prepaid pizza, T-shirts). In addition, community service or academic credits may be possible in cases where financial remuneration is not available. *Buyers should be compensated whether a purchase attempt results in a sale or not.* Again, the object of the purchase survey is to obtain accurate estimates of the number of outlets that sell to young people under typical circumstances. A purchase attempt that does not result in a sale is just as valid and informative as one that does result in a sale.

In some situations it is worthwhile to consider hiring youth as part-time employees so they can be covered by an agency's insurance. Some organizations also have insurance coverage for volunteers. When youth participants are brought on as employees rather than volunteers, it has the potential to instill a higher level of commitment to carry out the assigned work.

Validating Youthful Appearance

It is illegal to sell alcohol to anyone under 21 years of age regardless of how old or young the person *appears*. In the interest of accurate measurement and to minimize any appearance of "entrapment," however, buyers should appear to be 18 or 19 years of age. One approach is to have in-person assessments of the age-appearance of those being considered as buyers. Ask a group of five school teachers (or other people who work with teenagers) to guess the ages of potential inspectors. If at least four of the five raters estimate a young person's age as either 18 or 19, he or she would be considered eligible to participate in the survey. Photos can be used in place of in-person assessments, if necessary. If photographs are used to rate the ages of the participants, they should be recent (within 1 month) and should show the young people as they typically appear. To avoid influencing one another, each judge should write his or her guess on a form without consulting others. The rating method is useful for excluding buyers who look either very young or very mature.

Escorts

Escorts are used to drive, make observations, and supervise the buyers involved in purchase surveys. Adults who are somewhat older than the buyers are preferred as escorts. Escorts can complete survey forms after each purchase attempt and help maintain security and safety. Escorts can enter a store first and make in-store observations to assess safety, locate

where alcohol is placed in the store, and make observations about other store features that can be recorded as part of an extended data collection effort. If escorts are to enter outlets, it is important that their dress, demeanor, and characteristics be in keeping with the neighborhood. Experience indicates that somewhat older adults are better able to make reliable in-store observations than are young people. In order to avoid “tipping off” the store to a purchase survey, observers should purchase a small item (e.g., gum, soft drink) during their visit to the store. Escorts also can be used to keep up buyer morale during purchase surveys, emphasizing the importance of the work.

Depending on the team’s assessment of the safety of the outlet and the neighborhood, the escort can choose to be in the store during the purchase attempt by the buyer or not. The presence of an adult customer could influence how the store clerk responds to the youth participant. *Whatever procedure is used, it should be followed consistently for all outlets surveyed.*

If the protocol requires an escort to enter the store in advance of or during a purchase attempt, having two escorts per survey team allows one to remain in the automobile to supervise other buyers involved. The use of two escorts can also speed the surveying process by designating one as a driver, while the other makes in-store observations and collects information from the buyers regarding their purchase attempts. Having two escorts also eliminates concerns about possible unprofessional conduct on the part of the escort.

The escort or buyers remaining in the car can also record information about the exterior of the outlet, such as the presence of signs, advertising, clutter, etc. In general, the car should be parked where it is not visible to the interior of the outlet in order to reduce the likelihood that a clerk will see the escort and buyer together.

Recruiting Escorts

Sometimes it is possible for the parents or guardians of the buyers or other volunteers to serve as escorts. In many cases, for insurance purposes, however, it is preferable to use employees of the survey agency as escorts.

Some considerations for recruiting adult escorts include:

- Potential escorts should be given background checks.
- Each escort should have access to a reliable automobile, have a good driving record, and possess a valid drivers license and current automobile insurance.
- Each escort should be free of any alcohol- or drug-related driving charges and should have no more than one driving citation in the previous 3 years.
- Escorts should complete driver's certification forms listing their automobile insurance carrier and drivers license number.
- Escorts should receive information packets describing the purchase survey, the time commitment involved, responsibilities, training, and compensation.
- Escorts should be able to read roadmaps effectively.
- Each escort should sign an informed consent and release to participate in the purchase survey. Consent forms with original signatures should be kept on file for 3 years.
- Escorts should be paired with buyers of the same gender whenever possible.

Compensation

If the inspecting agency allows employees to be used as escorts, overtime pay often can be arranged to compensate for the time of their involvement in the purchase survey. Alternatively, agencies can hire escorts as part-time employees and reimburse them on either an hourly or per-outlet-inspected basis. Escorts should receive reimbursement for their driving-related expenses such as gas, tolls, and parking. Escorts should document travel expenses as necessary to be in compliance with the agency's reimbursement policies.

If the purchase survey is to be used for enforcement purposes, the designated enforcement agency (e.g., police department, health department) is normally responsible for employing both escorts and buyers.

Training Session

All participants should be thoroughly trained prior to survey activities. Training can typically take one-half day or longer. The complex task of coordinating schedules of survey team members should be done *before* the training session so that members of each team can become acquainted with and concentrate on the procedures for actually conducting the purchase survey.

The survey teams should inspect a small number of stores immediately following the training session, with an opportunity to return to the training location for debriefing about their experience. In addition, the training opportunity can be used to collect consent and release forms from all participants or verify that they are on file at the training center.

Training session content should

- Describe the purpose of the purchase survey.
- Remind participants that this is a fact-finding mission, and the goal of the survey is to obtain an accurate picture of alcohol sales to minors.
- Stress that a successful purchase survey is *not* making a purchase or enticing a sale; success is *documenting* what actually happens.
- Make sure that all participants thoroughly understand the procedures and protocols for visiting outlets and that the names of retail sites and individual results are confidential.
- Review how to make a “buy.” Remind buyers to act naturally and to be confident. Inform them that they are to dress as they normally would. Participants should take care to avoid clothing and mannerisms that could be perceived as “gang related” if outlets are in areas where gang activity has been a problem.
- Instruct buyers *not* to take their IDs into the outlets.
- Take a photo of each buyer who will participate in the survey. The photograph should reflect how the buyer will look when entering a store (e.g., hat on or off).
- Prepare participants for what to expect: retail site environment, possible signage, placement of alcohol, and questions they might be asked.

- Give buyers a basic script to follow when they attempt to make the purchase. Buyers should be instructed not to deviate greatly from that script and to be honest in their answers.
- Instruct buyers to respond honestly if asked their age.
- Review with participants the escort's responsibilities in ensuring the safety of youth participants. (See "Safety Issues" on page 21.)
- Instruct buyers *not* to attempt to purchase alcohol in stores if someone they know is working there or is present in the store.
- Give youth and adult survey teams a schedule showing the dates and times for survey activity.
- Review the agency's protocol for handling emergency situations (e.g., phone numbers of individuals to contact in case of an emergency).
- Instruct escorts not to wear uniforms or visible forms of identification.
- Instruct purchase survey teams not to use identifiable official vehicles.
- Review procedures for any postsale activities; for example, issuance of citations or distribution of educational materials. (See "Postsurvey Activities" on page 29.)
- Provide opportunities to practice and role-play the purchase attempt with different scenarios.

Survey Team Preparations

Escorts and buyers should be assigned to teams of three or four persons—two adults and one or two youth. Participants should be racially and culturally matched to the neighborhoods in which they will be surveying. Each team should have a packet that contains

- Data collection forms;
- Instructions for using the forms;
- Protocol for conducting the purchase surveys;
- A list of retail outlets to be inspected;

- A map of the area to be surveyed, including, if possible, detailed instructions for locating outlets;
- Samples of “no sale to minors” signs;
- Envelopes for returning the completed data collection forms; and
- A list of individuals and their telephone numbers to contact if a problem arises in the field.

Money for Purchases

Make sure buyers have cash in small bills to allow the purchase of alcohol. Even if the protocol calls for the buyer to break off the sale prior to purchasing alcohol (i.e., unconsummated buy), they should be given a small amount of cash to carry with them into the store. In this way, buyers can break off the sale by claiming they are short of the needed cash instead of having no cash available at all. Buyers in previous studies have felt more comfortable entering the store with some cash because having no cash at all raises suspicion about why they entered the store (i.e., potential shoplifting). Escorts also should have sufficient funds to make a small purchase if they are in the outlet either preinspecting or with the buyer during the purchase attempt.

Disposition of Purchased Alcohol

Give escorts a clipboard for writing in the automobile and a bag to hold alcohol that is purchased. Buyers should turn over all alcohol to the escorts. All alcohol should have a label with the date and location where the sale was made and be stored by the central recordkeeping office for later disposition.

Letters of Verification

Each survey team escort should carry a letter from the survey organization or State agency verifying the legitimacy of the purchase survey activities. This letter should include the names of at least two staff persons who can be reached in case of an emergency.

Costs of Purchase Surveys

The cost factors associated with purchase surveys can vary widely, but cost elements include personnel costs; costs associated with minors (wages, food, transportation); transportation and per diem for inspectors (mileage, food, lodging); product costs (to buy alcohol); data processing, analysis, and reporting; and miscellaneous costs, such as those for photos of minors.

Protocol for Making Purchases

A number of issues about the actual procedure for conducting purchase surveys need to be decided and addressed uniformly throughout a survey. For example, decide what type of alcohol the buyers will be instructed to purchase. Keep in mind that beer is the type of alcohol most frequently consumed by young people. Wine coolers and other youth-oriented beverages (e.g., fruit-flavored malt liquors) are also popular. Buyers should be instructed as to which alternative beverages to buy if the primary beverage is unavailable at a particular outlet. Avoid expensive or imported beverages that are unlikely to be popular with young people. Also, decide in advance whether buyers will purchase only alcohol or whether they will purchase other items such as chips or snack food in addition to the alcohol. There is some evidence, however, that certain types of products that are associated more with adults (e.g., diapers, bran cereal) can *increase* purchase success, whereas other types of products that are associated with younger people (e.g., candy, frozen burritos) can *decrease* purchase success. Given these findings, it is perhaps best to purchase alcohol alone.

Purchase Survey Schedules

The number of purchase surveys possible per hour can vary depending on the density of outlets. If the purchase survey sites are located in a dense urban area, a purchase survey team can complete as many as 10–15 purchase surveys per hour. In suburban areas, 20–25 purchase surveys per evening is more realistic. In sparsely populated rural areas, that number will decrease. Considerable time can be saved by marking outlet locations on a map in advance and devising routes that are efficient and involve the least amount of driving. Buyers and escorts sometimes “burn out” after about 3 hours of surveying.

Timing of Purchase Surveys

In developing the schedule for conducting purchase surveys, it is important to give some thought to their timing. Friday, Saturday, and holiday afternoons and evenings are usually the best times. Sunday afternoons are also acceptable.

Experience also recommends against attempting to purchase during school hours. This could mislead the clerk into thinking the buyer is older or tip off the retailer that a purchase survey is taking place. Holidays are a good time to conduct purchase surveys because young people are more available, although some outlets could be closed. Because many teens sleep late on weekends or on holidays and this is an unusual time of the day for a minor to purchase alcohol, surveying in the morning is discouraged. Surveys conducted late at night (e.g., after 11 p.m.) could expose inspectors to

unnecessary risks in some neighborhoods. The date and time of the purchase survey should be recorded on the Data Collection Form.

Purchase surveys should be spread out over a reasonable period—not compressed into a short time. This is to avoid tipping off retailers by developing a “purchase survey season.” On the other hand, in order to make regional comparisons of data collected in the purchase survey, the survey should be timed in such a way that all data collection activity is completed within a 4-week period. Extending the period for data collection introduces a potential source of bias because other events could influence the response of retailers to young people attempting to purchase alcohol (e.g., local enforcement activities, retailer programs, and word of mouth among retailers that the purchase survey is taking place).

Number of Purchase Attempts

A variety of extraneous factors can influence the outcome of any given purchase attempt. The attributes of the buyer and clerk involved in the transaction can determine the success of the purchase attempt. Different clerks at the same outlet, for example, probably vary in their conscientiousness in checking for age identification. The presence of a manager can also increase compliance. Other random factors, such as the clerk’s mood, affect the purchase outcome. To help control for incidental factors that can influence a purchase attempt outcome, it is recommended that inspectors make two purchase attempts at each outlet during the course of each survey. These attempts should be on different days of the week (e.g., on a Friday and Saturday) and at different times of the evening (e.g., 5:00 p.m. and 7:30 p.m.). Different buyers should be used for each attempt. If two purchase attempts are made at each outlet, it is also possible to rate outlets on a scale of purchase success: (0) did not sell at all, (1) sold once, and (2) sold twice. Although two attempts are recommended to improve data quality, this procedure is not essential. Making two attempts will more or less double the costs of conducting the survey. The increase in data quality should be weighed against the additional costs given the resources available for a particular survey effort.

Data Collection

Before conducting the survey, develop a data collection form to record information about each purchase survey site that will be useful for possible future data analysis. A sample data collection form and instructions for using the form are contained in appendix 3. Items to be considered include the following:

Background Information

- Store ID number and/or name and address of the store,
- Date of the purchase survey,
- Time of the purchase survey,
- Status of the purchase survey (i.e., completed or why not completed), and
- Escort ID number (i.e., adult responsible for completing data form).

Purchase Attempt

- Type of outlet (see descriptions in Data Collection Form Instructions in appendix 3),
- Buyer ID number,
- Age and gender of buyer,
- Race or ethnicity of buyer,
- Type of alcohol requested (i.e., six-pack of beer, wine cooler, etc.),
- Brand of product,
- Gender and estimated age of the salesclerk,
- Whether buyer was asked his or her age,
- Whether buyer was asked for age identification, and
- Attempted sale outcome (**yes**, a sale was made, or **no**, a sale was not made).

Outlet Observation

- Whether a “no sale” warning sign was present,
- Location of warning sign(s) (see appendix 3, item 20), and
- Location of alcohol in the outlet.

Postsurvey Activities

- Whether outlet received a citation, informational letter, or educational material.

Additional Notes

On the Data Collection Form, record any special information about the sale. For example, the buyer could report that “the clerk told me they were out of Budweiser and asked if I wanted another brand.”

Safety Issues

Buyers should never be sent into a situation that is potentially volatile or dangerous. It is the responsibility of the escort to ensure the safety of younger participants. The escort should keep an eye on the buyers as they enter the purchase survey site and be ready to intervene if a problem arises. If the outlet or neighborhood appears unsafe, purchase attempts should not

be made. Instruct buyers never to confront a storeclerk or customer for any reason and to leave a store if they feel uncomfortable or unsafe. Some buyers might express concern about going into neighborhoods that are unfamiliar or appear unsafe. In these cases, it is important to honor their wishes. Send buyers to areas where they feel comfortable.

Drivers should be screened for their driving records. All participants should be instructed to wear seatbelts while traveling in a car. Also, car doors should be locked at all times. Survey teams are not to jaywalk or walk against red traffic lights. Escorts are to drive cautiously and obey all traffic rules. Escorts on each survey team should carry a letter from the survey organization verifying the legitimacy of the survey activities. This letter should include the names and phone numbers of at least two survey coordinators who can be reached in case of any emergency.

Insurance and Liability Issues

It is very important that everyone involved in purchase surveys have insurance coverage and that the insurance is valid under purchase survey conditions. Consult the appropriate insurance carrier before beginning purchase surveys.

Using Minors To Conduct Purchase Surveys of Retail Alcohol Outlets

Survey agencies must address numerous legal and safety issues in planning purchase surveys where minors are participants. If minors under the age of 18 are used as buyers, survey coordinators *must* obtain parental permission *before* minors are involved in purchase surveys. Information sheets can be mailed home with permission slips to be signed and returned by parents.

In using minors, the object is *never* to encourage or entice a sale of alcohol to the underage buyer. Rather, the goal is to determine whether, under typical circumstances, an outlet will sell to a minor.

Legal Considerations

In most States and communities, it is illegal for minors both to purchase and to possess alcohol. In some cases, it is illegal for minors even to *attempt* to purchase alcohol. In some communities, it is illegal for adults to assist young people in an alcohol purchase or provide alcohol to minors. In some locales, only designated law enforcement agencies can conduct or

arrange an undercover buying operation. In addition, if an enforcement action is going to be taken against an outlet found in violation of the law, there may be other requirements to ensure that the enforcement action complies with the law. Be familiar with the laws that apply in the localities where the purchase survey will be conducted. Interpreting these laws can be difficult, so obtain legal counsel and meet with local law enforcement agencies before beginning purchase surveys with minors. In some cases, in order to conduct the survey, appropriate law enforcement agencies must give written permission.

Inspecting organizations are strongly encouraged to seek immunity from prosecution for all buyers and adults who participate in purchase surveys involving minors, especially if enforcement activities (e.g., citations, fines) are planned. If there is any doubt about legal issues, use youthful-appearing young adults who are 21 years old or older as buyers. In such cases, no law is violated and the data simply indicate a willingness of merchants to sell to young buyers without making appropriate identification checks. (See the section above on “Validating Youthful Appearance” on page 13.)

Issues of Entrapment

Purchase surveys should never be seen as a way of enticing merchants into selling alcohol illegally to a minor. The criminal justice system defines entrapment as occurring when a person who is not predisposed to commit a crime does so because of police enticement. That is, the person is caused to commit a crime by the police (Robin, 1984). It is important that minor participants in a survey be 18 or 19 years of age and act and dress in a manner consistent with their age. If questioned about their age, they should respond truthfully. If asked for whom the alcohol is being purchased, they should respond, “for me.” The issue of entrapment is only relevant if survey findings are used for issuing citations to retailers who are caught selling alcohol illegally to a minor.

Informed Consent

Provide minor recruits and their parents with an information packet describing the purchase survey, the time commitment involved, training, compensation, and any risks involved (e.g., legal issues, such as required court appearances if enforcement actions are taken against merchants caught violating the law, possible risk of arrest, or loss of drivers license). Parents or adult guardians must give informed consent and release for minors under age 18 to participate in the survey. Consent forms with original signatures should be kept on file for at least 3 years. (See appendix 2 for sample consent forms.)

There is no evidence that youth participation in undercover purchase surveys promotes alcohol use.

Unconsummated Sales

When State law prohibits minors from attempting to purchase alcohol or adults from assisting them, law enforcement officials sometimes approve a protocol that involves an incomplete purchase or unconsummated buy. In an unconsummated buy, the minor attempts to purchase alcohol but claims not to have sufficient money to complete the purchase. If the merchant fails to ask the minor his or her age or for age identification and appears ready to make the sale, the interaction is counted as a sale for measurement purposes. In some jurisdictions, no law is actually violated in this situation and therefore no citation can be issued. *Before using this or any other approach with minors, consult an attorney and law enforcement officials about the appropriate procedure to be used.*

Purchase Survey Combined With Enforcement

If the purchase survey is to be used for enforcement purposes, both the minor and adult escort could become involved in legal proceedings about any alleged violations. (See “Should the Survey Include Enforcement or Be Conducted for Data Collection Only?” in chapter 1.) These proceedings may require that survey participants be available to give written or oral testimony regarding how the purchase survey was carried out. As noted above, this is one possible reason that both youth participants and adult escorts should be employed by the surveying agency so that their actions can be protected as employees.

Summary of Recommendations

Table 1 summarizes the “best practice” recommendations for conducting a purchase survey of retail alcohol outlets. These guidelines are offered to assist in planning effective, comprehensive purchase survey protocols.

Sample Purchase Survey Protocol

- **Survey only those retail outlets on the list.** If a retail outlet is closed or does not sell alcohol, or if conditions are unsafe for inspecting, note this information on the data collection form with an explanation of why the purchase survey was not completed.
- The data collection form should stay in the vehicle with the adult escort and be filled out after the purchase attempt is completed. ***Do not take the data collection form into the retail outlet.***
- Escorts should drive buyers to the preselected alcohol outlets.
- They should park cars in a location where survey participants can exit and enter the vehicle safely, but not within view of the retail outlet personnel.
- If the retail site or area is perceived as unsafe by escorts or buyers, they should not conduct the purchase survey.

Responsibilities of Escorts

A survey team should consist of two escorts and one or two buyers. One of the escorts should enter the retail site prior to the youth as an observer. The second escort serves as the driver. The first escort has the following three tasks:

1. To assess the retail site's environment for the location of alcohol in the store and note the presence and types of "no sales" warning signs;
2. To assess the safety of the store environment; and
3. To return to the vehicle and communicate to the buyers how to proceed in conducting the survey (e.g., where the alcohol is located in the store).

The driver should stay in the car to supervise other participants while the first escort is making observations about the outlet's environment.

Table 1. Recommendations for Conducting Alcohol Outlet Purchase Surveys

<u>Issue</u>	<u>Recommendation</u>
Characteristics of Buyers	<ul style="list-style-type: none"> • Buyers should be over 21 years of age but should look 18–19 years old; use appearance-validation procedures. • An equal number of male and female buyers should be selected. • Buyers should dress as they would normally; avoid clothing and mannerisms that could be perceived as “gang related.”
Assignment of Minors to Outlets	<ul style="list-style-type: none"> • Within survey regions, buyers should be assigned randomly to different purchase survey sites. • The racial or ethnic characteristics of the neighborhood where outlets are located should match those of the buyers. Within neighborhoods, randomize the pool of eligible youth participants to sites.
Makeup of Survey Teams	<ul style="list-style-type: none"> • Two escorts should be assigned: one designated as the driver and the other assigned to make presurvey store observations for safety, signs, and the location of alcohol products. • Buyers should not carry IDs into the outlet.
Timing of Purchase Surveys	<ul style="list-style-type: none"> • Purchase surveys should be performed on Friday and Saturday evenings and holiday and weekend afternoons. • The entire survey should be completed in 4 weeks.
Number of Purchase Attempts	<ul style="list-style-type: none"> • Two purchase attempts should be made at each outlet. • The attempts should be on different days of the week and at different times of the day. • Different buyers should be used for each attempt.
Type and Brand of Alcohol	<ul style="list-style-type: none"> • The type of alcohol and brand should be consistent for all purchase surveys, if possible.

Issue**Data Collection****Recommendation**

The following information should be collected:

- Date and time of purchase survey
- Location of outlet
- Type of outlet
- Age of buyer
- Other characteristics of buyer
- Type of alcohol requested
- Location of alcohol in outlet (i.e., via clerk or self-service)
- Age and gender of clerk
- Attempted purchase outcome
- In-store observations, such as the presence of a “no sale” warning sign
- Postpurchase survey activity conducted.

Safety

- If outlet or neighborhood appear unsafe, no purchase attempt should be made.
- Buyers should never confront a storeclerk or customer for any reason.
- Escorts should accompany buyers.
- Escorts should be screened for their driving records and background.
- Survey team members should wear seatbelts and observe all traffic safety rules.
- Each escort should have a letter of introduction that verifies their legitimacy.

Responsibilities of Buyers

Buyers enter the retail site with their partner or individually. Once inside the retail site, survey teams should quickly locate the alcohol. If a friend or someone known to the buyer works or is present in the retail site, the buyer should leave the store without attempting to make an alcohol purchase.

If alcohol is available only in open, unlocked displays, the buyer should pick up the alcohol and place it on the counter. If alcohol is available only with a clerk's assistance (i.e., behind the counter or in a locked case), then the buyer should request it. If the alcohol is available in both open, unlocked displays *and* behind the counter, the buyer should always try to pick up the alcohol from the open, unlocked display.

Buyers must be truthful at all times. If asked their age, buyers must state their actual age (e.g., "I'm 21."). If asked for age identification, the buyer should say, "I don't have any." If asked whom the alcohol is for, the buyer should respond, "for me." It is very important that the buyer do nothing to entice a sale or in any way encourage the salesclerk to make the sale. Buyers should be given sufficient funds to purchase the selected alcoholic beverage. Once the clerk has rung up the sale, the buyer should pay for the product and leave the store immediately. Information about the sale (or nonsale) should then be recorded by the escort. The escort should collect the purchased alcohol, place a label on it indicating the location and date of the purchase, and put it in a safe place (e.g., the trunk of the car).

If an unconsummated buy protocol is used, once the clerk has rung up the sale, the buyer should pull out two one-dollar bills to indicate that he or she is short of cash. The buyer is to apologize and leave the store. The purchase attempt will be recorded as a sale if the purchase is rung up by the clerk. If the clerk rings up the sale but is prompted to ask for identification by the cash register (electronic scanner), the buyer is to answer that he or she does not have any age identification (no ID should be carried into the store.) If the sale is then refused, the purchase attempt will be recorded as a no-sale. If the clerk proceeds with the sale and indicates the amount of money required to complete the sale, the buyer is to say that he or she is short of cash, apologize, and leave the store. This scenario is recorded as a sale.

Recording Data

After completing the purchase attempt, the buyer should return to the car and discuss the transaction with the escort. One escort should record all the information on the data collection form. The escort should debrief the buyer

following each purchase attempt as needed. Escorts should remind buyers continually that success is obtaining an accurate picture of alcohol sales to minors, not a sale.

Debriefing

At the end of the day, the escort responsible for completing data collection forms should check all the forms for completeness and place them in a preaddressed envelope provided by the survey agency. All survey teams should reconvene and debrief as a group at the end of the day in order to give the buyers and escorts time to share their experiences and to capture anecdotal information. This will also allow for the centralized collection of all data collection forms from the survey teams and provide a chance to review them for completeness and accuracy. If purchase survey sites are located over a wide geographic area, survey forms should be express-mailed to a central data collection office.

Postsurvey Activities

Data Analysis

The data collected during the course of a purchase survey can be used in a number of ways to advance prevention goals. First, however, the data must be tabulated and summarized in a form that is easily disseminated.

Someone at the sponsoring organization can perform the data analyses or help can be sought from students or instructors at local colleges and universities in exchange for a small stipend. Sometimes, students are willing to undertake straightforward data analysis tasks for class or research credit. For most purposes, simple descriptive statistics and frequency distributions will suffice.

Very simple analyses will suffice for most local surveys. Successful media advocacy campaigns, for example, probably need little more than current information about the percentage of outlets selling to minors, a video of underage buyers with the cache of alcohol they purchased, and a call for action. A handout that summarizes the main findings and points made is important for a press briefing. Graphical presentation of data is a particularly useful technique for communicating findings. Thus, for example, a handout with a simple bar chart showing the types of outlets selling to minors can have even more impact than just providing data and numbers verbally.

The data collection form can provide answers to some key questions including the following:

- What percentage of outlets sold alcohol?
- What percentage of outlets asked for age identification but sold alcohol even though no ID was presented?
- What percentage of outlets posted signs warning that they check for ID?
- What percentage of outlets complied with State laws regarding signs?
- Are some types of outlets (e.g., supermarkets, convenience stores, liquor stores) more likely to sell than other types of outlets? What percentage of each type of outlet sold alcohol?
- Are young clerks (under 21) more likely to sell than older clerks (over 21)?
- Do male clerks sell more often than female clerks?
- Do outlets with posted signs of “no sales” policies sell less often than other outlets?
- Are sales more likely to occur in outlets where there is only a single clerk?

Information from the data collection form can help answer other questions as well. The exact questions to be addressed will depend on how the data are to be used and the particular concerns of the group or agency undertaking the purchase survey.

Dissemination

The primary goal of the purchase survey is to obtain a scientifically valid estimate of the extent to which retail outlets sell alcohol to minors. However, once the purchase survey is completed, it is recommended that results be used immediately for educational purposes. For example, outlets that violate the law should be issued warning notices or letters. Stores that did not sell should be given congratulatory letters informing them of the date and time their store was checked. The media are often interested in the results of a purchase survey. The names and addresses of the stores that passed or failed the purchase survey can be publicized along with State plans to further reduce illegal alcohol sales to minors. A summary of the

purchase survey results can be sent to retailers along with educational materials about the law.

Several studies have shown that generating publicity about underage alcohol sales surveys is an effective way to increase the success of local enforcement efforts.



Chapter 3:

Sampling Alcohol Outlets for an Alcohol Purchase Survey

The value of any data obtained from an alcohol purchase survey largely depends on the extent to which the selected outlets represent all of the outlets in the community. Different strategies can be used to ensure that the surveyed outlets are representative.

Survey All Outlets

In many small- to medium-sized communities, it is possible to conduct a *census* of outlets. In a census, *every* outlet is included in the survey. *Conducting a census of outlets is the best way to ensure that the purchase survey data are representative.* A census is often possible even if there are a relatively large number of outlets. A team can complete a survey of 100 or 120 outlets in a 4-week period, even if the survey is conducted only on weekends. Experience shows that a team can complete between 20 and 25 purchase attempts in one afternoon and evening.

Survey a Representative Sample of Outlets

If conducting a census proves impossible, either because the number of outlets is too large or because not enough resources are available, the next best strategy is to use a *representative sample* of outlets. The easiest way to ensure that the survey of outlets is representative is to use a random sample. A random sample means that each outlet in the community has an equal chance of being included in the survey. There are six basic steps for obtaining a representative sample of outlets.

Step 1: Obtain a complete list of alcohol outlets and their addresses in the target community or region. This step is necessary in conducting either a census or a sample survey. In either case, the list provides the names and addresses of outlets so they can be located and visited. Most State ABC agencies can provide a list of licensed outlets in a community. Local law enforcement or county tax agencies sometimes can provide outlet lists. Where they are not available from official sources, business listings or other resources can be used. As a last resort, a surveying organization could do an actual enumeration of outlets by physically visiting all retail establishments in a community and determining if each sells alcohol. These latter alternatives are less desirable because the resulting lists are more likely to be incomplete. *Official listings are the preferred method.*

Step 2: Count the total number of outlets on the list. This number defines the size of the population that is the basis for the survey. Note that the population of interest is the total number of outlets in the target community or region, not the number of people or volume of sales.

Step 3: Determine the desired sample size. All other things being equal, larger samples are better than smaller samples, as a general rule. With larger samples, it is possible to have more confidence in the data. Thus, the sample should be as large as possible given the available resources for the survey.

Table 2 provides recommended sample sizes for communities with varying numbers of outlets. There are two considerations in determining sample size: (1) the size of the total population of outlets and (2) the desired degree of confidence in the data. The *confidence intervals* shown on the left in table 2 indicate how accurate the purchase success rate estimates will be, given sample size and population size. A confidence interval of ± 5 percent, for example, means that the estimate obtained from the survey could be too high or too low by five percentage points. Thus, if a survey conducted on a sample of 108 outlets in a community with 150 total outlets found a purchase success rate of 45 percent, the actual rate of sales to underage drinkers in the *total population of outlets* would be between 40 percent and 50 percent. The need for precision in the results can be balanced against the resources necessary to achieve a precise estimate.

To use table 2, simply select the desired confidence interval and read the number under the total number of outlets in the community. This number is the target sample size. Thus, for a ± 5 percent confidence interval in a community with 200 alcohol outlets, a sample of 132 outlets is required. Sample sizes can be approximated for communities with outlet population sizes not shown. For example, if a community has 225 outlets, the recommended sample size would be approximately half way between the samples shown for communities with 200 outlets and those with 250 outlets. In this example using the ± 5 percent confidence interval, the recommended sample would be 142 outlets.

Table 2. Target Sample Sizes

Confidence Interval	Total Number of Outlets in Target Community					
	75	100	150	200	250	300
$\pm 2\%$	73	97	142	185	227	267
$\pm 5\%$	63	80	108	132	152	169
$\pm 7\%$	55	67	85	99	110	119
$\pm 10\%$	43	49	59	65	70	73

Note—Sample size calculations assume a 50-percent purchase success rate and a .05 probability level for the confidence intervals. Lower or higher purchase success rates require slightly smaller samples for the same confidence interval.

It is important to keep in mind that the numbers shown in table 2 refer to *completed surveys*. All lists will contain errors or be somewhat out of date, with some outlets no longer in business. In addition, some outlets will not be surveyed because of potential risks to buyers or other reasons. It is therefore necessary to select more outlets for the survey than indicated in table 2 to take into account the fact that not all of the outlets sampled from the list will actually be surveyed. This inflation rate will vary from community to community and can be determined by experience or by visiting a sample of outlets from the list to determine how many are out of business or appear too risky. An inflation rate of 10 percent is probably adequate in most cases. Given a 10-percent inflation rate,

if the target number of completed surveys from table 2 is 108 outlets, then 119 outlets should be sampled from the list. All sampled outlets, however, should be treated the same. Purchase attempts should be made for all sampled outlets, even if the target number of completed surveys is exceeded.

Step 4: Determine the sampling interval. Once the sample size and population size are determined, the sampling interval can be calculated. The sampling interval is simply the total number of outlets in the population divided by the number of outlets in the sample. For example, if a community has 100 outlets and the desired sample size is 49 + 5 (target sample + 10-percent inflation rate), then the sampling interval is $100/54$ or 2 (after rounding). That is, approximately every second outlet on the list will have to be sampled in order to obtain the correct sample size. The fact that slightly more than every other outlet should be selected to actually obtain 54 outlets will be taken into account when the sample is actually selected.

Step 5: Determine a random start number. A random start number should be used to determine which outlet will be the first to be included in the sample. There are a number of ways to obtain a random start number. Many computers can generate random numbers. Random number tables are also available in most statistics texts. An easy way is to use a deck of cards. After shuffling, have someone choose one card by chance. The face value of the card (e.g., Jack, Queen, and King are equal to 11, 12, and 13, respectively, and Ace is 1) determines the first outlet to be sampled.

Step 6: Select the sample. Count down the list to the outlet corresponding to the random start number. Include that outlet in the sample and then continue counting down including each outlet that corresponds to the sampling interval. For example, if the start number is 10 and sampling interval is 2, you would include the 10th outlet on the list, the 12th, 14th, 16th, and so on, until the required number of outlets is obtained. If the end of the list is reached before the desired number of outlets is obtained, simply continue counting with the first outlet at the top of the list.

Response Rates

A final related consideration is the survey response rate. The response rate is the percentage of the eligible outlets in the original sample that was actually surveyed. Substantial bias can occur in the underage sales estimates if a significant number of eligible outlets in the sample are not actually surveyed. Every effort should be made to survey all outlets in the sample.

The first step in calculating a response rate is to take the number of outlets on the target sample list and subtract the number of outlets that are no longer in business or that do not sell alcohol. The resulting number is the number of outlets eligible for inclusion in the survey. Note that outlets in the sample that were not visited for any reason other than the fact that they were ineligible are included in the response rate calculation, even if a buyer never attempted a purchase at them. Next, divide the number of completed surveys by the number of eligible outlets, and multiply the resulting number by 100. This number is the response rate. Higher response rates are always better. A response rate of less than 80 percent in a purchase survey is a possible indication that the data are not trustworthy. Response rates should always be given when describing the results of a purchase survey.

 Relevant Research

A host of published studies address the sale of alcohol to young people and programs designed to reduce sales of alcohol to minors. The following selection is recommended as a supplementary source list for those who wish to know more about programs or resources on the prevention of minors' access to alcohol.

Efforts to reduce teen drinking provide insight into how anti-smoking laws can be effective with minors. (1995). *Bottom Line on Alcohol in Society*, 16(3), 84–86.

This article discusses law enforcement as a tool for reducing underage drinking. Although much of the recent reduction in alcohol use by teenagers is credited to increasing the minimum drinking age from 18 to 21 years, strict enforcement is uncommon. Aggressive law enforcement can reduce violations of drinking age laws. This is particularly the case when compliance checks or “stings” target retailers who sell alcohol to minors.

Grube, J. W. (1997). Preventing sales of alcohol to minors: Results from a community trial. *Addiction*, 92(Suppl 2), S251–S260.

This article reports an evaluation of a community-based approach to preventing underage sales of alcohol. The interventions focused on (a) enforcement of underage sales laws, (b) responsible beverage service training, and (c) media advocacy. The interventions were implemented in three experimental communities located in California and South Carolina. Analyses of purchase survey data showed that sales to minors were significantly reduced in the experimental sites relative to matched comparison sites. Enforcement appeared to be key to these reductions. The findings indicate that such interventions are promising prevention tools for communities seeking to reduce underage access to alcohol.

Lang, E., Stockwell, T., Rydon, P., & Beel, A. (1996). Use of pseudo-patrons to assess compliance with laws regarding under-age drinking. *Australian and New Zealand Journal of Public Health, 20*(3), 296–300.

Pseudo-patrons who appeared to be under 18 years of age were used to test compliance with underage drinking laws. Checking of age or identification was rare either before or after a responsible beverage service training program. Nightclubs were more likely to check the identification of females, whereas hotel bar workers were more likely to check the identification of males. The authors concluded that the most effective strategy to reduce underage access to alcohol would be increased enforcement of existing drinking age laws.

Lewis, R. K., Paine-Andrews, A., Fawcett, S. B., Francisco, V. T., Richter, K. P., Copple, B., & Copple, J. E. (1996). Evaluating the effects of a community coalition's efforts to reduce illegal sales of alcohol and tobacco products to minors. *Journal of Community Health, 21*, 429–436.

This paper reports an evaluation of a community coalition's efforts to reduce sales of alcohol and tobacco to minors. The intervention had two components. First, a press conference was held (a) highlighting the ease with which underage buyers had purchased alcohol and tobacco during a pretest period and (b) announcing community surveillance of alcohol and tobacco merchants. Second, after the press conference, coalition members undertook compliance checks and issued citations to clerks who sold to underage purchasers and commendations to clerks who did not sell. The rate of illegal sales of alcohol decreased from 83 percent to 33 percent among outlets receiving either a citation or commendation. Overall, sales of alcohol to minors decreased from 55 percent to 41 percent. Neither change was statistically significant. Overall sales rates for tobacco products went up slightly from 70 percent at the pretest to 76 percent at the posttest. No differences at the posttest in tobacco sales were observed between outlets receiving or not receiving the intervention.

Little, B., & Bishop, M. (1998). Minor drinkers/major consequences: Enforcement strategies for underage alcoholic beverage law violaters. *FBI Law Enforcement Bulletin*, 67(6), 1–4.

Availability: FBI, 935 Pennsylvania Avenue, NW, Washington, DC 20535-0001, (202) 512-1800. Available online at: <http://www.fbi.gov/leb/leb.htm>

This article reviews law enforcement techniques for enforcing underage drinking laws. Discussion is included on sting operations, “Cops in Shops,” party patrols, and walkthroughs.

McCall, M. (1997). Effects of physical attractiveness on gaining access to alcohol: When social policy meets social decision making. *Addiction*, 92(5), 597–600.

This experimental research examined whether the physical attractiveness of a potential buyer and the presence of others were significant factors influencing the likelihood that bartenders would request age identification. The bartenders in the study rated photographs of individuals who were earlier rated as either high or low in attractiveness. The photographs were presented either alone or as part of a group. Results indicated that greater attractiveness was associated with a decrease in the likelihood that an individual would be asked to provide age identification. Individuals were also rated as older when presented alone rather than as part of a group.

McCall, M. (1997). Physical attractiveness and access to alcohol: What is beautiful does not get carded. *Journal of Applied Social Psychology*, 27(5), 453–462.

College students were presented with a photograph of an opposite-gender person whom they either did or did not expect to meet. They were asked about their perceptions of the target’s age and whether or not legal proof of age would be requested from the targets if they were purchasing alcohol. Results indicate that (1) an attractive target of the opposite gender had a significantly lower probability of being asked to provide proof of age, particularly if a future meeting was likely to occur; (2) perceived trustworthiness and liking of the target were related to the decision to request age identification; and (3) attractiveness in male, but not female, targets was associated with being perceived as older.

McCall, M. (in press). Physical attractiveness, mood and the decision to card for the purchase of alcohol: Evidence for a mood management hypothesis. *Journal of Applied Social Psychology*.

This article reports two experiments investigating the role of physical attractiveness of the buyer and the mood of the decisionmaker in determining whether age identification is requested. In study 1, male college students had their moods manipulated by asking them to focus on positive or negative life events. They then viewed a videotape of a female college student. In the more attractive condition, she wore makeup and clothes suitable for the college campus. In the less attractive condition, she wore no makeup, had not fixed her hair, and appeared disheveled. The participants in the study were then asked the likelihood that they would ask for age identification if they worked in a bar or restaurant and the woman portrayed in the video was a customer attempting to purchase alcohol. The male college students reported that they were more likely to ask for age identification in the less attractive condition. This effect was strongest in the negative mood condition. In study 2, the experiment was replicated with female college students as the participants. Similar results were found. Thus, both the physical attractiveness of a potential customer and the mood of the clerk can affect whether identification is requested.

O'Leary, D., Gorman, D. M., & Speer, P. W. (1994). Sale of alcoholic beverages to minors. *Public Health Reports*, 109(6), 816–818.

This study reports the findings of a purchase survey to assess the extent of alcohol sales to minors in a county in northwest New Jersey. The results indicate that two 19-year-old males were successful in purchasing alcoholic beverages in a majority (58.7 percent) of the 46 establishments visited. On the following day, 23 of the establishments that had sold alcohol were visited again. On this occasion, 78.3 percent sold alcohol to the minor. This study supports the findings from surveys that show that underage drinkers can buy alcohol with ease even without the use of false identification.

Preusser, D. F., Ferguson, S. A., Williams, A. F., & Farmer, C. M. (1997, September). Underage access to alcohol: Sources of alcohol and use of false identification. In *Alcohol, drugs and traffic safety-T '97: Vol. 3. Proceedings of the 14th International Conference on Alcohol, Drugs and Traffic Safety* (pp. 1017–1025). Annecy Cedex, France: Centre d'Etudes et de Recherches en Medecine du Trafic.

Availability: Insurance Institute for Highway Safety, 1005 N. Glebe Road, #118, Arlington, VA 22201, (703) 247-1500.

A survey was conducted among high school juniors and seniors and college students in New York and Pennsylvania. More high school students in New York, compared with Pennsylvania, reported that they drank and obtained alcohol from underage friends. More attempts to purchase alcohol at bars, liquor stores, and other outlets also were reported by New York high school and college students. Overall, 59 percent of the New York college student respondents reported using false, borrowed, altered, or counterfeit identification to purchase alcohol, compared with 37 percent of Pennsylvania college students. Similarly, 28 percent of New York high school respondents used false identification compared with 14 percent of Pennsylvania high school students.

Program: Responsible Alcohol and Tobacco Sales training program (RATS). (1996). *Health Education Quarterly*, 23(4), 416–417.

This report describes the Responsible Alcohol and Tobacco Sales training course that was designed for alcohol and tobacco merchants in Missoula County, MT. The objective of this program is to reduce alcohol and tobacco sales to minors and thereby reduce youth access to tobacco and alcohol. The addresses and phone numbers of contact persons for the program are included.

Toomey, T. L., Kilian, G. R., Gehan, J. P., Perry, C. L., Jones-Webb, R., & Wagenaar, A. C. (1998). Qualitative assessment of training programs for alcohol servers and establishment managers. *Public Health Reports*, 113(2), 162–169.

This study was designed to assess responsible beverage service training programs for employees and managers and to identify States that either mandate training programs or encourage them (e.g., by reducing establishments' legal liability). Each of 22 local and national programs was independently rated by three researchers. In addition, the authors surveyed alcoholic beverage control agencies and legislative research bureaus in all 50 States. The results show that training programs are not standardized and vary widely in content, methods, and quality. Most programs targeted staff and bartenders. Only one program exclusively targeted owners and managers. The authors concluded that national standards must be developed for training programs for servers, managers, and owners.

 Resource Materials

The following resource materials supplement those included in this report to help plan programs to prevent youth access to alcohol. These materials can be obtained, sometimes without cost, from the organizations listed as contacts.

Century Council. (n.d.) *Cops in Shops: Information packet*. Los Angeles, CA: Author.

Availability: The Century Council, 550 South Hope Street, Suite 1950, Los Angeles, CA 90071-2604, (213) 624-9898. “Cops in Shops” information available online at: www.centurycouncil.org/underage/retailer/cops/index.html

Information is provided on the “Cops in Shops” program. “Cops in Shops” uses law enforcement officers posing as employees in retail establishments to apprehend minors who attempt to buy alcohol for themselves and adults who purchase alcohol for minors. The program has been implemented in a number of States.

Davis County Health Department. (1997, July). *Preventing the illegal sale of alcohol and tobacco. A retailer’s guide to training employees*. Davis, UT: Division of Health Promotion.

Availability: Davis County Health Department, Division of Health Promotion, Courthouse Annex, 50 East State Street, P.O. Box 618, Farmington, UT 84025-0618, (801) 451-3398.

The purpose of this guide is to present a brief alcohol and tobacco sales training program that can be used by retail managers and/or health department staff. The guide provides an outline for a half-hour employee training session along with supporting materials

(quizzes, overheads). The outline provides the information needed to successfully implement the program. The training reviews the law regarding sales or provision of alcohol and tobacco in Utah, the consequences of underage sales, and techniques for preventing underage sales.

Fitch II, O., Toomey, T. L., Gehan, J. P., & Wagenaar, A. C. (1998). *Alcohol compliance checks. A procedures manual for enforcing alcohol age-of-sale laws.*

Availability: www.epi.umn.edu/alcohol/ENFORCEMENT_MANUAL/DEFAULT

This manual is designed for public officials, law enforcement officers, and alcohol beverage control agents. It offers a guide for developing and implementing a compliance check system for establishments that sell alcohol. This manual is currently available in two formats on the World Wide Web.

Join Together. *Update 1995: Save lives! Recommendations to reduce underage access to alcohol and action steps for your community.* Boston: Author.

Availability: Join Together, 441 Stuart Street, Sixth Floor, Boston, MA 02116.

This report gives five recommendations to reduce underage drinking: (1) make it illegal for anyone under 21 to drive with any measurable amount of alcohol in his or her body; (2) increase the current Federal excise tax on all alcoholic beverages by \$.05 per drink; (3) make all retail outlets and private individuals liable for negligently providing alcohol to a minor; (4) require television, radio, and cable operators who run advertisements promoting alcoholic beverages to provide equal time for counteradvertisements about the health risks associated with alcohol consumption; and (5) have local government officials and community coalitions systematically assess teen access to alcohol and examine ways to reduce this access. Action steps are given to help communities implement these recommendations.

Mothers Against Drunk Driving. (MADD). (1990). *Youth issues compendium: Impaired driving issues compendium series. Volume II*. Irving, TX: Author.

Availability: MADD National Office, 511 W. John Carpenter Freeway, Suite 700, Irving, TX 75062.

The focus of this volume is on the problem of impaired driving by youth under 21. The goal is to provide a comprehensive approach to the problem, including legislative recommendations and community program proposals falling into five major areas related to impaired driving among youth and constituting aspects of MADD's action plan for the 1990's. These five areas include (1) reducing motivation to drink, (2) limiting the availability of alcohol, (3) limiting opportunities to drink, (4) limiting opportunities to drive, and (5) increasing the use of seatbelts and other occupant protection. Specific policy and action recommendations are given within each broad area. Prepared by MADD under a grant from the National Highway Traffic Safety Administration, this resource is intended for use by citizen activist groups and others for both State legislative initiatives and community programs dealing with youth.

Office of Juvenile Justice and Delinquency Prevention and National Highway Transportation Safety Administration. (in press). *Strategies for success: Combating juvenile DUI*.

Availability: To be distributed by the National Technical Information Service, Technology Administration, U.S. Department of Commerce, Springfield, VA 22161, (703) 605-6000. Order online at: <http://www.ntis.gov>

This four-part series of guides describes a comprehensive underage DUI enforcement approach that involves the justice system, social services, and the private sector. It is primarily intended as an aid for local police or other enforcement officials. Part I, "Building Programs That Work," provides background information on underage DUI, gives a rationale for undertaking an underage DUI program, describes the overall comprehensive strategy, and reviews the steps necessary to implement a program in local communities. Part II, "The Eight Foundation Elements," describes the basic elements of the comprehensive approach. It also provides short

descriptions of innovative program components. Part III, “Support Tools for Programs That Work,” contains materials that can be used to facilitate the implementation of comprehensive programs. Press releases, policies, procedures, and other supporting materials are included. Part IV, “Leadership Roles for Officials,” contains papers regarding the leadership roles of police, prosecutors, and judges for the successful implementation of underage DUI programs.

Peters, J. E. (1997, June). *Hospitality resource panel. Finding the right balance*. Scotts Valley, CA: Responsible Hospitality Institute.

Availability: Responsible Hospitality Institute, 4113 Scotts Valley Drive, Scotts Valley, CA 95066.

The primary goal of this project was to encourage responsible policies and business practices among alcohol licensees using existing community resources, regulations, business groups, and government agencies. A long-term goal was to institutionalize these practices. To these ends, a community Hospitality Resource Panel consisting of representatives from city government, business, health, and the community was formed. Planned interventions included “Cops in Shops,” licensee monitoring, judicial education, youth and family education, media advocacy, and merchant education (e.g., Licensee Education on Alcohol and Drugs training). The most successful aspects of the program focused on underage sales. The program resulted in a 100-percent compliance rate among 40 targeted outlets during its last 3 months, compared with a 70-percent compliance rate previously. This report contains brief program descriptions and a discussion of the challenges faced in implementing community programs.

Prevention Research Center. (1996, June). *Responsible alcohol sales and service, off-premise licensee, manager and clerk training: Clerk training manual and trainer’s guide*. Berkeley, CA: Author.

Availability: Prevention Research Center, 2150 Shattuck Avenue, Suite 900, Berkeley, CA 94704.

This training is designed to (1) raise awareness of the legal and social responsibility of establishments that sell alcohol and (2) enable all staff to effectively identify minors and refuse service to

them. At the end of the training, participants will understand key State laws that govern alcohol sales and service in their establishments and understand the importance of their role in refusing service to minors. Participants will see that (1) there is a positive relationship between responsible alcohol sales and profitability, (2) they have a legal responsibility to prevent sales to minors, (3) responsible alcohol sales training is an effective and responsible business practice, and (4) liability can be reduced. Finally, participants will be able to describe the correct procedure for checking identification as well as to describe how to prevent alcohol sales to minors. The trainer's guide provides guidelines for implementation of the training.

Prevention Research Center. (1996, June). *Responsible alcohol sales and service: Off-premise licensee, manager and clerk training: Licensee/manager manual and trainer's guide*. Berkeley, CA: Author.

Availability: Prevention Research Center, 2150 Shattuck Avenue, Suite 900, Berkeley, CA 94704.

This training is intended for individuals who are responsible for the development of alcohol management policies, such as the licensee, owner, or manager. The focus of this manual is to build on the information and skills presented in the clerk training and to assist owners and managers in creating or revising a draft alcohol management plan. In addition, participants are shown how to assess liability risks for their own establishments. The trainer's guide provides guidelines for implementation of the training.

Prevention Research Center. (1996, June). *Responsible alcohol service, on-premise licensee/manager training: Licensee/manager manual and trainer's guide*. Berkeley, CA: Author.

Availability: Prevention Research Center, 2150 Shattuck Avenue, Suite 900, Berkeley, CA 94704.

This training guide is designed to (1) raise awareness of legal and social responsibility in the hospitality industry, (2) prepare owners and managers to develop responsible beverage service policies, and (3) enable managers and owners to implement those policies. At the end of the training, participants will understand the scope and variety of relevant State laws governing alcohol service and the

impact of effective policies. Participants will see that (1) there is a positive relationship between responsible beverage service and profitability, (2) server training is an effective and responsible business practice, and (3) that liability can be reduced. Finally, at the end of the training, participants will be able to assess risks in exposure to liability and express a commitment to promote responsible community alcohol-service standards. The trainer's guide provides guidelines for implementation of the training.

Prevention Research Center. (1996, June). *Responsible alcohol service, on-premise employee training and trainer's guide*. Berkeley, CA: Author.

Availability: Prevention Research Center, 2150 Shattuck Avenue, Suite 900, Berkeley, CA 94704.

This training manual is designed to (1) discuss effective practices for responsible beverage service, (2) present information about the positive results received from responsible beverage service, and (3) explain how responsible beverage service is good for business. The trainer's guide provides guidelines for implementation of the training.

Trauma Foundation. (1999). *Preventing alcohol-related injury and violence: Resources for action*. San Francisco, CA: Author.

Availability: The Trauma Foundation, San Francisco General Hospital, Building 1, Room 300, San Francisco, CA 94110. Available online at: <http://www.traumafnd.org/alcohol/ariv> (Note, this Web page address is to be changed to <http://www.tf.org/alcohol/ariv> sometime in late 1999).

This manual was produced as part of the Alcohol-Related Injury and Violence project, funded by the Robert Wood Johnson Foundation. It presents an overview of the scientific literature regarding the relationship between alcohol consumption, on the one hand, and injury and violence, on the other. The manual summarizes and synthesizes current scientific knowledge in a way that makes it accessible to nonscientists. The purpose of the manual is to provide community activists, policy advocates, program administrators, and researchers with information that can be used in prevention efforts. The manual provides factsheets and literature reviews that focus on practical implications, including policy recommendations. Additional readings and resources are identified.

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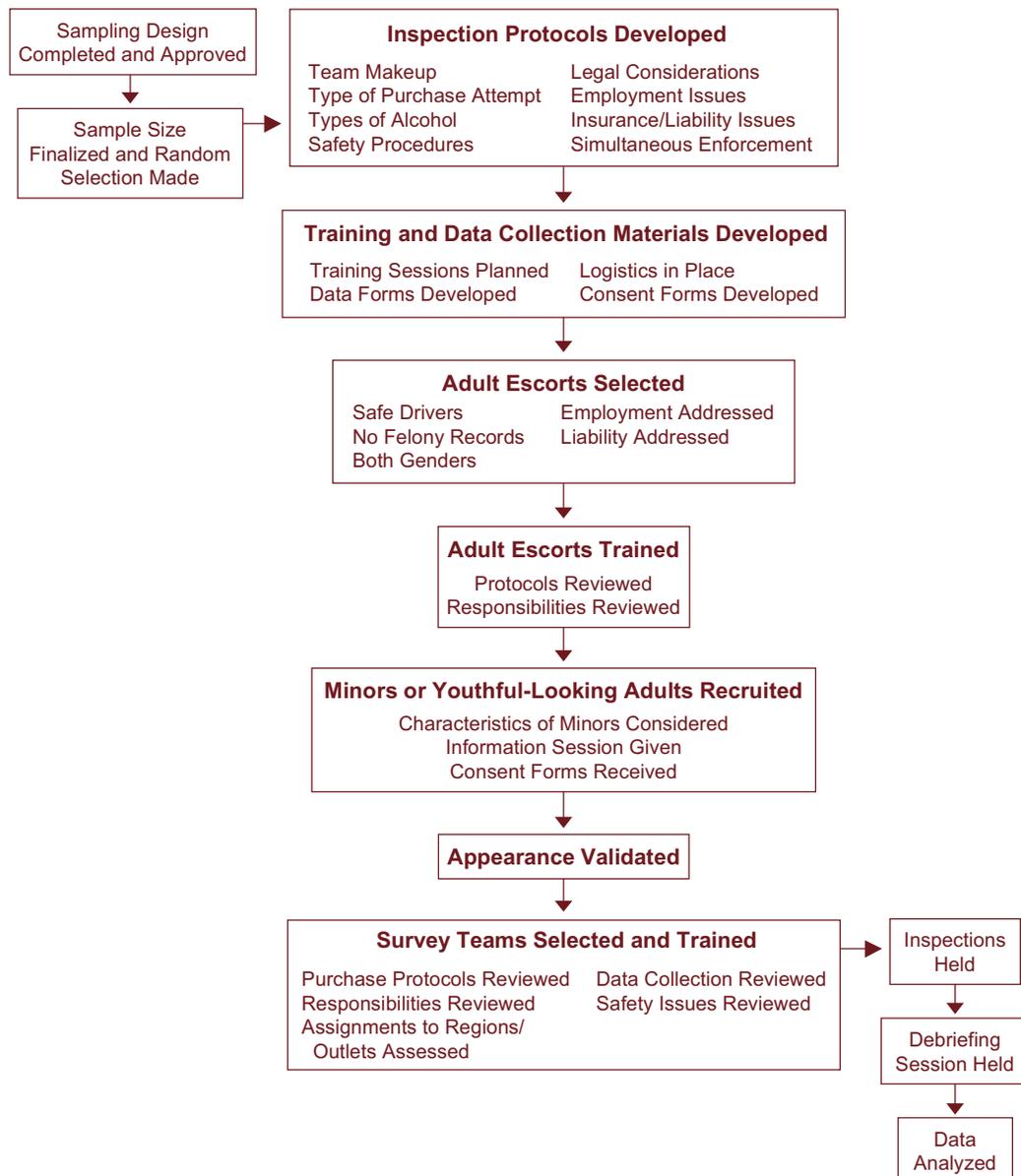
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Appendix 1

Alcohol Outlet Purchase Survey

Task Flowchart





Appendix 2



Samples

- Youth recruitment letter
- Buyer application form
- Consent forms

Sample 1:

Youth Recruitment Letter

Dear ,

Thank you for your interest in our part-time jobs. I've enclosed the form that you need to complete your application.

We are recruiting 21- to 23-year-olds to work on a project to see how often stores sell alcohol without requesting identification. This project is explained in the factsheet that I have enclosed. The survey is expected to get under way on [start date]. Participants will be compensated at a rate of [\$] per store surveyed [or per hour], plus pizza for day-long activities.

In order to be hired for these jobs you must complete the application and sign the permission slip. You should mail the completed forms in the enclosed self-addressed, stamped envelope by [date]. ***Mailing the completed forms at an early date increases your chances of being hired.*** When we receive your completed forms, we will call you to set up an interview.

Please don't hesitate to contact me if you have additional questions. I can be reached at [phone #].

Sincerely yours,

Sample 2:

Buyer Application Form

Please print all responses.

Name: _____

Female Male Date of birth (month/day/year): _____

Phone (include area code): _____

What time of day can you be reached most easily? _____

Street address: _____

City: _____ State: _____ Zip code: _____

Phone number of parent/guardian (include area code): _____

Are you currently in school? Yes No

If so, what school do you attend? _____

What class are you in? _____

Freshman Sophomore Junior Senior

What is your major? _____

List your previous employment and/or community and school activities
(include full- or part-time employment, volunteer positions, clubs, church
groups, sports, school clubs, etc.):

Please check the correct answer.

1. Do you drink alcohol (beer, wine, wine cooler, liquor)?
 Yes No
2. Have you participated in antialcohol programs, projects, or events?
 Yes No

2.a. If your answer to Question 2 is “Yes,” please explain your level of participation and include dates:

3. One of our objectives in recruiting is to make sure that our racial and ethnic makeup matches as closely as possible the racial and ethnic makeup of the communities where the survey will be performed. Below is a list of racial and ethnic categories. Please choose the one that you feel applies to you. If you can’t choose one, you may choose the “don’t know” category.

- | | |
|---|--|
| <input type="checkbox"/> African American/Black | <input type="checkbox"/> Hispanic/Latino |
| <input type="checkbox"/> Asian/Pacific Islander | <input type="checkbox"/> Native American/
American Indian |
| <input type="checkbox"/> White | <input type="checkbox"/> Other |
| <input type="checkbox"/> Don’t know | |

4. Are you conversational or fluent in any of the following languages?

1. Spanish	<input type="checkbox"/> Conversational	<input type="checkbox"/> Fluent
2. Korean	<input type="checkbox"/> Conversational	<input type="checkbox"/> Fluent
3. Chinese	<input type="checkbox"/> Conversational	<input type="checkbox"/> Fluent
4. Vietnamese	<input type="checkbox"/> Conversational	<input type="checkbox"/> Fluent
5. Other: _____	<input type="checkbox"/> Conversational	<input type="checkbox"/> Fluent

I hereby certify that to the best of my knowledge the above information is true.

Signature

Date

Sample 3:

Consent Forms

1. Release of Liability Form [Note: This must be adapted to fit State laws.]

I hereby release [name of agency] from all claims and liability arising out of my participation in the alcohol purchase survey conducted from [start date] to [end date]. With this understanding, I further agree to indemnify, defend, and save harmless the [name of agency] and their respective officers, agents, and employees from and against any and all claims, losses, injuries, suits, or judgments arising from, or in connection with, my participation in the alcohol purchase survey. I agree to this indemnification and save harmless for myself, my successors, assigns, heirs, executors, administrators, and any other persons or entities who/which may have a claim based on my personal injuries and/or property damage.

Signature

Date

2. Emergency Medical Consent Form

I give my consent to be treated by a physician or surgeon *at my expense* in the case of sudden illness or injury while participating in alcohol purchase survey activities. **[Please note: If a personal physician is listed below, every effort will be made to contact that physician. However, the location of the activity or the nature of the illness or injury may require the use of emergency medical personnel.]**

Signature

Date

Please provide the information below if applicable. Please print.

Name of family physician or medical group and telephone number

Medical insurance coverage and/or medical group number



Appendix 3



Samples

- Data collection form
- Data collection form instructions

Sample 1:

Data Collection Form

I. Background Information:

1. Outlet ID: _____
2. Name of outlet: _____
3. Address: _____
 City _____ State _____ ZIP Code _____
4. Purchase survey date: _____ / _____ / _____ (mm/dd/yy)
5. Time of visit: _____ : _____ a.m. p.m.
6. Status of purchase survey:
 - 1 outlet located, purchase attempted
 - 2 outlet located, purchase **not** attempted for safety reasons
 - 3 outlet located, purchase **not** attempted because minor knew someone in the outlet
 - 4 outlet located, closed at time of survey
 - 5 outlet located, out of business
 - 6 unable to locate outlet
7. Adult escort ID number: _____

II. Purchase Attempt:

8. Type of outlet:

1 <input type="checkbox"/> gas station only	6 <input type="checkbox"/> drugstore/pharmacy
2 <input type="checkbox"/> convenience (with gas)	7 <input type="checkbox"/> liquor store
3 <input type="checkbox"/> convenience (without gas)	8 <input type="checkbox"/> discount liquor store
4 <input type="checkbox"/> market/small grocery store (deli)	9 <input type="checkbox"/> other discount store
5 <input type="checkbox"/> supermarket	10 <input type="checkbox"/> other
9. Minor ID number: _____

10. Minor's characteristics:

a. Age: _____

b. Gender:

1 M2 F

c. Race/ethnicity:

1 African American2 Asian3 Latino/Hispanic4 Native American5 White/Caucasian6 Other:

11. Type of alcohol attempted to purchase:

1 six-pack of beer2 20-ounce bottle of beer3 40-ounce bottle of beer4 six-pack of wine coolers5 other:

12. Brand of alcohol requested:

13. The alcohol purchase attempt was (check only one):

1 requested from a clerk (behind counter)2 self-service (alcohol accessible to buyer)

14. Clerk characteristics:

a. Approximate age of clerk:

b. Gender of clerk:

1 M2 F

15. Salesclerk asked for age:

1 Yes2 No

16. Salesclerk asked for age identification:

1 Yes2 No

17. Attempted sale outcome:

1 Yes, a sale was made2 No, a sale was *not* made

III. Outlet Observation:

18. Was a “no sale” warning sign posted?

1 Yes

2 No

19. Does it comply with State law?

1 Yes

2 No

20. Location of warning sign(s):

1 checkout counter

2 doors/windows

3 other: _____

21. Location of alcohol in the outlet:

a. behind the counter

1 Yes 2 No

b. open shelves or racks (self-service)

1 Yes 2 No

c. locked cases or enclosed area (clerk-only access)

1 Yes 2 No

22. Number of clerks in store: _____

IV. Comments and Observations:

V. Postsurvey Activities (if combined with enforcement/ education):

Sample 2:

Data Collection Form Instructions

Do not take the data collection form into the survey site.

1. Answer all questions on the data collection form. Be accurate. Complete the form immediately after the purchase attempt, when the youth and adult return to the car.
2. If you have any questions regarding the completion of this form when you are in the field, please notify the “Contact of the Day.”
3. After completing the form, place it in the envelope provided and give it to your Regional Survey Coordinator at the end of the day.

The following information explains how to complete the data collection form. If you are not sure how to respond to any question, make a note on the form and continue with the rest of the questions.

I. Background Information

Outlet ID: Fill in the preassigned outlet ID, which represents the outlet being inspected.

Name and address of outlet: Print the name of the outlet and its street address.

City/County: Complete the outlet’s location.

Survey date: Enter the month, day, and year the retail site was inspected.

Time of visit: Enter the time the outlet was inspected, including “a.m.” or “p.m.”

Status of purchase survey:

- 1 = Purchase attempt completed
- 2 = Purchase not attempted because of unsafe conditions (see comments)
- 3 = Purchase not attempted because minor knew someone in the outlet (see comments)

- 4 = Purchase not attempted because outlet was closed at the time of the survey
- 5 = Purchase not attempted because outlet was no longer in business
- 6 = Purchase not attempted because the outlet could not be located at address indicated (see comments)

Adult escort ID number: Enter the preassigned, unique two-digit ID number for the adult responsible for completing the data collection form.

II. Purchase Attempt

Type of outlet: Definitions for each type of outlet follow. Choose only one type of outlet:

- 1 = **Gas station only.** This is a business whose primary function is the sale of gasoline and related products. Snacks (e.g., candy or chips) or beverages may sometimes be sold from vending machines or from a few racks and shelves.
- 2 = **Convenience (with gas).** This is a business that sells gasoline and related products and has a designated food, beverage, and general merchandise area. Examples include AM/PM minimarts and 7-Eleven stores with gasoline pumps.
- 3 = **Convenience (without gas).** This is a business that sells food, beverages, and general merchandise. Examples include AM/PM minimarts and 7-Eleven stores.
- 4 = **Market/small grocery store.** This is a small store with a limited number of food items and merchandise, generally a local independent grocery store. Examples include Joe's Market and Chi Chi's Groceries.
- 5 = **Supermarket.** This is a large chain or independent grocery store that offers a wide variety of food, merchandise, and other services. Examples include Raley's Bel Air, Vons, Safeway, Albertson's, Food-4-Less, Lucky, and large, independently owned grocery stores (such as the Bellflower Market).

- 6 = Drugstore or pharmacy.** This is a business that has as part of its name the words “drugstore” or “pharmacy” and that dispenses medication through prescriptions. Examples include Longs Drug Store, Thrifty’s Drug Store, Pay Less Drug Store, Walgreens Drug, and Rexall Pharmacy and independents, such as Phil’s Pharmacy.
- 7 = Liquor store.** This is a business that has liquor in the store’s name or whose primary function appears to be the sale of alcoholic beverages.
- 8 = Discount liquor store.** This is a business that sells alcohol in bulk at generally reduced prices. Sometimes they will sell tobacco products, snack foods, and party supplies. Examples include Liquor Barn and Beverages or More.
- 9 = Other discount store.** This is a business that sells merchandise at a discount or in bulk. It may sell clothing, shoes, groceries, housewares, cosmetics, electronic equipment, toys, tools, alcohol, and tobacco products. Examples include Target, KMart, WalMart, or Price Costco.
- 10 = Other, specify.** If the retail outlet being surveyed does not fit into one of the above categories, please explain the characteristics and type of items sold. **Note:** *This response tends to be overused. Examine the other choices carefully to be sure the outlet is truly an “other.”*

Minor’s ID number: Enter the preassigned, unique two-digit ID number designated for the youth participant.

Age of minor: Indicate the age of the minor attempting to purchase alcohol.

Gender of minor: Indicate the gender of the minor attempting to purchase alcohol.

Race or ethnicity of minor: Indicate the race or ethnicity of the minor attempting to purchase alcohol.

Type of alcohol requested: Indicate the type of alcohol requested.

Brand of product requested: Indicate the actual brand of product requested, such as Budweiser, Coors, or Miller.

Method of purchase attempt: Indicate the method of the purchase attempt using the following definitions:

- 1 = **Requested from a clerk.** Mark this method if the youth requested the alcohol from the clerk.
- 2 = **Self-service.** Mark this method if the youth selected the alcohol from a shelf, display, or bin.

If purchase attempt involved a clerk:

Clerk characteristics: Indicate whether the clerk was male or female, and give approximate age.

Questions about age and ID: Answer the questions as they relate to the interaction between the youth and the clerk, including any comments made by the clerk during the transaction.

Attempted sale outcome: Indicate the outcome of the purchase attempt by marking either “Yes” or “No.” Mark “Yes” for an over-the-counter purchase if the clerk rings up the sale.

III. Outlet Observation

Signs: Mark if a “no sale” warning sign was present or was not present.

Location of alcohol: Look for and record all the locations alcohol is available in the outlet. The following descriptions of locations are to be used:

- 1 = **Behind the counter.** The alcohol is located behind the counter, accessible only to the clerk, where the clerk need not leave the counter area to retrieve the product.
- 2 = **Open shelves or racks.** This refers to any alcohol that is located in self-service display racks or shelves.
- 3 = **Locked cases or enclosed area.** The alcohol is on shelves or racks locked up or in areas only accessible to salesclerk.

IV. Comments

Make any comments regarding the purchase attempt that are relevant to your data collection efforts. If a purchase attempt was not made, describe the circumstances.

V. Post-Survey Activities

Make any comments regarding enforcement actions taken or educational materials distributed to retailer immediately following the purchase attempt. Describe any further followup planned.