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Conducting Compliance Checks

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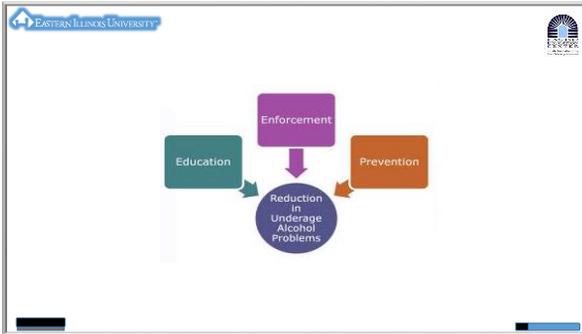
Conducting Compliance Checks

This course provides a general overview and practical guidance for conducting compliance check operations within your community. The information and suggestions provided in this program should not be construed as providing legal advice.

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Conducting Compliance Checks

- Introduction to Compliance Checks
- Collaborating with the Community
- Selecting Underage Volunteers
- Training the Volunteers
- Documentation
- Protocols
- Collecting Data
- Following Through





What happens when underage students drink alcohol?

- Vehicle crashes
- Alcohol poisoning
- Disorderly conduct
- Suicide
- Sexual assault
- Fights
- Injuries
- Fighting with the police

Compliance Checks are an important law enforcement tool used to determine if a licensed retail outlet is following state laws and/or local ordinances.

What do Compliance Checks Measure?

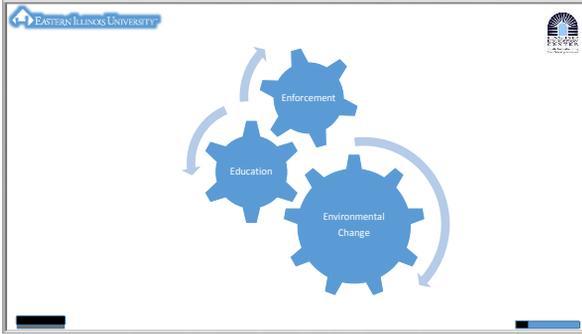
- Whether the clerk is asking for identification prior to the sale.

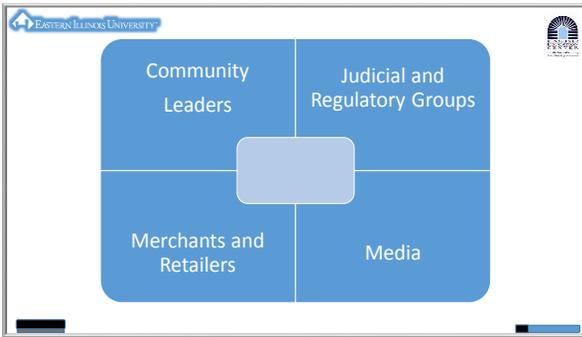
- Whether the clerk is accepting identification of a type acceptable under the law or ordinance.

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Judicial, Regulatory Involvement

- Is there support from the courts and regulatory agencies to promote the enforcement?
- Are members of the criminal justice community willing to engage as true partners?

Merchants
Criminal Justice
Media
Community leaders

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Merchant/Retailer Involvement

- Do they understand the true costs and impacts associated with underage drinking?
- Have the retailers be provided adequate training and resources?

Merchants
Criminal Justice
Media
Community leaders

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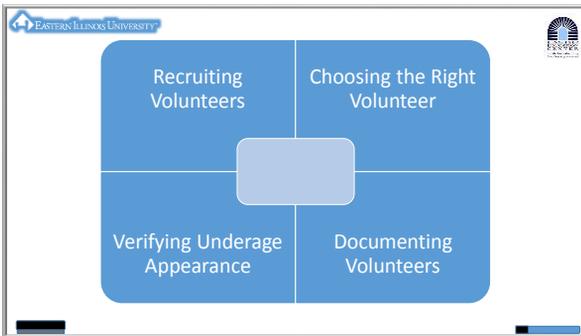
Merchant/Retailer Involvement

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Recruiting Sources

- Community and faith groups
- Youth groups
- Family members and friends of officers
- Criminal justice programs in colleges and high schools
- Police department employees under 21

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Underage Volunteer Criteria

- Underage (check any local regulations)
- Match the community
- Both male and female volunteers
- Parental / Legal Guardian Consent



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Volunteer Appearance

- Shouldn't dress in ways to make them appear older
- Limit the use of cosmetics and accessories
- Use volunteers in areas where they are not known



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Age Testing

It is important that volunteers **LOOK** underage

*** The most common defense used by retailers is that the underage buyer looked to be over 21.



Age Assessment Panel

Benefits
The group will observe volunteers and provide an opinion that they believe the volunteers appear to be either over or under the age of 21

This proactive approach engages the community leaders and continues to demonstrate that your compliance check process is both reasonable and fair.

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How → What

Funding provided by the Illinois Department of Human Services Bureau of Positive Youth Development.

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Act

- How they are to act

Say

- What they are to say

Do

- What they are to purchase



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Be sure to discuss what the volunteers should and should not wear during the compliance check.

i.e. no hats, sunglasses, or revealing clothing.



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Underage Volunteer

- Uses an ID
- Does NOT use an ID









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The illustration shows a brown clipboard with a silver clip at the top. On the clipboard is a white sheet of paper with a checklist. The first two items have red checkmarks, and the third has a red X. To the right, a blue pen is shown writing on a blue document with a white circle on it.

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Minor/CI Information Sheet

- Name
- Address
- Date of Birth
- Physical Descriptors
- Emergency Contact Information
- Photograph
- Consent form
- Training date
- Case Officer/Agent



The illustration shows a person with blonde hair, wearing a green shirt and a backpack, carrying a white folder or clipboard.

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Selecting locations

Preparing volunteers

Keeping compliance checks safe

Follow up activities

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A red location pin icon is centered over a stylized map showing a road and green areas.

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Photograph each underage volunteer prior to the start of EACH set of compliance checks.



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Record the serial numbers from the buy money.



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Park in a way that doesn't tip off the clerk.

Plan how to issue citations.

Determine the frequency of investigations.



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- Have a plan in place to deal with a vendor that demands to see the volunteer or if the clerk seizes the underage buyers identification.
- If a purchase is made, the underage buyer should complete a written statement detailing the purchase.

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Investigative Record

- Store name
- Address
- Type of outlet
- Date and time
- Results of the attempt to purchase

Database Interview Sheet

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Firm and Appropriate Enforcement

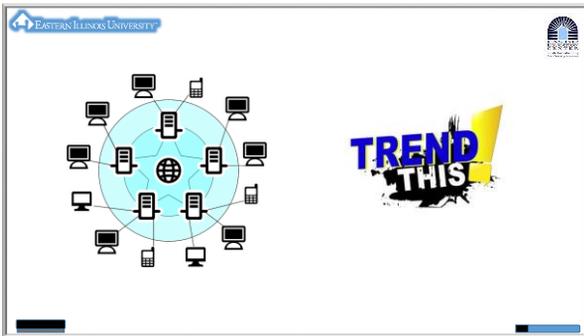
Educating Retailers and the Public

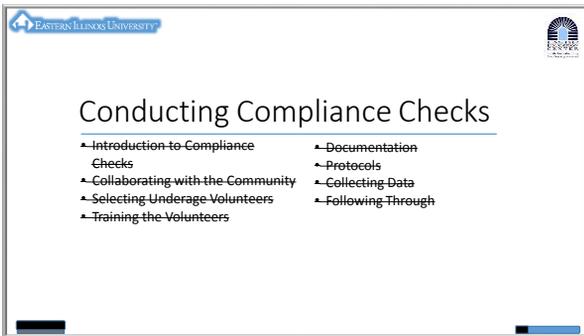
Involving Youth in Educational Activities

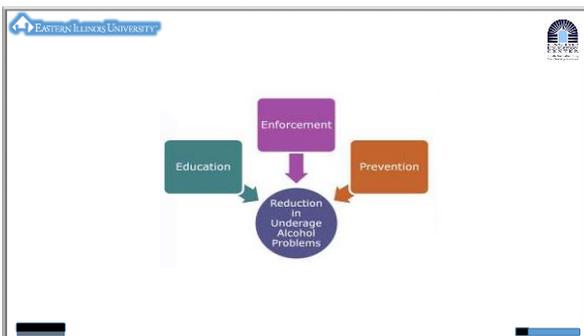
Watching Emerging Trends

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COMMUNITY







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