Conducting Compliance Checks

David Closson, M. S.
Assistant Director, Illinois Higher Education Center
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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.

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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Do key members of the community understand the issues surrounding underage drinking?

Is there political support to move forward with steps to make environmental changes around access to alcohol and societal norms?
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?

Merchant/Retailer Involvement

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

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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
Underage Volunteer Criteria

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

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

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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Funding provided by the Illinois Department of Human Services Bureau of Positive Youth Development.
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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Minor/CI Information Sheet
- Name
- Address
- Date of Birth
- Physical Descriptors
- Emergency Contact Information
- Photograph
- Consent form
- Training date
- Case Officer/Agent

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Selecting locations
Preparing volunteers
Keeping compliance checks safe
Follow up activities
Photograph each underage volunteer prior to the start of EACH set of compliance checks.

Record the serial numbers from the buy money.

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

Plan how to issue citations.

Determine the frequency of investigations.
• Have a plan in place to deal with a vendor that demands to see the volunteer or if the clerk seizes the underage buyer's 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
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Firm and Appropriate Enforcement
Educating Retailers and the Public
Involving Youth in Educational Activities
Watching Emerging Trends

COMMUNITY
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Assistant Director, Illinois Higher Education Center
djclosson@eiu.edu
www.eiu.edu/hec