

ANNUAL SYNAR REPORT

42 U.S.C. 300x-26

OMB № 0930-0222

FFY 2016

State: Louisiana

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Public Burden Statement: An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number. The OMB control number for this project is 0930-0222. Public reporting burden for this collection of information is estimated to average 18 hours per respondent, per year, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to SAMHSA Reports Clearance Officer, 1 Choke Cherry Road, Room 2-1057, Rockville, Maryland, 20857.

INTRODUCTION

The Annual Synar Report (ASR) format provides the means for states to comply with the reporting provisions of the Public Health Service Act (42 U.S.C. 300x-26) and the Tobacco Regulation for the Substance Abuse Prevention and Treatment Block Grant (SABG) (45 C.F.R. 96.130 (e)).

How the Synar report helps the Center for Substance Abuse Prevention

In accordance with the tobacco regulations, states are required to provide detailed information on progress made in enforcing youth tobacco access laws (FFY 2015 Compliance Progress) and future plans to ensure compliance with the Synar requirements to reduce youth tobacco access rates (FFY 2016 Intended Use Plan). These data are required by 42 U.S.C. 300x-26 and will be used by the Secretary to evaluate state compliance with the statute. Part of the mission of the Center for Substance Abuse Prevention (CSAP) is to assist states¹ by supporting Synar activities and providing technical assistance helpful in determining the type of enforcement measures and control strategies that are most effective. This information is helpful to CSAP in improving technical assistance resources and expertise on enforcement efforts and tobacco control program support activities, including state Synar program support services, through an enhanced technical assistance program involving conferences and workshops, development of training materials and guidance documents, and onsite technical assistance consultation.

How the Synar report can help states

The information gathered for the Synar report can help states describe and analyze substate needs for program enhancements. These data can also be used to report to the state legislature and other state and local organizations on progress made to date in enforcing youth tobacco access laws when aggregated statistical data from state Synar reports can demonstrate to the Secretary the national progress in reducing youth tobacco access problems. This information will also provide Congress with a better understanding of state progress in implementing Synar, including state difficulties and successes in enforcing retailer compliance with youth tobacco access laws.

¹The term “state” is used to refer to all the states and territories required to comply with Synar as part of the Substance Abuse Prevention and Treatment Block Grant Program requirements (42 U.S.C. 300x-64 and 45 C.F.R. 96.121).

Getting assistance in completing the Synar report

If you have questions about programmatic issues, you may call CSAP's Division of State Programs at (240) 276-2550 and ask for your respective State Project Officer, or contact your State Project Officer directly by telephone or email. If you have questions about fiscal or grants management issues, you may call the Grants Management Officer, Office of Financial Resources, Division of Grants Management, at (240) 276-1422.

Where and when to submit the Synar report

The ASR must be received by SAMHSA no later than December 31, 2015 and must be submitted in the format specified by these instructions. Use of the approved format will avoid delays in the review and approval process. The chief executive officer (or an authorized designee) of the applicant organization must sign page one of the ASR certifying that the state has complied with all reporting requirements.

The state must upload one copy of the ASR using the online WebBGAS (Block Grant Application System). In addition, the following items must be uploaded to WebBGAS:

- FFY 2016 Synar Survey Results: States that use the Synar Survey Estimation System (SSES) must upload one copy of SSES Tables 1–5 (in Excel) to WebBGAS. States that do not use SSES must upload one copy of ASR Forms 1, 4, and 5, and Forms 2 and 3, if applicable, (in Excel) to WebBGAS.
- Synar Inspection Form: States must upload one blank copy of the inspection form used to record the result of each Synar inspection.
- Synar Inspection Protocol: States must upload a copy of the protocol used to train inspection teams on conducting and reporting the results of the Synar inspections.
- A scanned copy of the signed Funding Agreements/Certifications

Each state SSA Director has been emailed a login ID and password to log onto the Synar section of the WebBGAS site.

Additionally, the state must submit one signed original of the report (including the signed Funding Agreements/Certifications), as well as one additional copy of the signed Funding Agreements/Certifications, to the Grants Management Officer at the address below:

Grants Management Officer
Division of Grants Management
Office of Financial Resources
Substance Abuse and Mental Health Services Administration

Regular Mail:


1 Choke Cherry Road, Rm.7-1091
Rockville, Maryland 20857

Overnight Mail:

1 Choke Cherry Road, Rm.7-1091
Rockville, Maryland 20850

FFY 2016: FUNDING AGREEMENTS/CERTIFICATIONS

The following form must be signed by the Chief Executive Officer or an authorized designee and submitted with this application. Documentation authorizing a designee must be attached to the application.

PUBLIC HEALTH SERVICES ACT AND SYNAR AMENDMENT
42 U.S.C. 300x-26 requires each state to submit an annual report of its progress in meeting the requirements of the Synar Amendment and its implementing regulation (45 C.F.R. 96.130) to the Secretary of the Department of Health and Human Services. By signing below, the chief executive officer (or an authorized designee) of the applicant organization certifies that the state has complied with these reporting requirements and the certifications as set forth below.
SYNAR SURVEY SAMPLING METHODOLOGY
The state certifies that the Synar survey sampling methodology on file with the Center for Substance Abuse Prevention and submitted with the Annual Synar Report for FFY 2016 is up-to-date and approved by the Center for Substance Abuse Prevention.
SYNAR SURVEY INSPECTION PROTOCOL
The state certifies that the Synar Survey Inspection Protocol on file with the Center for Substance Abuse Prevention and submitted with the Annual Synar Report for FFY 2016 is up-to-date and approved by the Center for Substance Abuse Prevention.
State: Louisiana
Name of Chief Executive Officer or Designee: Rochelle Head-Dunham, MD
Signature of CEO or Designee: 
Title: Assistant Secretary/Medical Director Date Signed: 12/21/15
If signed by a designee, a copy of the designation must be attached.

SECTION I: FFY 2015 (Compliance Progress)

YOUTH ACCESS LAWS, ACTIVITIES, AND ENFORCEMENT

42 U.S.C. 300x-26 requires the states to report information regarding the sale/distribution of tobacco products to individuals under age 18.

1. Please indicate any changes or additions to the state tobacco statute(s) relating to youth access since the last reporting year. If any changes were made to the state law(s) since the last reporting year, please attach a photocopy of the law to the hard copy of the ASR and also upload a copy of the state law to WebBGAS. (see 42 U.S.C. 300x-26).

a. Has there been a change in the minimum sale age for tobacco products?

Yes No

If Yes, current minimum age: 19 20 21

b. Have there been any changes in state law that impact the state’s protocol for conducting Synar inspections?

Yes No

If Yes, indicate change. (Check all that apply.)

- Changed to require that law enforcement conduct inspections of tobacco outlets
- Changed to make it illegal for youth to possess, purchase or receive tobacco
- Changed to require ID to purchase tobacco
- Other change(s) *(Please describe.)* _____

c. Have there been any changes in state law that impact the following?

- Licensing of tobacco vendors Yes No
- Penalties for sales to minors Yes No
- Vending machines Yes No

2. Describe how the Annual Synar Report (see 45 C.F.R. 96.130(e)) and the state Plan (see 42 U.S.C. 300x-51) were made public within the state prior to submission of the ASR. (Check all that apply.)

- Placed on file for public review
- Posted on a state agency Web site *(Please provide exact Web address and the date when the FFY 2016 ASR was posted to this Web address.)*
<http://new.dhh.louisiana.gov/index.cfm/newsroom/detail/1390> on 12/23/2015.
- Notice published in a newspaper or newsletter
- Public hearing
- Announced in a news release, a press conference, or discussed in a media interview
- Distributed for review as part of the SABG application process
- Distributed through the public library system

- Published in an annual register
 Other (Please describe.) _____

3. Identify the following agency or agencies (see 42 U.S.C. 300x-26 and 45 C.F.R. 96.130).

- a. The state agency (ies) designated by the Governor for oversight of the Synar requirements:**

LA Department of Health and Hospitals, Office of Behavioral Health (OBH)

Has this changed since last year's Annual Synar Report?

- Yes No

- b. The state agency(ies) responsible for conducting random, unannounced Synar inspections:**

LA Department of Revenue, Office of Alcohol and Tobacco Control (OATC)

Has this changed since last year's Annual Synar Report?

- Yes No

- c. The state agency(ies) responsible for enforcing youth tobacco access law(s):**

LA Department of Revenue, Office of Alcohol and Tobacco Control (OATC)

Has this changed since last year's Annual Synar Report?

- Yes No

4. Identify the following agencies and describe their relationship with the agency responsible for the oversight of the Synar requirements.

- a. Identify the state agency responsible for tobacco prevention activities (the agency that receives the Centers for Disease Control and Prevention's National Tobacco Control Program funding).**

LA Department of Health and Hospitals, Bureau of Primary Care and Rural Health

- b. Has the responsible agency changed since last year's Annual Synar Report?**

- Yes No

- c. Describe the coordination and collaboration that occur between the agency responsible for tobacco prevention and the agency responsible for oversight of the Synar requirements. (Check all that apply.) The two agencies**

Are the same

Have a formal written memorandum of agreement

Have an informal partnership

Conduct joint planning activities

Combine resources

Have other collaborative arrangement(s) (Please describe.) _____

d. Identify the state agency responsible for enforcing the youth access and advertising restrictions in the Family Smoking Prevention and Tobacco Control Act (the agency that is under contract to the Food and Drug Administration's Center for Tobacco Products (FDA/CTP)).

LA Department of Revenue, Office of Alcohol and Tobacco Control (OATC)

e. Has the responsible agency changed since last year's Annual Synar Report?

Yes No

f. Describe the coordination and collaboration that occur between the agency contracted with the FDA to enforce federal youth tobacco access laws and the agency responsible for oversight of the Synar requirements. (Check all that apply.) The two agencies:

Are the same

Have a formal written memorandum of agreement

Have an informal partnership

Conduct joint planning activities

Combine resources

Have other collaborative arrangement(s) (Please describe.) _____

g. Does the state use data from the FDA enforcement inspections for Synar survey reporting?

Yes No

5. Please answer the following questions regarding the state's activities to enforce the state's youth access to tobacco law(s) in FFY 2015 (see 42 U.S.C. 300x-26 and 45 C.F.R. 96.130(e)).

a. Which one of the following describes the enforcement of state youth access to tobacco laws carried out in your state? (Check one category only.)

Enforcement is conducted exclusively by local law enforcement agencies.

Enforcement is conducted exclusively by state agency (ies).

Enforcement is conducted by both local *and* state agencies.

- b. The following items concern penalties imposed for all violations of state youth access to tobacco laws by LOCAL AND/OR STATE LAW ENFORCEMENT AGENCIES (this does not include enforcement of federal youth tobacco access laws). Please fill in the number requested. If state law does not allow for an item, please mark “NA” (not applicable). If a response for an item is unknown, please mark “UNK.” The chart must be filled in completely.

PENALTY	OWNERS	CLERKS	TOTAL
Number of <u>citations issued</u>	162*	162*	324*
Number of <u>finest assessed</u>	43	90	133
Number of <u>permits/licenses suspended</u>	0		0
Number of <u>permits/licenses revoked</u>	0		0
Other (<i>Please describe.</i>)	0	0	0

*** Notes:**

OATC provided OBH with the disposition of violations that occurred during the FFY 2015 Annual Synar Report. 162 outlets were found to be in violation during the FFY 2015 ASR. A citation was issued to both the Store Clerk and Store Owner.

- All clerks who sell or serve alcohol or tobacco products must complete the Responsible Vendor Training Program within 45 days of hire. Those Clerks who had been trained and certified as a Responsible Vendor (receiving a Responsible Vendor Card). OATC handles all administrative citations issued to both “certified” Responsible Vendor (RV) clerks and store owners. Below is a summary of fines assessed and other dispositions as a result of the FFY 2015 Annual Synar Report:
- 90 Certified RV Clerks were assessed the following fines:
 - 6 at \$200.00
 - 6 at \$250.00
 - 3 at \$600.00
 - 67 at \$500.00
 - 1 at \$575.00
 - 2 at \$750.00
 - 4 at \$1,000.00
 - 1 at \$1,575.00
- 30 Certified RV clerks had their RV Server Permit Suspended
- 1 Certified RV clerk had his/her RV Server Permit Revoked
- 52 clerks who were not Responsible Vendor (RV) “certified” were issued a criminal summons. Criminal citations are turned over to the District Attorney within the parish where the citation was issued and are adjudicated within the court system of the parish.
- Store Owners were fined/warned as follows:
 - 10 at \$250.00
 - 1 at \$300.00
 - 1 at \$375.00
 - 1 at \$500.00
 - 7 at \$750.00
 - 1 at \$825.00
 - 1 at \$950.00
 - 4 at \$1,000.00
 - 1 at \$1,250.00
 - 1 at \$1,500.00

- 1 at \$2,500.00
- 1 at \$5,000.00
- 119 received a Responsible Vendor Warning

c. Which one of the following best describes the level of enforcement of state youth access to tobacco laws carried out in your state? (Check one category only.)

- Enforcement is conducted only at those outlets randomly selected for the Synar survey.
- Enforcement is conducted only at a subset of outlets not randomly selected for the Synar survey.
- Enforcement is conducted at a combination of outlets randomly selected for the Synar survey and outlets not randomly selected for the Synar survey.

d. Did every tobacco outlet in the state receive at least one compliance check that included enforcement of the state youth tobacco access law(s) in the last year?

- Yes No

e. What additional activities are conducted in your state to support enforcement and compliance with state youth tobacco access law(s)? (Check all that apply.)

- Merchant education and/or training
- Incentives for merchants who are in compliance (e.g., nonenforcement compliance checks in which compliant retailers are given positive reinforcement and noncompliant retailers are warned about youth access laws)
- Community education regarding youth access laws
- Media use to publicize compliance inspection results
- Community mobilization to increase support for retailer compliance with youth access laws
- Other activities (Please list.) _____

Briefly describe all checked activities:

MERCHANT EDUCATION AND/OR TRAINING

A Synar Contractor was funded in each of the 10 OBH administrative regions in the state. An important role of the Synar Contractor has been to train and supervise youth volunteers to conduct unconsummated compliance checks. 4,133 unconsummated compliance checks were conducted July 1, 2014 - June 30, 2015:

- 402 in Region 1
- 407 in Region 2
- 614 in Region 3
- 406 in Region 4
- 142 in Region 5
- 399 in Region 6
- 406 in Region 7

410 in Region 8

547 in Region 9

400 in Region 10

Of the unconsummated compliance checks completed, 94.65% of retailers were unwilling to sell and 5% were willing to sell.

During unconsummated compliance checks these merchants were provided Thank You and No Thank You cards, educational cards, and certificates as appropriate. Each merchant, where an unconsummated compliance check was conducted, was also provided an educational packet including written materials, window decals, and stickers regarding the current laws and goals of the Synar Amendment.

During FFY 2014, the state organized a Synar Workgroup to look at revising merchant education materials. This workgroup was convened following a discussion with OATC Headquarters staff, supervisors, and agents who identified that sales are occurring because clerks are glancing at youth IDs and then selling, rather than carefully looking at IDs to see the red underage notation on IDs. In Louisiana, minor licenses are vertical with a red "Under 21 Until 00-00-0000" and "Under 18 Until 00-00-0000" to the right of the photo, at the bottom left with a red frame. Merchant education materials are being updated to include emphasis on reading IDs correctly.

OATC Headquarters staff, supervisors, and agents also identified that sales are occurring because clerks are using store lottery machines and other electronic age verification devices for age identification, and then overriding the device signal that the buyer is underage. Merchant education materials are being updated with a section on age verification using Point of Sale devices.

This Synar Workgroup continued to meet in FFY 2015 and revised and developed the following merchant education materials: Prevention of Youth Access Flyer, Report a Violation Handout, Novelty Tobacco Product Flyer, and License Orientation Verification Flyer.

INCENTIVES FOR MERCHANTS WHO ARE IN COMPLIANCE (e.g., Reward and Reminder)

During unconsummated compliance checks conducted by Synar contractors, merchants were provided Thank You and No Thank You cards, educational cards, and certificates as rewards or reminders. During routine, consummated compliance checks conducted by agents of the Office of Alcohol and Tobacco Control, merchants who are found in violation were issued administrative and criminal citations by mail. Those that were found to be compliant with the law received a letter of appreciation by mail signed by the Commissioner of the Office of Alcohol and Tobacco Control.

COMMUNITY EDUCATION REGARDING YOUTH ACCESS LAWS

The Office of Behavioral Health is the single state authority for the treatment and prevention of substance abuse (NASADAD) as well as being the agency responsible for Synar implementation. OBH used SAPT Block Grant funds to contract with primary prevention providers. These contractors provided services in the programmatic areas of Information Dissemination, Education, Alternative

Activities, Problem Identification and Referral, Community-based Process and Environmental Strategies. All contractors were required to address the prevention of alcohol, tobacco, and other drugs (ATOD).

MEDIA USE TO PUBLICIZE COMPLIANCE INSPECTION RESULTS

The Office of Behavioral Health posts the results of the Annual Synar Reports on its website. The FFY 2016 Report may be viewed at:

<http://new.dhh.louisiana.gov/index.cfm/newsroom/detail/1390>

COMMUNITY MOBILIZATION TO INCREASE SUPPORT FOR RETAILER COMPLIANCE WITH YOUTH ACCESS LAWS

Regional Synar coalitions were established in each of the 10 regions in the state during FFY 1997. During SFY 2015, all ten (10) OBH Regional Synar Contractors actively participated in Regional Tobacco Free Living (TFL) Coalition Meetings, serving as an expert in limiting youth access to tobacco products.

f. Are citations or warnings issued to retailers or clerks who sell tobacco to minors for inspections that are part of the Synar survey?

Yes No

If “Yes” to 5f, please describe the state’s procedure for minimizing risk of bias to the survey results from retailers alerting each other to the presence of the survey teams:

Risk of bias is minimized by: (1) multiple inspection teams conducting compliance checks, so an area is completed before area retailers can communicate with each other; (2) OATC conducting tobacco and alcohol compliance checks on an on-going basis throughout the year, providing a year-round enforcement presence; and (3) OATC does not issue a citation at the time of a compliance check. Citations are issued by mail.

OATC conducted 1,125 tobacco compliance checks for the FFY 2015 Annual Synar Report. In addition, OATC reported that in SFY 2015, a total of 17,803 alcohol and tobacco compliance checks were conducted. OATC reported the outcome of the alcohol and tobacco compliance checks as an 83% compliance rate for tobacco and an 84% compliance rate for alcohol.

SYNAR SURVEY METHODS AND RESULTS

The following questions pertain to the survey methodology and results of the Synar survey used by the state to meet the requirements of the Synar Regulation in FFY 2015 (see 42 U.S.C. 300x-26 and 45 C.F.R. 96.130).

6. Has the sampling methodology changed from the previous year?

Yes **No**

The state is required to have an approved up-to-date description of the Synar sampling methodology on file with CSAP. Please submit a copy of your Synar Survey Sampling Methodology (Appendix B). If the sampling methodology changed from the previous reporting year, these changes must be reflected in the methodology submitted.

Note: The Synar Survey Sampling Methodology was updated and approved on 8/24/2015, prior to the FFY 2016 data collection. The approved Synar Survey Sampling Methodology is in Appendix B.

7. Please answer the following questions regarding the state’s annual random, unannounced inspections of tobacco outlets (see 45 C.F.R. 96.130(d)(2)).

a. Did the state use the optional Synar Survey Estimation System (SSES) to analyze the Synar survey data?

Yes **No**

If Yes, attach SSES summary tables 1, 2, 3, and 4 to the hard copy of the ASR and upload a copy of SSES tables 1–5 (in Excel) to WebBGAS. Then go to Question 8. If No, continue to Question 7b.

b. Report the weighted and unweighted Retailer Violation Rate (RVR) estimates, the standard error, accuracy rate (number of eligible outlets divided by the total number of sampled outlets), and completion rate (number of eligible outlets inspected divided by the total number of eligible outlets).

Unweighted RVR _____

Weighted RVR _____

Standard error (s.e.) of the (weighted) RVR _____

Fill in the blanks to calculate the right limit of the right-sided 95% confidence interval.

$$\text{RVR Estimate} \quad + \quad (1.645 \quad \times \quad \text{Standard Error} \quad) \quad = \quad \text{Right Limit}$$

plus (1.645 times

Accuracy rate _____

Completion rate _____

c. **Fill out Form 1 in Appendix A (Forms 1–5).** (*Required regardless of the sample design.*)

d. **How were the (weighted) RVR estimate and its standard error obtained?**
(Check the one that applies.)

- Form 2 (Optional) in Appendix A (Forms 1–5) (*Attach completed Form 2.*)
 Other (*Please specify. Provide formulas and calculations or attach and explain the program code and output with description of all variable names.*)

e. **If stratification was used, did any strata in the sample contain only one outlet or cluster this year?**

- Yes No No stratification

If Yes, explain how this situation was dealt with in variance estimation.

f. **Was a cluster sample design used?**

- Yes No

If Yes, fill out and attach Form 3 in Appendix A (Forms 1–5), and answer the following question.

If No, go to Question 7g.

Were any certainty primary sampling units selected this year?

- Yes No

If Yes, explain how the certainty clusters were dealt with in variance estimation.

g. **Report the following outlet sample sizes for the Synar survey.**

	Sample Size
Effective sample size (sample size needed to meet the SAMHSA precision requirement assuming simple random sampling)	
Target sample size (the product of the effective sample size and the design effect)	
Original sample size (inflated sample size of the target sample to counter the sample attrition due to ineligibility and noncompletion)	
Eligible sample size (number of outlets found to be eligible in the sample)	
Final sample size (number of eligible outlets in the sample for which an inspection was completed)	

h. **Fill out Form 4 in Appendix A (Forms 1–5).**

8. Did the state's Synar survey use a list frame?

Yes No

If Yes, answer the following questions about its coverage.

a. The calendar year of the latest frame coverage study: 2014

b. Percent coverage from the latest frame coverage study: 91.74%

c. Was a new study conducted in this reporting period?

Yes No

If Yes, please complete Appendix D (List Sampling Frame Coverage Study) and submit it with the Annual Synar Report.

d. The calendar year of the next coverage study planned: FFY 2017 (May 2017)

9. Has the Synar survey inspection protocol changed from the previous year?

Yes No

The state is required to have an approved up-to-date description of the Synar inspection protocol on file with CSAP. Please submit a copy of your Synar Survey Inspection Protocol (Appendix C). If the inspection protocol changed from the previous year, these changes must be reflected in the protocol submitted.

Note: The Synar Survey Inspection Protocol was updated and approved on by the State Project Officer on 11/24/2015, prior to the FFY 2016 data collection. The approved Synar Survey Inspection Protocol is in Appendix C.

a. Provide the inspection period: From 10/01/2014 to 09/29/2015
MM/DD/YY MM/DD/YY

b. Provide the number of youth inspectors used in the current inspection year:

75

NOTE: If the state uses SSES, please ensure that the number reported in 9b matches that reported in SSES Table 4, or explain any difference.

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b. Fill out and attach Form 5 in Appendix A (Forms 1–5). (Not required if the state used SSES to analyze the Synar survey data.)

SECTION II: FFY 2016 (Intended Use):

Public law 42 U.S.C. 300x-26 of the Public Health Service Act and 45 C.F.R. 96.130 (e) (4, 5) require that the states provide information on future plans to ensure compliance with the Synar requirements to reduce youth tobacco access.

1. In the upcoming year, does the state anticipate any changes in:

Synar sampling methodology Yes No

Synar inspection protocol Yes No

If changes are made in either the Synar sampling methodology or the Synar inspection protocol, the state is required to obtain approval from CSAP prior to implementation of the change and file an updated Synar Survey Sampling Methodology (Appendix B) or an updated Synar Survey Inspection Protocol (Appendix C), as appropriate.

2. Please describe the state's plans to maintain and/or reduce the target rate for Synar inspections to be completed in FFY 2016. Include a brief description of plans for law enforcement efforts to enforce youth tobacco access laws, activities that support law enforcement efforts to enforce youth tobacco access laws, and any anticipated changes in youth tobacco access legislation or regulation in the state.

ENFORCEMENT

Tobacco Licensing: Merchants are required to register for tobacco permits and may lose the ability to sell tobacco products if they are found non-compliant with tobacco laws. A list of outlets selling tobacco, but not on the Tobacco License List, identified during the Coverage Study will be sent to OATC for investigation. In addition, community volunteers participating in local merchant education and local enforcement will be encouraged to contact OATC if they believe that an outlet is selling tobacco without a license, or is selling tobacco to youth.

Field Agent Training: Most of the OATC supervisors and the field agents conducting compliance checks are new hires. Therefore, OBH will continue to conduct a competency-based face-to-face training with all supervisors and agents prior to the annual Synar inspections. The training will include: (1) update on tobacco and public health; (2) highlights from the recent ASR; (3) continuing challenges; (4) selecting the Synar sample; (5) collecting Synar data; (6) monitoring ASR data collection; and (7) a practice discussion. Training will emphasize the Synar Inspection Protocol and the Synar Data Collection form, as most of the compliance checks that agents conduct during the year will be based on different procedures.

Office of Alcohol and Tobacco Control (OATC) Synar Survey/Consummated Compliance Checks: OATC will conduct 1,200 tobacco consummated compliance checks for the Annual Synar Survey. The outlets for the 1,200 tobacco compliance checks will be selected from the State's Tobacco License List using stratified random sampling. The specific procedures described in Appendix C will be followed for recruiting and training youth inspectors, training field agents, inspection methodology, and data collection. Citations will be issued to all outlets found in violation. Letters of appreciation will be mailed to those merchants that are found to be in compliance.

OATC Consummated Compliance Checks (Non-Synar): OATC conducts routine enforcement checks throughout the year. Again, citations will be issued by mail to all outlets found in violation. Letters of appreciation will be mailed to those merchants that are found to be in compliance. During SFY 2015, OATC conducted a total of 17,803 alcohol and tobacco compliance checks. OATC reported the outcome of the alcohol and tobacco compliance checks as an 83% compliance rate for tobacco and an 84% compliance rate for alcohol.

MERCHANT EDUCATION

Revising Merchant Education Materials: A discussion with OATC Headquarters staff, supervisors, and agents identified that sales are occurring because clerks are glancing at youth IDs and then selling, rather than carefully looking at IDs to see the red underage notation on IDs. In Louisiana, minor licenses are vertical with a red "Under 21 Until 00-00-0000" and "Under 18 Until 00-00-0000" to the right of the photo, at the bottom left with a red frame. Merchant education materials will be updated with an emphasis on reading IDs correctly.

The discussion with OATC Headquarters staff, supervisors, and agents also identified that sales are occurring because clerks are using store lottery machines and other electronic age verification devices for age identification, and then overriding the device signal that the buyer is underage. Merchant education materials will be updated with a section on age verification using Point of Sale devices.

Community-based Unconsummated Compliance Checks: As a way to educate tobacco merchants, each of the 10 Regions/LGEs of the State will fund a Synar Contractor that will train and supervise youth volunteers to conduct unconsummated compliance checks. Statewide, there will be 400 unconsummated compliance checks to include the following: 300 cigarette purchase attempts, 60 smokeless tobacco purchase attempts, and 40 cigar purchase attempts. During unconsummated compliance checks, merchants will be provided Thank You and No Thank You cards, educational cards, and certificates as appropriate. Each merchant, where an unconsummated compliance check is conducted, will also be given an educational packet including written materials, window decals, and stickers regarding the current laws and goals of the Synar Amendment.

Targeted Education & Enforcement to High-Risk Regions: The FFY 2016 Synar data show that four regions are above the state average of 17.7%:

Region 2 – 23.7%

Region 3 – 19%

Region 4 – 18.7%

Region 5 – 23.1%

Region 9 – 20.3%

Merchant education efforts will be targeted to the high-risk regions. In addition, we will work with local law enforcement in the high-risk regions to conduct additional enforcement activities, beyond the activities currently conducted by OATC, the state agency.

Developing and Piloting an Enhanced Tobacco Module for the Responsible Vendor Program:

The Responsible Vendor Program (RV) is sponsored by OATC and is intended to educate vendors and their employees about selling, serving, and the consumption of alcoholic beverages and tobacco products with the intent of preventing the access, misuse, illegal use, and abuse of these substances.

According to Louisiana law “any employee of a vendor who is authorized to sell or serve alcoholic beverages or tobacco products in the normal course of his or her employment or deals with customers who purchase or consume alcoholic beverages or tobacco products” must attend an RV Class and obtain an RV Server Permit within 45 days of their date of hire. The current RV Program is primarily directed at alcohol, with a fairly limited focus on tobacco; we will continue to work with OATC to develop and pilot an enhanced tobacco module for the RV Program.

COMMUNITY MOBILIZATION & MEDIA ADVOCACY

Regional Synar coalitions in each of the 10 regions will actively participate in Regional Tobacco Free Living (TFL) Coalition Meetings, serving as experts in limiting youth access to tobacco products. OBH will institute monthly meetings with block grant funded staff in Regions/LGE for communication, planning, coordination, problem-solving, and sharing lessons learned. A portion of each monthly meeting will be used to discuss and develop strategies for building community support, using media to communicate norms and awareness, and using media to reinforce community tobacco prevention and control efforts, including publicizing retailers in compliance. Special attention will be directed at upcoming tobacco-related legislation and understanding more about the effect of state preemption on local communities’ options for addressing local underage tobacco use.

STRATEGIC PLANNING TO REDUCE RVR

It is critical that the enforcement, merchant education, and community mobilization & media advocacy activities described above are planned and implemented in an integrated, coordinated approach. A stakeholder group will be the primary vehicle for statewide stakeholders to review data and plan Louisiana’s activities to reduce RVR.

The data that will be reviewed for planning Louisiana’s efforts will include the following:

1. Tobacco Use, Exposure, Mortality, Costs in Louisiana from Surveillance System Data – adult smoking prevalence rate, youth smoking prevalence rate, number of youth who become new daily smokers each year, number of youth exposed to secondhand smoke at home, number of packs of cigarettes bought or smoked by youth, number of adults who die each year from their own smoking, number of youth who will ultimately die prematurely from smoking, number of adult nonsmokers who die each year from exposure to secondhand smoke, annual health care costs in Louisiana directly caused by smoking, portion of costs covered by state Medicaid program, resident’s state and federal tax burden from smoking-caused government expenditures, smoking-cause productivity losses.
2. Annual Synar Data – overall retailer violation rate and trend over time, retailer violation rate for each region and trend over time, ineligibility rate and reasons for ineligibility, non-completion rate and reasons for and non-completion, buy rate by gender and age, factors associated with retailer violation rate (characteristics of outlet, characteristics of inspection event).

3. CCYS Data - Non-compliance rates for each region are examined, and regions that were in the top third of non-compliance for at least two years are identified. 30-day use rates for cigarettes for two years following this period are examined, and regions that are in the top third of 30-day use rates were identified. Our analyses have shown a pattern of regions with high non-compliance also being high in youth smoking.

Our collaborative planning process with statewide stakeholders will involve several activities. First, a brief, visually appealing PowerPoint of tobacco burden data will be used to provide data to tobacco stakeholders across the state. Tobacco burden data is an important foundation for stakeholders to plan policy, systems, and environmental changes in the coming year. Block grant funded staff are part of local community tobacco coalitions, to ensure that local planning is data driven and evidence-based; block grant funded staff will bring back community input and feedback about Synar activities from local coalitions. Second, Annual Synar survey data will be reviewed and discussed to guide merchant education and enforcement efforts in the coming year. Third, analyses linking Synar data on RVR with CCYS data will provide population-based impact of Synar activities, contributing to policy leaders' buy-in for merchant education and enforcement.

The immediate issues for the statewide stakeholder group will include discussion and decisions about: (1) reviewing data for planning and tracking efforts to reduce RVR (i.e., ASR data, surveillance data, emergency room data, college student data); (2) supporting OATC enforcement activities; (3) updating existing merchant education materials; (4) working with local law enforcement to institute additional enforcement in high-risk regions; (5) developing the enhanced tobacco module for Responsible Vendor Program; and (5) developing strategies for community mobilization and media advocacy.

3. Describe any challenges the state faces in complying with the Synar regulation. (Check all that apply.)

- Limited resources for law enforcement of youth access laws
- Limited resources for activities to support enforcement and compliance with youth tobacco access laws
- Limitations in the state youth tobacco access laws
- Limited public support for enforcement of youth tobacco access laws
- Limitations on completeness/accuracy of list of tobacco outlets
- Limited expertise in survey methodology
- Laws/regulations limiting the use of minors in tobacco inspections
- Difficulties recruiting youth inspectors
- Issues regarding the age balance of youth inspectors
- Issues regarding the gender balance of youth inspectors
- Geographic, demographic, and logistical considerations in conducting inspections
- Cultural factors (e.g., language barriers, young people purchasing for their elders)
- Issues regarding sources of tobacco under tribal jurisdiction
- Other challenges (*Please list.*) _____

Briefly describe all checked challenges and propose a plan for each, or indicate the state's need for technical assistance related to each relevant challenge.

LIMITED RESOURCES FOR LAW ENFORCEMENT OF YOUTH ACCESS LAWS

Reduced Number of OATC Staff: During the last three years, OATC has gone through a substantial re-organization. At the time of the FFY 2016 Annual Synar Report, there were eight (8) OATC enforcement agents including directors and field agents. Six (6) agents are responsible for conducting compliance checks, markedly less than in previous years.

Limited Compliance Check Experience of OATC Staff: Most of the supervisors and agents conducting compliance checks are new hires, without experience in the annual Synar inspections.

Reduced OATC Tobacco Enforcement Checks: OATC conducts approximately 1,200 Synar inspections (through a contractual agreement with OBH). Additional tobacco compliance checks are conducted by OATC, but are combined with alcohol compliance check when a retailer has a tobacco and alcohol permit.

OATC Policy Changes: OATC has recently instituted policy changes that may influence the annual Synar inspection results. OATC no longer issues citations during routine compliance checks, but instead mails citations. In addition, OATC now conducts routine tobacco and alcohol compliance checks jointly. These different policies and procedures may influence the integrity of the annual Synar inspection process and/or influence the rate, through reduced/weakened enforcement presence.

ISSUES REGARDING THE AGE BALANCE OF YOUTH INSPECTORS

Inspections for FFY 2016 were not balanced by age. Of the 1,262 completed inspections, 3% were conducted by 15 year olds, 32% were conducted by 16 year olds, 64% were conducted by 17 year olds, and 1% were conducted by 18 year olds. The state will continue to work with OATC to balance the age of youth inspectors.

ISSUES REGARDING THE GENDER BALANCE OF YOUTH INSPECTORS

Inspections for FFY 2016 were not balanced by gender: 45% of the 1,262 completed inspections were conducted by males, with 55% conducted by females. The state will continue to work with OATC to balance the gender of youth inspectors.

GEOGRAPHIC, DEMOGRAPHIC, AND LOGISTICAL CONSIDERATIONS IN CONDUCTING INSPECTIONS:

Geographic Variation: RVR across the state varies by region. This variation is reviewed each year to target merchant education activities.

Rurality: The large rural populations make it logistically challenging to conduct compliance checks. The effect of rurality is heightened due to the limited number of OATC agents.

APPENDIX A: FORMS 1-5

SSES Table 1 (Synar Survey Estimates and Sample Sizes)

CSAP-SYNAR REPORT

State	LA
Federal Fiscal Year (FFY)	2016
Date	12/22/2015 17:14
Data	SYNAR Data 2016 _ SSEsv5_DataEntryTemplate_SRS.xlsx
Analysis Option	Stratified SRS with FPC

Estimates

Unweighted Retailer Violation Rate	17.7%
Weighted Retailer Violation Rate	17.7%
Standard Error	1.0%
Is SAMHSA Precision Requirement met?	YES
Right-sided 95% Confidence Interval	[0.0%, 19.3%]
Two-sided 95% Confidence Interval	[15.8%, 19.6%]
Design Effect	1.0
Accuracy Rate (unweighted)	95.7%
Accuracy Rate (weighted)	95.7%
Completion Rate (unweighted)	99.5%

Sample Size for Current Year

Effective Sample Size	1,074
Target (Minimum) Sample Size	1,326
Original Sample Size	1,325
Eligible Sample Size	1,268
Final Sample Size	1,262
Overall Sampling Rate	20.9%

SSES Table 2 (Synar Survey Results by Stratum and by OTC/VM)

STATE: LA

FFY: 2016

Samp. Stratum	Var. Stratum	Outlet Frame Size	Estimated Outlet Population Size	Number of PSU Clusters Created	Number of PSU Clusters in Sample	Outlet Sample Size	Number of Eligible Outlets in Sample	Number of Sample Outlets Inspected	Number of Sample Outlets in Violation	Retailer Violation Rate(%)	Standard Error(%)
All Outlets											
1	1	663	625	N/A	N/A	139	131	130	21	16.2%	
10	10	485	475	N/A	N/A	102	100	100	14	14.0%	
2	2	855	821	N/A	N/A	178	171	169	40	23.7%	
3	3	582	549	N/A	N/A	123	116	116	22	19.0%	
4	4	921	878	N/A	N/A	193	184	182	34	18.7%	
5	5	451	432	N/A	N/A	95	91	91	21	23.1%	
6	6	435	402	N/A	N/A	91	84	84	14	16.7%	
7	7	736	717	N/A	N/A	155	151	151	15	9.9%	
8	8	507	483	N/A	N/A	106	101	101	14	13.9%	
9	9	687	668	N/A	N/A	143	139	138	28	20.3%	
Total		6,322	6,050			1,325	1,268	1,262	223	17.7%	1.0%
Over the Counter Outlets											
1	1	663	625	N/A	N/A	130	130	130	21	16.2%	
10	10	485	475	N/A	N/A	100	100	100	14	14.0%	
2	2	855	821	N/A	N/A	170	169	169	40	23.7%	
3	3	582	549	N/A	N/A	116	116	116	22	19.0%	
4	4	921	878	N/A	N/A	182	182	182	34	18.7%	
5	5	451	427	N/A	N/A	90	90	90	21	23.3%	
6	6	435	402	N/A	N/A	84	84	84	14	16.7%	
7	7	736	717	N/A	N/A	151	151	151	15	9.9%	
8	8	507	483	N/A	N/A	101	101	101	14	13.9%	
9	9	687	668	N/A	N/A	138	138	138	28	20.3%	
Total		6,322	6,045			1,262	1,261	1,261	223	17.7%	1.0%
Vending Machines											
1	1	0	0	N/A	N/A	1	0	0	0	0.0%	
10	10	0	0	N/A	N/A	0	0	0	0	0.0%	
2	2	0	0	N/A	N/A	0	0	0	0	0.0%	
3	3	0	0	N/A	N/A	0	0	0	0	0.0%	
4	4	0	0	N/A	N/A	0	0	0	0	0.0%	
5	5	0	0	N/A	N/A	0	0	0	0	0.0%	
6	6	0	0	N/A	N/A	0	0	0	0	0.0%	
7	7	0	0	N/A	N/A	0	0	0	0	0.0%	
8	8	0	0	N/A	N/A	0	0	0	0	0.0%	
9	9	0	0	N/A	N/A	0	0	0	0	0.0%	
Total		0	0			1	0	0	0	0.0%	0.0%

Note: There are some records with unknown outlet type. Therefore the overall counts may not equal the sum of OTC and VM counts.

SSES Table 3 (Synar Survey Sample Tally Summary)

STATE: LA
FFY: 2016

Disposition Code	Description	Count	Subtotal
EC	Eligible and inspection complete outlet	1262	
Total (Eligible Completes)			1262
N1	In operation but closed at time of visit	5	
N2	Unsafe to access	0	
N3	Presence of police	0	
N4	Youth inspector knows salesperson	0	
N5	Moved to new location but not inspected	0	
N6	Drive thru only/youth inspector has no drivers license	0	
N7	Tobacco out of stock	0	
N8	Run out of time	0	
N9	Other noncompletion (see below)	1	
Total (Eligible Noncompletes)			6
I1	Out of Business	9	
I2	Does not sell tobacco products	12	
I3	Inaccessible by youth	13	
I4	Private club or private residence	1	
I5	Temporary closure	14	
I6	Can't be located	0	
I7	Wholesale only/Carton sale only	0	
I8	Vending machine broken	1	
I9	Duplicate	0	
I10	Other ineligibility (see below)	7	
Total (Ineligibles)			57
Grand Total			1325

Give reasons and counts for other noncompletion:

Reason	Count
Location not in operation yet- under construction	1
Other ineligibility	5
Vapor Check	1

Give reasons and counts for other ineligibility:

Reason	Count

SSES Table 4 (Synar Survey Inspection Results by Youth Inspector Characteristics)

STATE: LA
FFY: 2016

Frequency Distribution

Gender	Age	Number of Inspectors	Attempted Buys	Successful Buys
Male	14	0	0	0
	15	1	39	8
	16	10	296	44
	17	24	223	35
	18	3	9	1
	Subtotal	38	567	88
Female	14	0	0	0
	15	0	0	0
	16	4	104	16
	17	30	586	119
	18	3	5	0
	Subtotal	37	695	135
Other		0	0	0
Grand Total		75	1262	223

Buy Rate in Percent by Age and Gender

Age	Male	Female	Total
14	0.0%	0.0%	0.0%
15	20.5%	0.0%	20.5%
16	14.9%	15.4%	15.0%
17	15.7%	20.3%	19.0%
18	11.1%	0.0%	7.1%
Other			0.0%
Total	15.5%	19.4%	17.7%

APPENDIXES B & C: Forms

Appendix B (Sampling Design) and Appendix C (Inspection Protocol) are to reflect the state's CSAP-approved sampling design and inspection protocol. These appendixes, therefore should generally describe the design and protocol and, with the exception of Question #10 of Appendix B, are not to be modified with year-specific information. Please note that any changes to either appendix must receive CSAP's advance, written approval. To facilitate the state's completion of this section, simply cut and paste the previously approved sampling design (Appendix B) and inspection protocol (Appendix C).

APPENDIX B: SYNAR SURVEY SAMPLING METHODOLOGY

State: Louisiana
 FFY: 2016

1. What type of sampling frame is used?

- List frame (*Go to Question 2.*)
- Area frame (*Go to Question 3.*)
- List-assisted area frame (*Go to Question 2.*)

2. List all sources of the list frame. Indicate the type of source from the list below. Provide a brief description of the frame source. Explain how the lists are updated (method), including how new outlets are identified and added to the frame. In addition, explain how often the lists are updated (cycle). (*After completing this question, go to Question 4.*)

Use the corresponding number to indicate Type of Source in the table below.

- 1 – Statewide commercial business list 4 – Statewide retail license/permit list
- 2 – Local commercial business list 5 – Statewide liquor license/permit list
- 3 – Statewide tobacco license/permit list 6 – Other

Name of Frame Source	Type of Source	Description	Updating Method and Cycle
State Office of Alcohol and Tobacco Control Tobacco License List	3	All tobacco outlets in Louisiana that sell tobacco at retail or otherwise distribute tobacco products to consumers	<p>ATC continuously removes non-renewed permits from the list and updates the list with new permits.</p> <p>ATC removes all tobacco outlets who possess an AG License. An AG License is issued to those outlets where individuals under the age of 18 are prohibited from being on the premises.</p>

3. If an area frame is used, describe how area sampling units are defined and formed.

- a. Is any area left out in the formation of the area frame?** Yes No

If Yes, what percentage of the State's population is not covered by the area frame?
 _____%

4. Federal regulation requires that vending machines be inspected as part of the Synar survey. Are vending machines included in the Synar survey?

Yes **No**

If No, please indicate the reason(s) they are not included in the Synar survey. Please check all that apply.

- State law bans vending machines.
- State law bans vending machines from locations accessible to youth.
- State has a contract with the FDA and is actively enforcing the vending machine requirements of the Family Smoking Prevention and Tobacco Control Act.
- Other (*Please describe.*) _____

Vending machines in Louisiana are located in places that are accessible to youth. However, the State's license list does not distinguish between over-the-counter and vending machines for tobacco sellers. Inspection teams entering an outlet initially determine how tobacco is sold (over-the-counter assisted by a clerk; over-the-counter self-service; and vending machine). If tobacco is sold in vending machines, an attempt is made to purchase from the vending machine. As part of a vending machine attempt, the youth operative approaches the clerk to ask for change to use the vending machine. It is important to note that the ratio of vending machine inspections to over-the-counter inspections is small. This is likely due to the combined effect of vending machines being harder to manage and monitor, while at the same time, being subject to more frequent compliance checks because of their location in outlets that are inspected for alcohol compliance as well as tobacco compliance.

5. Which category below best describes the sample design? (Check only one.)

Census (*STOP HERE: Appendix B is complete.*)

Unstratified statewide sample:

- Simple random sample (*Go to Question 9.*)
- Systematic random sample (*Go to Question 6.*)
- Single-stage cluster sample (*Go to Question 8.*)
- Multistage cluster sample (*Go to Question 8.*)

Stratified sample:

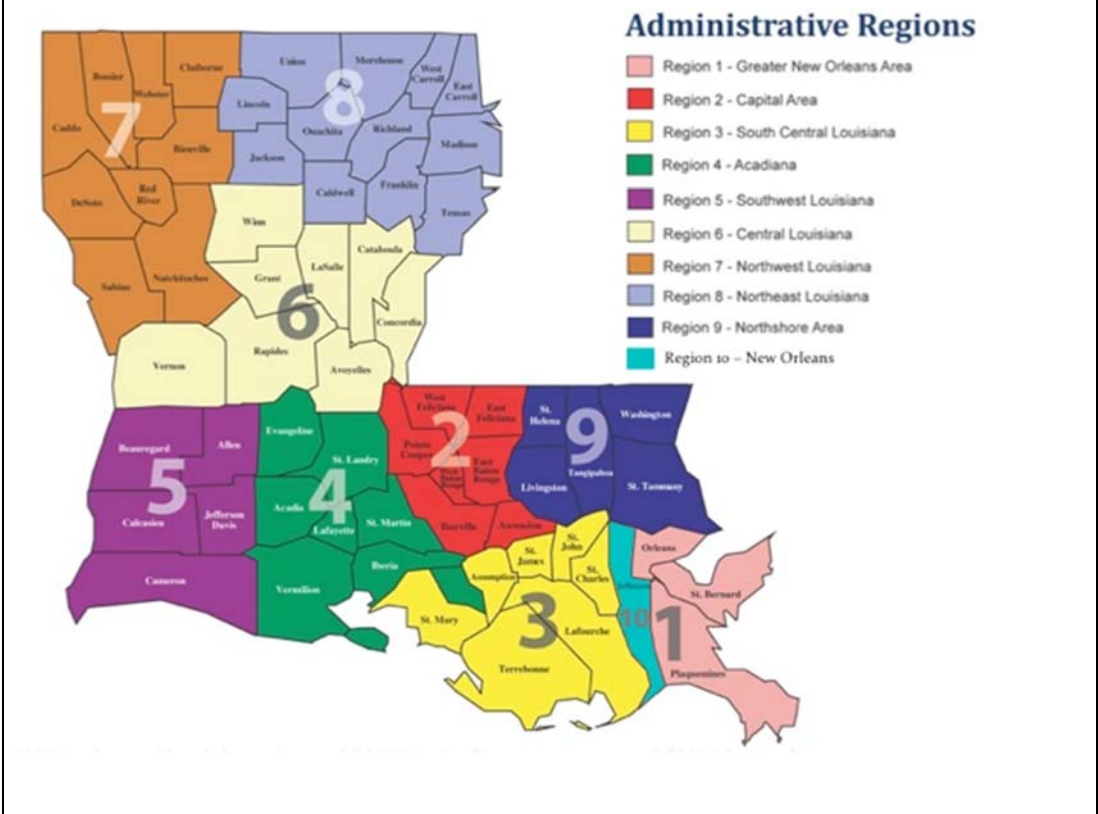
- Simple random sample (*Go to Question 7.*)
- Systematic random sample (*Go to Question 6.*)
- Single-stage cluster sample (*Go to Question 7.*)
- Multistage cluster sample (*Go to Question 7.*)
- Other** (*Please describe and go to Question 9.*) _____

6. Describe the systematic sampling methods. (After completing Question 6, go to Question 7 if stratification is used. Otherwise go to Question 9.)

7. Provide the following information about stratification.

a. Provide a full description of the strata that are created.

Louisiana is divided into ten geographic regions. The geographic regions are shown in the map below. These 10 administrative regions comprise the strata



b. Is clustering used within the stratified sample?

- Yes (Go to Question 8.)
- No (Go to Question 9.)

8. Provide the following information about clustering.

a. Provide a full description of how clusters are formed. (If multistage clusters are used, give definitions of clusters at each stage.)

b. Specify the sampling method (simple random, systematic, or probability proportional to size sampling) for each stage of sampling and describe how the method(s) is (are) implemented.

9. Provide the following information about determining the Synar Sample.

a. Was the Synar Survey Estimation System (SSES) used to calculate the sample size?

- Yes** (Respond to part b.)
 No (Respond to part c and Question 10c.)

b. SSES Sample Size Calculator used?

- State Level** (Respond to Question 10a.)
 Stratum Level (Respond to Question 10a and 10b.)

c. Provide the formulas for determining the effective, target, and original outlet sample sizes.

In calculating the **effective sample size** (n_e), we used the following formula:

$$n_e = \frac{1}{\frac{(e/Z)^2 + 1}{p(1-p)} + \frac{1}{N}}$$

where n_e is the minimum effective sample size, e is the margin of error set at .0175, Z is the normal deviant, 1.645 corresponding to a 95% one-tailed confidence interval for the non-compliance rate, p is the prevalence rate estimated by the previous year's weighted non-compliance rate, and N is the size of the sampling frame.

The **target sample size** (n_t), is the sample size adjusted for the design effect to account for the stratified random sample design, which is given by:

$$n_t = dn_e$$

where d is the design effect estimated to be 1

Then, the **original sample size** (n_o), is determined by:

$$n_o = \frac{n_t}{r_e r_c}$$

where, r_e is the accuracy rate (eligibility rate) and r_c is the completion rate from the previous year's survey

The sample is allocated to the 10 different strata using the proportional allocation procedure according to the stratum size of outlets in the population.

$$n_i = n(N_i/N)$$

where n_i is the sample size for the i th stratum, n is the total sample size for Louisiana, N_i is the number of outlets in the i th stratum, and N is the total number of outlets in Louisiana.

10. Provide the following information about sample size calculations for the current FFY Synar survey.

- a. If the state uses the sample size formulas embedded in the SSES Sample Size Calculator to calculate the state level sample size, please provide the following information:**

Inputs for Effective Sample Size:

RVR:

Frame Size:

Input for Target Sample Size:

Design Effect:

Inputs for Original Sample Size:

Safety Margin:

Accuracy (Eligibility) Rate:

Completion Rate:

- b. If the state uses the sample size formulas embedded in the SSES Sample Size Calculator to calculate the stratum level sample sizes, please provide the stratum level information:**

--

- c. If the state does not use the sample size formulas embedded in the SSES Sample Size Calculator, please provide all inputs required to calculate the effective, target, and original sample sizes as indicated in Question 9.**

Calculating the Effective Sample Size (n_e) for one-tailed test at 95%		
Sampling frame size FFY 2016	N	6322
Margin of error	e	0.0175
Z-score for one-tailed 95% confidence interval	Z	1.645
Weighted RVR FFY 2015	p	0.178
Minimum effective sample size FFY 2016	n_e	1073

Calculating the Target Sample Size (n_t)		
Design effect	d	1
Minimum effective sample size FFY 2016	n_e	1073
Target sample size FFY 2016	n_t	1073

Calculating the Original Sample Size (n_o)		
Target sample size FFY 2016	n_t	1073
Accuracy (eligibility) rate FFY 2015	r_e	0.821
Completion rate FFY 2015	r_c	0.986
Original sample size FFY 2016	n_o	1326

APPENDIX C: SYNAR SURVEY INSPECTION PROTOCOL

State: Louisiana
FFY: 2016

Note: Upload to WebBGAS a copy of the Synar inspection form under the heading “Synar Inspection Form” and a copy of the protocol used to train inspection teams on conducting and reporting the results of the Synar inspections under the heading “Synar Inspection Protocol.”

1. How does the state Synar survey protocol address the following?

a. Consummated buy attempts?

- Required
- Permitted under specified circumstances (Describe:)
- Not permitted

b. Youth inspectors to carry ID?

- Required
- Permitted under specified circumstances (Describe:)
- Not permitted

Note: Effective July 15, 2013, OATC Commissioner Troy Herbert has directed that all youth operatives must possess a valid ID to be used during compliance checks. Either a valid driver’s license or State ID Card is now required.

c. Adult inspectors to enter the outlet?

- Required
- Permitted under specified circumstances (Describe:)
- Not permitted

d. Youth inspectors to be compensated?

- Required
- Permitted under specified circumstances (Describe:)
- Not permitted

2. Identify the agency(ies) or entity(ies) that actually conduct the random, unannounced Synar inspections of tobacco outlets. (Check all that apply.)

- Law enforcement agency(ies)
- State or local government agency(ies) other than law enforcement
- Private contractor(s)
- Other

List the agency name(s): **Louisiana Department of Revenue, Office of Alcohol and Tobacco Control (OATC)**

3. Are Synar inspections combined with law enforcement efforts (i.e., do law enforcement representatives issue warnings or citations to retailers found in violation of the law at the time of the inspection?)?

Always Usually Sometimes Rarely Never

Note: The Synar inspections are combined with law enforcement efforts when possible. However, the OATC protocol for compliance checks was changed in 2015 to issue citations by postal mail instead of at the time of inspection. A citation is mailed to the owner of the retail establishment that may be a warning only or include a monetary fine. A citation is mailed to the sales clerk that may include a fine, suspension of server permit, or criminal summons. Violations occurring during the Synar inspections will follow the new OATC protocol for issuing warnings and citations by postal mail after the inspection.

4. Describe the type of tobacco products that are requested during Synar inspections.

a. What type of tobacco products are requested during the inspection?

- Cigarettes
 Small Cigars/Cigarillos
 Smokeless Tobacco
 Other

b. Describe the protocol for identifying what types of products and what brands of products are requested during an inspection.

The selection of the type of tobacco product attempted is based upon community norms; however, within the constraints of “typical youth purchase”, agents are mindful of the importance of attempting small cigars and smokeless tobacco, in addition to cigarettes.

5. Describe the methods used to recruit, select, and train youth inspectors and adult supervisors.

Recruitment and Selection of Youth Operatives. Youth operatives are recruited by OATC from youth groups, community groups, and agent contacts. The age of youth operatives ranges from 16-17 years old. The youth is photographed during the screening process to make sure that the youth’s appearance reflects his/her actual age. Youth operatives are paid for their time at a rate of \$15.00 per hour.

Training of Youth Operatives. Youth operatives are trained and supervised by OATC agents. Agents clearly discuss the guidelines for underage operatives with the youth. In addition to requirements for underage operatives, OATC agents train youth in the tobacco compliance check protocol. The training of youth operatives takes place at the time that the youth is officially recruited, once appropriate release and consent forms have been signed by the operative and his or her parent/guardian. In addition to the initial training session, OATC agents review the main points concerning compliance check procedures immediately prior to

a compliance check to reinforce fidelity with the inspection protocol guidelines. Guidelines for underage operatives conducting tobacco compliance checks are shown below.

Guidelines for Youth Operatives

- Must not be deceptively mature in appearance, or disguise or alter appearance.
- Must carry valid identification and state correct age if asked.
- Minors under the age of 18 must have a signed letter of approval from a parent/guardian.
- Operatives are paid for their time.
- Two photos must be taken of the operative **when the operative is hired; one full face, and one profile. A copy is also made of the operative's driver's license.**

Guidelines for Inspection Protocol

- Youth inspector teamed with two agents or a lead agent and an adult witness; one agent observes in the store; the other observes from the car/van
- One undercover agent enters the store
- Youth enters the store after the agent.
- Youth requests the pre-determined tobacco product.
- Youth pays for the tobacco product (get a receipt if possible)
- If youth is asked for ID, the youth will show legal identification
- If youth is asked age, youth will respond with correct age.
- Youth maintains possession of the tobacco product until an agent can take possession of it.
- Youth exits store and returns to car/van.
- Undercover agent exits store.
- Agent goes into store and gives citations to store and clerk.
- Agent completes the Synar Survey Inspection Form.

Compliance Check Agent Training (OATC). All OATC Agents are Commissioned and Certified Law Enforcement Personnel. Agents are trained in all required law enforcement procedures and also undergo field training within the agency with senior agents, field training personnel, and supervisors. OATC does not have a formal training curriculum for compliance inspections; however, procedures for compliance inspections are outlined in the agency's Policy and Procedure Manual, and agents are trained in compliance check procedures in the field.

Note: Due to unforeseen time constraints in conducting the FFY 2016 Synar Survey, no face-to-face Synar Survey training was provided for the OATC supervisors and agents prior to the start of the survey. In place of the training, the Synar Coordinator reviewed with leadership at OATC the Synar protocol and expectations for Synar checks. The Synar protocol augments the existing OATC procedures for compliance checks.

6. Are there specific legal or procedural requirements instituted by the state to address the issue of youth inspectors' immunity when conducting inspections?

a. Legal

Yes No

(If Yes, please describe.)

Youth inspectors' immunity when conducting inspections is subject to the same legal requirements as immunity in other law enforcement efforts --- the youth inspectors are immune if inspections are done in the scope of the operations. Compliance checks are conducted by law enforcement personnel as law enforcement undercover operations. OATC follows all laws pertaining to undercover operations; therefore, the youth inspectors are cooperating individuals immune to prosecution due to the nature of the agreement with law enforcement.

b. Procedural

Yes No

(If Yes, please describe.)

OATC Policy outlines what can and cannot be done by operatives. Youth operatives are regarded in the same manner as a confidential informant and in all cases the utmost effort is given to prevent appearance and testimony by them in court. Undercover agents witness the sale and testify to the offense.

7. Are there specific legal or procedural requirements instituted by the state to address the issue of the safety of youth inspectors during all aspects of the Synar inspection process?

a. Legal

Yes No

(If Yes, please describe.)

b. Procedural

Yes No

(If Yes, please describe.)

OATC Policy requires that one commissioned OATC agent and one other commissioned agent or authorized OATC representative accompany youth operatives during compliance inspections and at no time is a youth operative allowed to complete an inspection of an outlet that has been deemed unsafe or inappropriate (i.e. operative knows the salesclerk).

8. Are there any other legal or procedural requirements the state has regarding how inspections are to be conducted (e.g., age of youth inspector, time of inspections, training that must occur)?

a. Legal

Yes No

(If Yes, please describe.)

b. Procedural

Yes No

(If Yes, please describe.)

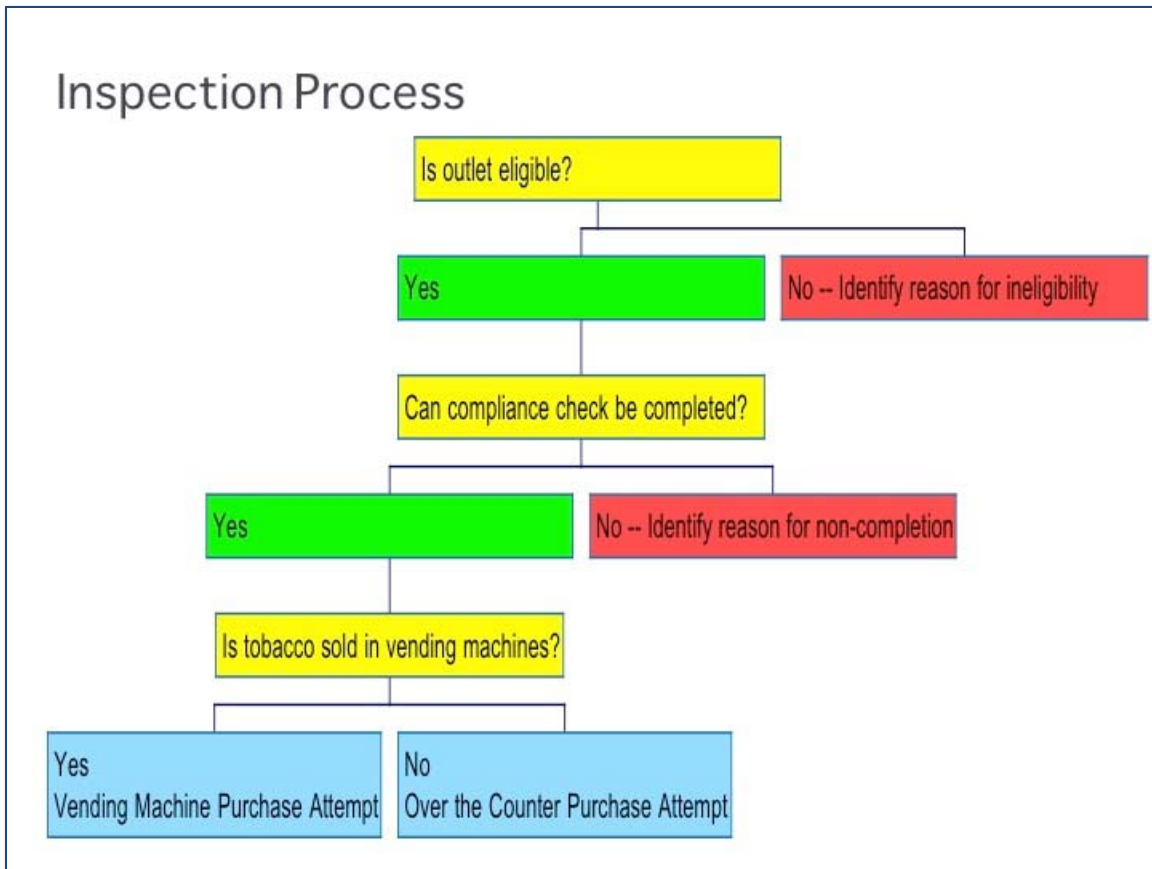
OATC Policy pertaining to the conduct of inspections has been formulated using the State's legal guidelines established for law enforcement agencies.

NOTE: Details about the Inspection Methodology, Database Entry Form, Data Collection Procedures, and Monitoring Procedures follow.

Inspection Methodology. At the point of inspection, the outlet name and address is verified. If the outlet is out of business, does not sell tobacco products, is a private facility not accessible to the public, is temporarily closed, is not located at the address, or is an adult club, the outlet is coded ineligible and the specific reason for ineligibility identified. If the outlet is in operation but closed at the time of 3 separate visits, is judged unsafe to access, or the youth inspector knows the salesperson, the outlet is coded non-complete and the specific reason for non-completion is identified.

Eligible outlets are inspected. One commissioned OATC agent and one other commissioned agent or authorized OATC representative accompany the youth during attempts to purchase tobacco. One agent observes the sale, and the second stands by as backup and to record the data about the context of the attempt and results. Identification carried by youth must be valid. If the youth has identification on his or her person, the youth must provide the identification if asked by the clerk. If the clerk instead asks for the youth's age, the youth must advise the clerk of their correct age.

When attempts to purchase tobacco are successful, the agent(s) mails citations and summons in accordance with the State of Louisiana Alcohol and Tobacco Control Law. OATC agents enter the information on laptop computers immediately following each inspection. This data is then forwarded to the Office for Behavioral Health for verification and analysis. The figure below provides details about the inspection process.



Developing Database Entry Form. Prior to the FFY 2004 survey, the feasibility of laptop data entry of the sampled outlets was explored, initially with OATC staff officers, and then through a focus group with the regional supervisors. The two major reasons for moving to electronic data entry were to improve accuracy and timeliness of the survey results, and to reduce agent burden. There was unanimous support to develop an electronic data entry system from both OATC headquarters and the regional supervisors. Epi Info was used to create the beta-version data entry program, and headquarters staff, headquarters technical support, and supervisors tested the program. Minor revisions were made based on beta testing, and the final version of the form was used in the FFY 2004 survey. The state decided to use OmniForm for electronic forms in fall 2003, and we migrated our EpiInfo form to OmniForm for FFY 2005 data collection. The same form has been used since 2005, with additional store observations related to FDA advertising and labeling added in FY13. The database entry form is shown below.

Louisiana State of Alcohol & Tobacco Control		7919 Independence Blvd, Box A 37 Baton Rouge, LA 70806		877754	
SYNAR					
Compliance Check Program Tobacco Retail Survey Form					
Date:	Time (optional):	Parish #	10 Digit Permit Number:		
Retailer Name:		Location Address: # & Street		City	Zip code
Operative ID #		Ranking Agent #		2nd Agent # Witness #	
Type of Retailer: <input type="checkbox"/> Convenience Store <input type="checkbox"/> Discount Superstore <input type="checkbox"/> Gas Station/Convenience Store <input type="checkbox"/> Pharmacy/Drug Store <input type="checkbox"/> Other <input type="checkbox"/> Supermarket/Grocery Store <input type="checkbox"/> Restaurant			Disposition of Check Eligible and Complete <input type="checkbox"/> No Sale <input type="checkbox"/> Sale Ineligible or Not Completed (Select Code Below) <input type="checkbox"/>		
<i>IF PURCHASE IS ATTEMPTED COMPLETE GRAY ROWS END - SKIP TO COMMENTS</i>					
How Outlet Sells Tobacco: (Check all that apply) <input type="checkbox"/> Direct face to face exchange <input type="checkbox"/> Self-service display <input type="checkbox"/> Vending Machine (attempt purchase)			Type of Purchase Attempt <input type="checkbox"/> Direct face to face exchange <input type="checkbox"/> Self-service display <input type="checkbox"/> Vending Machine		
Type of Tobacco Attempted <input type="checkbox"/> Cigarettes <input type="checkbox"/> Cigar <input type="checkbox"/> Smokeless Tobacco <input type="checkbox"/> Cigar Pack		Name of Item Price of Item		 Clerk Asked for ID? Yes No	
Salesclerk Gender <input type="checkbox"/> Female <input type="checkbox"/> Male		Salesclerk Age <input type="checkbox"/> Under 21 <input type="checkbox"/> 21-29 <input type="checkbox"/> 30+		Salesclerk Race <input type="checkbox"/> African-American <input type="checkbox"/> Caucasian <input type="checkbox"/> Middle-Eastern <input type="checkbox"/> Asian <input type="checkbox"/> Hispanic <input type="checkbox"/> Other	
Store Observation					
Vending Machines Vending machines present? Yes No Complete if Vending Machines Only Have locking device? Yes No Require special tokens? Yes No In view of an adult? Yes No		Warning Signs/Age ID Device Warning signs posted? Yes No Age ID Device at POS? Yes No DK Tobacco Ads Outside and Inside Store Any exterior tobacco ads 3 ft or lower? Yes No Any interior tobacco ads within 6 in of candy? Yes No		Novel Tobacco Products Visibility for Sale? E-Cigarettes? Yes No Disposable tobacco? (pipes, sticks, orbs) Yes No Shag? (loose) Yes No Little cigars/cigs Yes No Burst/blunt wraps? Yes No	
Business Citation # Issuing Agent #		Seller/Server Citation # Issuing Agent #			
RVP Card # <input type="checkbox"/> Check if working from their records		New Employee? Seller Name		Seller DOB: (mm/dd/yyyy)	
Regional Supervisor: _____ Phone: () _____					
Outlet has a new permit number: _____					
Comments: _____					

Menu for 'Select N Code or I Code' →

- N1-In operation, but closed at time...
- N2-Unsafe to access
- N3-Presence of police
- N4-Youth inspector knows salesp...
- N5-Moved to new location but not...
- N6-Drive thru only/youth inspector...
- N7-Tobacco out of stock
- N8-Run out of time
- N9-Other noncompletion
- I1-Out of business
- I2-Does not sell tobacco products
- I3-Inaccessible by youth
- I4-Private club or private residence
- I5-Temporary closure
- I6-Unlocatable

↓

Menu Scrolled Down

- N6-Drive thru only/youth inspector...
- N7-Tobacco out of stock
- N8-Run out of time
- N9-Other noncompletion
- I1-Out of business
- I2-Does not sell tobacco products
- I3-Inaccessible by youth
- I4-Private club or private residence
- I5-Temporary closure
- I6-Unlocatable
- I7-wholesale only/Cartron sale only
- I8-Vending machine broken
- I9-Duplicate
- I10-Other ineligibility

Data Collection Procedures. Information about software, process of entering data, compliance check procedures, tobacco purchase attempts, and compliance with Federal procedures is included below.

Note: The Synar inspections are combined with law enforcement efforts when possible. However, most inspections were conducted as routine OATC compliance checks throughout the year for the purpose of law enforcement. OmniForm data were not collected during the OATC enforcement compliance checks. The intent of OATC is to conduct an enforcement compliance check at least once each year at every retailer in the state with a license to sell tobacco and/or alcohol. Due to unforeseen time constraints and limited OATC resources, approximately 70% of the Synar sampled retailers had OATC enforcement compliance checks only and approximately 30% were combined with Synar inspections using the OmniForm. The enforcement compliance checks were conducted for tobacco purchase attempts only and combined tobacco and alcohol purchase attempts.

Data Collection Procedures

Software

- The Omni Form program will be used, with the new DHH Synar Survey Form.

Entering Data and Preventing Loss of Work

- The master list of outlets for your region includes all the outlets for your compliance checks.
- Use your copy of the master list to plan your compliance checks for the day.
- Enter the data for each compliance check to your form database.
- Backup each day's work and provide a copy to your regional supervisor.

Compliance Check Procedures

- Every outlet must have identifying information completed.
- Enter the permit number from the master log; if the outlet has a new permit number, enter the new number at the bottom of the form.
- If you attempt to purchase tobacco, you must complete the tobacco purchase section.
- If the outlet is not eligible, or you could not complete the compliance check, you must indicate the reason for ineligibility or non-completion.
- Indicate whether the permit number of the outlet differs from the master list.
- Add comments, if you wish.

Tobacco Purchase Attempts

- Restaurants with bars are included in tobacco purchase attempts.
- All tobacco purchase sections are completed for every purchase attempt, except the vending machines section, which is only completed for vending machine attempts.
- If the outlet has a vending machine, you must attempt to purchase at the vending machine.
 - The youth should ask for change to purchase cigarettes from a clerk.
 - The clerk's gender, age, and race are entered in the salesclerk gender, age, race section.
 - Identify the vending machine characteristics on the form.

Compliance With Federal Procedures

- Use 16 or 17 year olds, females and males: **aim for checks to be one-quarter 16 yo females, one-quarter 16 yo males, one-quarter 17 yo females, and one-quarter 17 yo males.** Conduct compliance checks mornings, afternoons, and evenings, weekdays and weekends.

Monitoring Data Collection. Three layers of monitoring are developed to ensure accuracy of the data. Each agent checks the form before submitting the form to his/her supervisor. Then, the supervisor reviews the form before sending the form to ATC headquarters. Finally, the State Synar Coordinator reviews each form before sending to the Synar Principal Investigator.

Following the data collection period, an analytic dataset is created and logical consistency checks are used to further verify the data. Inconsistencies are resolved by a review of the form, or in consultation with OATC staff. Variables in the analytic dataset are indicated below.

Note: OATC compliance checks did not have this monitoring procedure.

Analytic Dataset

General Information

- Date and time of inspection
- Permit number
- Retailer name
- Retailer Address
- Youth operative
- Gender and age of youth operative
- Adult agents
- Type of outlet

Disposition

- Disposition (ie eligible and complete, ineligible, not completed)
- Reason for ineligibility or non-completion (for ineligible or non-complete outlets)

Purchase Attempt

- How outlet sells tobacco
- Type of purchase attempt
- Type of tobacco attempted
- Name and price of tobacco purchased (for violations only)
- Whether the minor's identification was requested
- Gender, age, and race of sales clerk
- Characteristics of vending machines (for vending machine attempts only)
- Posting of warning signs
- **Age ID device at POS**
- **Novel tobacco products visibly for sale**
- Citation number (for violations only)
- Responsible Vendor Card Number
- Whether clerk has been working less than 3 months

APPENDIX D: LIST SAMPLING FRAME COVERAGE STUDY

(LIST FRAME ONLY)

State: Louisiana
FFY: 2016

Note Concerning Appendix D

- We will complete a new Appendix D with the FFY 2018 report; our next coverage study is scheduled for May 2017.
- The version of Appendix D submitted with our last ASR (FFY 2016) is the current coverage data. We understand that we are not required to attach Appendix D again until the next coverage study is conducted.