

# ***ANNUAL SYNAR REPORT***

***42 U.S.C. 300x-26***

OMB № 0930-0222

***FFY 2009***

***State: Louisiana***



U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES  
Substance Abuse and Mental Health Services Administration  
Center for Substance Abuse Prevention  
[www.samhsa.gov](http://www.samhsa.gov)

## Table of Contents

Introduction.....	i
FFY 2009: Funding Agreements/Certifications.....	1
Section I: FFY 2008 (Compliance Progress).....	2
Section II: FFY 2009 (Intended Use).....	8
Appendix A: Forms 1–5.....	9
Appendices B & C: Forms.....	16
Appendix B: Synar Survey Sampling Methodology .....	17
Appendix C: Synar Survey Inspection Protocol .....	19
Appendix D: List Sampling Frame Coverage Study .....	21

## 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 SAPT Block Grant (45 C.F.R. 96.130 (e)).

Public reporting burden for the collection of information is estimated to average 15 hours for Section I and 3 hours for Section II, including the time for reviewing instructions, completing and reviewing the collection of information, searching existing data sources, and gathering and maintaining the data needed. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing the burden, to SAMHSA Reports Clearance Officer; Paperwork Reduction Project; 1 Choke Cherry Road, 7th Floor Rockville, Maryland 20857.

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 with an expiration date of 10-31-2010.

### **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 2008 Compliance Progress) and future plans to ensure compliance with the Synar requirements to reduce youth tobacco access rates (FFY 2009 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 States<sup>1</sup> 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 on-site technical assistance consultation.

### **How the Synar report can help States**

The information gathered for the Synar report can help States describe and analyze sub-State 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.

---

<sup>1</sup>The 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) 276-2413 and ask for your respective State Project Officer, or contact your State Project Officer directly by telephone or e-mail using the directory provided in the FY 2009 Uniform Application, Appendix A. If you have questions about fiscal or grants management issues, you may call the Grants Management Officer, Office of Program Services, Division of Grants Management, at (240) 276-1422.

## **Where and when to submit the Synar report**

The Annual Synar Report (ASR) must be received by SAMHSA no later than December 31, 2008. The ASR must be submitted in the **approved OMB report format**. 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 1 of the ASR certifying that the State has complied with all reporting requirements.

The State must upload one copy of the report using the online Web BGAS (Block Grant Application System). States that use the Synar Survey Estimation System (SSES) must also upload one copy of SSES Tables 1-5 (in Excel) to Web BGAS. 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 format) to Web BGAS. Instructions on how to access the Web BGAS system are included in the attached cover letter.

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:

Ms. Barbara Orlando  
Grants Management Officer  
Office of Program Services  
Division of Grants Management  
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 2009: 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 AMMENDMENT**

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 2009 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 2009 is up-to-date and approved by the Center for Substance Abuse Prevention.

**State:** Louisiana

**Name of Chief Executive Officer or Designee:** Michael Duffy

**Signature of CEO or Designee:**

**Title:** Assistant Secretary

**Date Signed:**

**If signed by a designee, a copy of the designation must be attached.**

**SECTION I: FFY 2008 (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. Please attach a photocopy of the change(s) in the State law(s) if any was made since the last reporting year (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 the law concerning *vending machines*?**

Yes  No

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

Total ban enacted

Banned from location(s) accessible to youth

Locking device or supervision required

Other change(s) *(Please describe.)* \_\_\_\_\_

**d. 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

**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.)*

<http://www.dhh.louisiana.gov/offices/reports.asp?ID=23&Detail=542>  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 SAPT Block Grant application process
- Distributed through the public library system
- Published in an annual register
- Other change(s) *(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 for Addictive Disorders

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 State agency(ies) responsible for tobacco prevention activities.**

LA Department of Health and Hospitals Office of Pubic Health

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

Yes  No

**a. 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.)* \_\_\_\_\_

5. Please answer the following questions regarding the State’s activities to enforce the youth access to tobacco law(s) in FFY 2008 (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 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 violations of youth access to tobacco laws by **LOCAL AND/OR STATE LAW ENFORCEMENT AGENCIES**. Please fill in the number requested. If State law does not provide for tobacco retailer license/permit suspension or revocation, please mark “NA.”

PENALTY	OWNERS	CLERKS	TOTAL
Number of <u>citations issued</u>	194	194	388
Number of <u>finest assessed</u>	48		48
Number of <u>permits/licenses suspended</u>	0		0
Number of <u>permits/licenses revoked</u>	0		0
Other (Please describe.)  OATC conducted approximately 4,428 tobacco compliance checks from July 1, 2007 to June 30, 2008. As indicated above, approximately 388 citations were issued. These were a result of approximately 194 tobacco sales. Each time a merchant is found to be in violation of the law, a citation is issued to the store owner and the clerk who made the sale. OATC tracked and provided OAD with the disposition of owner violations that occurred during the FFY 2007 Annual Synar Report (ASR) and for OAD funded compliance checks through April 2008. During the timeframe of July 1, 2007 through April 31, 2008, the following dispositions were reported: The 48 fines assessed are those specific to store owners with the following amounts paid: 10 at \$50.00, 1 at \$125.00, 17 at \$150.00, 2 at \$200.00, 1 at \$225.00, 9 at \$250.00, 1 at \$275.00, 2 at \$300.00, 1 at \$350.00, 1 at \$425.00, 1 at \$500.00, and 1 at \$800.00. In addition, 71 merchants were issued Responsible Vendor Warnings, and 9 cases were still pending. Store owners are issued an administrative citation and store clerks are cited criminally. OATC handles all administrative violations and records are kept by case file at OATC. OAD has worked to ensure that administrative citations for the ASR will be tracked and their disposition reported. 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 that parish.			



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

- Merchant education and/or training
- Incentives for merchants who are in compliance (e.g., reward and reminder)
- 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.)* Contract with OATC (utilizing State General Funds) to support enforcement activities

*Briefly describe all checked activities:*

**Merchant education and/or training**

A Synar Contractor was funded in each of the 10 OAD 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. A total of 4,174 unconsummated compliance checks were conducted from July 1, 2007 to June 30, 2008 to include the following: 439 in Region 1; 383 in Region 2; 465 in Region 3; 417 in Region 4; 360 in Region 5; 558 in Region 6; 356 in Region 7; 415 in Region 8; 397 in Region 9; and 384 in Region 10.

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.

**Incentives for merchants who are in compliance (e.g., Reward and Reminder)**

During unconsummated compliance checks conducted by community coalitions, 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 are issued administrative and criminal citations. Those that are 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.

**(continued on next page)**

### **Community education regarding youth access laws**

The Office for Addictive Disorders is the single state authority for the treatment and prevention of substance abuse (NASADAD) as well as being the agency responsible for Synar implementation. OAD 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. All contractors were required to address the prevention of alcohol, tobacco, and other drugs (ATOD).

### **Media use to publicize compliance inspection results**

The Office for Addictive Disorders posted the results of the FFY 2008 Annual Synar Report on its website. A copy of the FFY 2008 Annual Synar Report can be viewed at: <http://www.dhh.louisiana.gov/offices/reports.asp?ID=23&Detail=542>

### **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 the FFY 1997. During FFY 2008, all ten (10) OAD Regional Synar Contractors hosted a minimum of one Regional Coalition Meeting once per quarter. During these coalition meetings, members received training and information about educating merchants and conducting unconsummated compliance checks as well as updates regarding the current rate of tobacco sales to minors in their respective regions.

### **Other Activities: Contract with OATC (utilizing State General Funds) to support enforcement activities**

The Office of Alcohol and Tobacco Control conducted 4,428 tobacco compliance checks from July 1, 2007 to June 30, 2008. Of these 4,428 compliance checks, the Office for Addictive Disorders (OAD) funded 2,400 random, unannounced compliance checks through a contractual agreement with OATC. 1,326 of these unannounced tobacco inspections were funded utilizing SAPT Block Grant Funds and 1,074 compliance checks were funded utilizing State General Funds. Finally, OATC funded 2,028 tobacco compliance checks. During FFY 2008, approximately 194 merchants were found to be in violation. Merchants found to be in violation of the law were issued citations. Merchants found to be in compliance were issued a certificate/letter of appreciation from the OATC's Commissioner.

- d. **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 5d, please describe the State's procedure for minimizing risk of bias to the survey results:*

Tobacco compliance checks are conducted on an on-going basis throughout the year. During FFY 2008, OATC conducted 4,428 compliance checks (2,400 checks were randomly selected). This total includes Synar and non-Synar checks. It is unlikely that merchants warn one another about the Synar checks because OATC conducts tobacco and alcohol compliance checks every month. All compliance checks (regardless if they are Synar or non-Synar) follow the same inspection protocol. Violations are issued to any merchant that is found to be non-compliant with the law. The non-compliance rate for ATC tobacco checks was 6%.

In addition, OATC conducts routine compliance checks of Alcohol Vendors following a comparable protocol. During FFY 2008, OATC conducted 4,120 alcohol compliance checks. The non-compliance rate for ATC alcohol checks was 7.7%.

Combined (tobacco + alcohol), OATC conducted 8,548 compliance checks, providing a year-round enforcement presence.

## 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 2008 (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.*

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, 4 and 5 along with the ASR submission and go to Question 8. If No, continue to Question 7b.*

- b. Report the weighted and unweighted Retailer Violation Rate (RVR) estimates, and the standard error.

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.

$$\underline{\hspace{2cm}} + (1.645 \times \underline{\hspace{2cm}}) = \underline{\hspace{2cm}}$$

RVR Estimate plus (1.645 times Standard Error) equals Right Limit

- c. Fill out Form 1 in Appendix A (Forms). (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) (Attach completed Form 2.)

Other (Please specify. Provide formulae 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 non-completion)	

<b>Eligible sample size</b> (number of outlets found to be eligible in the sample)	
<b>Final sample size</b> (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:** 2008

**b. Percent coverage from the latest frame coverage study:** 94.6%

**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:** 2010

**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.*

**a. Provide the inspection period: From** 07/13/08 **To** 08/29/08  
MM/DD/YY MM/DD/YY

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

26

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.

--

**c. Fill out and attach Form 5 in Appendix A (Forms 1–5).** *(Not required if the State used the Synar Survey Estimation System (SSES) to analyze the Synar survey data.)*

## SECTION II: FFY 2009 (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 the:

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 2009. 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.

#### **Law Enforcement Plans**

The Office of Alcohol and Tobacco Control will conduct 2,400 tobacco compliance checks (approximately 1,500 of which are Synar inspections for the Annual Report) through contractual agreement with the Office for Addictive Disorders. Outlets for all 2,400 tobacco compliance checks will be selected using stratified random sampling: 1,500 outlets will be selected using stratified random sampling for the Synar inspections during summer 2009, and the remaining 900 outlets will be selected using stratified random sampling for enforcement evenly distributed from November 2008 – June 2009. OATC has also committed to conduct an additional 2,400 compliance checks during FFY 2009 for a total of 4,800. Citations will be issued to those found in violation. Letters of appreciation will be mailed to those merchants that are found to be in compliance.

In addition, merchants must continue to register for tobacco permits and may lose the ability to sell tobacco products if they are found non-compliant with tobacco laws.

#### **Merchant Education Plans**

As a way to educate tobacco merchants, each of the 10 regions of the State will fund a Synar Contractor that will train and supervise youth volunteers to conduct unconsummated 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, these merchants will be provided Thank You and No Thank You cards, educational cards, and certificates as appropriate. These merchants will also be provided an educational packet including written materials, window decals, and stickers regarding the current laws and goals of the Synar Amendment.

### **Community Education Plans**

As the single state authority for the treatment and prevention of substance abuse, OAD will contract with at least 60 primary prevention providers. These contractors will provide services in the programmatic areas of Information Dissemination, Education, Alternative Activities, Problem Identification and Referral, Community-based Process and Environmental and will be required to address the prevention of alcohol, tobacco, and other drugs (ATOD).

### **Media Use**

The Office for Addictive Disorders will announce the results of the annual Synar Report at a press conference and a statewide press release. A copy of the report will be made available on the Office for Addictive Disorders' Web Page for public viewing.

### **Community Mobilization Plans**

During FFY 2009, each of the 10 Synar Contractors will participate and become active in Regional Tobacco Free Living (TFL) Coalition Meetings, serving as an expert in limiting youth access to tobacco products.

## Targeting Synar Strategies to High-risk Areas

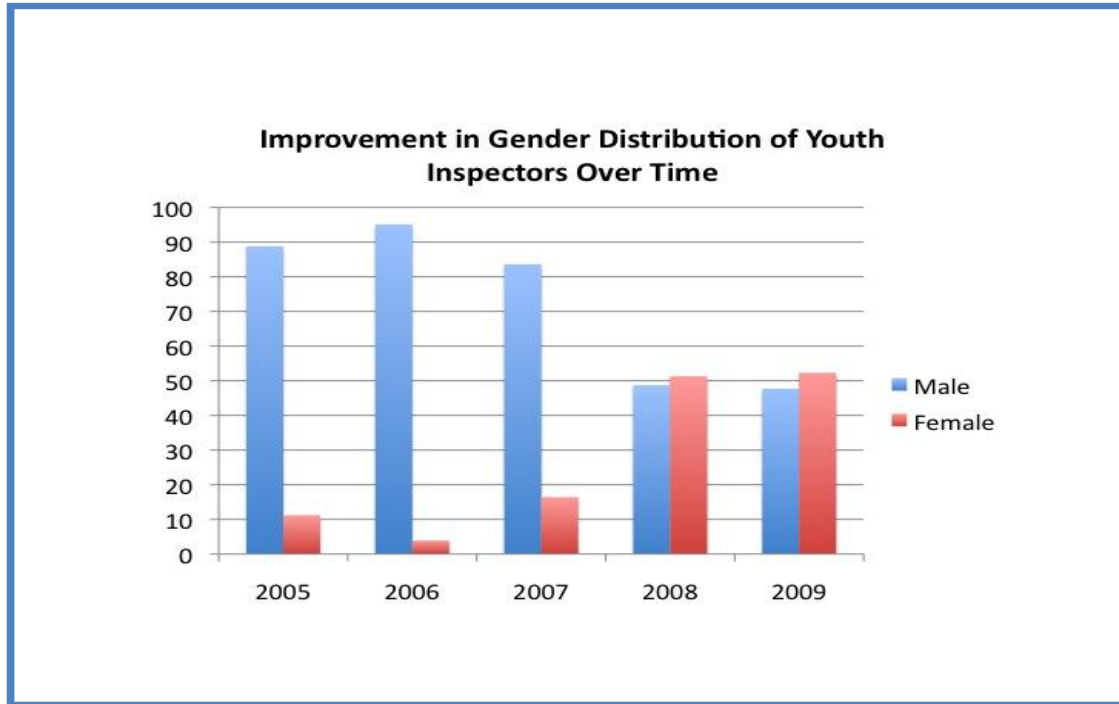
The Office of Alcohol and Tobacco Control has a limited number of agents to conduct compliance checks. The large rural population in Louisiana makes it logistically difficult for agents to conduct compliance checks in a timely manner. OATC is legally responsible for enforcing the tobacco and alcohol laws, but receives limited resources from the state to enforce these laws. Due to the limited number of OATC agents, and scarce resources, enforcement efforts are strained and often not adequate. Because the Office for Addictive Disorders is the Single State Authority held accountable for the Synar Regulation, OAD has had to dedicate funds to OATC to ensure that enforcement efforts are taking place. These funds are not always easily acquired. Therefore, it is critical to use the state's scarce economic resources wisely. Increasing merchant education and enforcement resources to high-risk regions whose non-compliance rate was higher than the state average of 7.1% should decrease the statewide non-compliance rate. The distribution of regional non-compliance rates is shown in the following chart.





## Reviewing Gender Issues in Inspection and Implications for Merchant Education

The State has now met Federal Synar requirements for gender balance in youth inspectors. Because of the predominance of male youth inspectors since the inception of Synar, merchants may not be as cautious checking the age of female youth. Merchant education materials will be reviewed to ensure that merchants receive social message to refuse sales to all youth, regardless of gender and race/ethnicity. The chart below illustrates the improvement in the gender distribution of youth inspectors over time.



**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

- 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 TA related to each relevant challenge.*

**Limited resources for law enforcement of youth access laws**

The Office of Alcohol and Tobacco Control has a limited number of agents (32 total) to conduct compliance checks. The large rural populations make it logistically difficult for agents to conduct compliance checks in a timely manner. OATC is legally responsible for enforcing the tobacco and alcohol laws, but receives limited resources from the state to enforce these laws. Due to the limited number of OATC agents and scarce resources enforcement efforts are strained and not adequate. Because the Office for Addictive Disorders as the Single State Authority is held accountable for the Synar Regulation, OAD has had to dedicate funds to OATC to ensure that enforcement efforts are taking place. These funds are not always easily acquired.

**Geographic, demographic, and logistical considerations in conducting inspections:  
Youth Inspector Gender**

Although the State was able to increase the gender balance of operatives conducting compliance checks, the gender balance will continue to be a performance monitoring criterion tied to invoicing and payment in the contract between OAD and OATC.

**SSES Table 1 (Synar Survey Estimates and Sample Sizes)**

**CSAP-SYNAR REPORT**

State	Louisiana
Federal Fiscal Year (FFY)	2009
Date	12/15/08 13:45
Data	6b final sses file 2009 with all corrections revised 12.15.08.xlsx
Analysis Option	Stratified SRS with FPC

**Estimates**

Unweighted Retailer Violation Rate	7.1%
Weighted Retailer Violation Rate	7.1%
Standard Error	0.6%
Is SAMHSA Precision Requirement met?	YES
Right-sided 95% Confidence Interval	[0.0%, 8.0%]
Two-sided 95% Confidence Interval	[6.0%, 8.2%]
Design Effect	1.0
Accuracy Rate (unweighted)	81.9%
Accuracy Rate (weighted)	81.9%
Completion Rate (unweighted)	99.6%

**Sample Size for Current Year**

Effective Sample Size	1,362
Target (Minimum) Sample Size	1,755
Original Sample Size	1,755
Eligible Sample Size	1,437
Final Sample Size	1,431
Overall Sampling Rate	31.7%

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

STATE: Louisiana

FFY: 2009

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(%)
<b>All Outlets</b>											
1	1	663	496	N/A	N/A	211	158	158	24	15.2%	
10	10	544	390	N/A	N/A	173	124	124	3	2.4%	
2	2	648	579	N/A	N/A	206	184	184	10	5.4%	
3	3	602	457	N/A	N/A	192	146	145	20	13.8%	
4	4	608	533	N/A	N/A	194	170	169	14	8.3%	
5	5	373	326	N/A	N/A	119	104	103	14	13.6%	
6	6	205	176	N/A	N/A	65	56	55	2	3.6%	
7	7	706	593	N/A	N/A	225	189	188	6	3.2%	
8	8	491	422	N/A	N/A	156	134	134	4	3.0%	
9	9	671	539	N/A	N/A	214	172	171	5	2.9%	
Total		5,511	4,511			1,755	1,437	1,431	102	7.1%	0.6%
<b>Over the Counter Outlets</b>											
1	1	663	471	N/A	N/A	150	150	150	22	14.7%	
10	10	544	365	N/A	N/A	116	116	116	3	2.6%	
2	2	648	579	N/A	N/A	184	184	184	10	5.4%	
3	3	602	448	N/A	N/A	142	142	142	20	14.1%	
4	4	608	530	N/A	N/A	168	168	168	13	7.7%	
5	5	373	326	N/A	N/A	103	103	103	14	13.6%	
6	6	205	173	N/A	N/A	54	54	54	2	3.7%	
7	7	706	593	N/A	N/A	188	188	188	6	3.2%	
8	8	491	422	N/A	N/A	134	134	134	4	3.0%	
9	9	671	539	N/A	N/A	171	171	171	5	2.9%	
Total		5,511	4,446			1,410	1,410	1,410	99	7.0%	0.6%
<b>Vending Machines</b>											
1	1	0	25	N/A	N/A	8	8	8	2	25.0%	
10	10	0	25	N/A	N/A	8	8	8	0	0.0%	
2	2	0	0	N/A	N/A	0	0	0	0	0.0%	
3	3	0	9	N/A	N/A	3	3	3	0	0.0%	
4	4	0	3	N/A	N/A	1	1	1	1	100.0%	
5	5	0	0	N/A	N/A	0	0	0	0	0.0%	
6	6	0	3	N/A	N/A	1	1	1	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	65			21	21	21	3	14.3%	6.3%

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:  
Louisiana  
FFY:  
2009

Disposition Code	Description	Count
EC	Eligible and inspection complete outlet	1431
Total (Eligible Completes)		
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	1
N7	Tobacco out of stock	0
N8	Run out of time	0
N9	Other noncompletion	0
Total (Eligible Noncompletes)		
I1	Out of Business	66
I2	Does not sell tobacco products	13
I3	Inaccessible by youth	208
I4	Private club or private residence	4
I5	Temporary closure	18
I6	Unlocatable	1
I7	Wholesale only/Carton sale only	4
I8	Vending machine broken	1
I9	Duplicate	0
I10	Other ineligibility (see below)	3
Total (Ineligibles)		
Grand Total		

**Give reasons and counts for other ineligibility:**

Reason	Count
Commissary - Correctional facility	1
Doerle Food Services - Do not sell to walk-in customers; only provides service to off-shore companies	1
Double J Gulf Services - Not open to public; only provides services to off-shore companies	1

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

STATE: Louisiana  
 FFY:  
 2009

**Frequency Distribution**

Gender	Age	Number of Inspectors	Attempted Buys	Successful Buys
Male	14	0	0	0
	15	4	202	6
	16	7	480	42
	17	0	0	0
	18	0	0	0
	Subtotal	11	682	48
Female	14	0	0	0
	15	7	347	27
	16	8	402	27
	17	0	0	0
	18	0	0	0
	Subtotal	15	749	54
Other		0	0	0
Grand Total		26	1431	102

**Buy Rate in Percent by Age and Gender**

Age	Male	Female	Total
14	0.0%	0.0%	0.0%
15	3.0%	7.8%	6.0%
16	8.8%	6.7%	7.8%
17	0.0%	0.0%	0.0%
18	0.0%	0.0%	0.0%
Other			0.0%
Total	7.0%	7.2%	7.1%

## APPENDIX B: SYNAR SURVEY SAMPLING METHODOLOGY

State: Louisiana  
 FFY: 2009

**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
- 2 – Local commercial business list
- 3 – Statewide tobacco license/permit list
- 4 – Statewide retail license/permit list
- 5 – Statewide liquor 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	ATC continuously removes non-renewed permits from the list and updates the list with new permits
InfoUSA; Hoovers; SLGN Directory Lists	1	Used to remove ineligible outlets from the list prior to sampling. Ineligible outlets include bars, taverns, night clubs, adult clubs, private clubs, correctional centers, and sheriff's offices	The InfoUSA database contains over 10 million records covering all industries in US. It is compiled from over 5,000 sources & further verified by 20 million telephone verification calls annually. Data is updated monthly. The subset of the database on bars, taverns, night clubs, adult clubs, private clubs, correctional centers, and sheriff's offices for Louisiana is used to identify ineligible outlets on the state tobacco list. Hoovers Custom Build a List of Companies and SLGN Directory Lists for Louisiana are used to remove additional outlets not identified by InfoUSA.

**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 they are not included in the Synar survey.

- State law bans vending machines  
 State law bans vending machines from locations accessible to youth  
 State has SAMHSA approval to exempt vending machines from the survey  
 Other (Please describe.) \_\_\_\_\_

**NOTE:** 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 State-wide sample:**

- Simple random sample (Go to Question 9.)  
 Systematic random sample (Go to Question 6.)  
 Single-stage cluster sample (Go to Question 8.)  
 Multi-stage 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.)  
 Multi-stage 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 10 geographic regions. These 10 administrative regions comprise the strata.

**Special note:** The major change to sampling methodology occurred prior to the FFY 2004 inspections as a result of a policy change at the Office of Alcohol and Tobacco Control. In prior years, youth access to age-restricted tobacco outlets<sup>2</sup> such as bars, lounges, and gaming establishments, was tested by the youth operative entering the outlet and the agents determining whether the youth's age was checked by the bartender or other employee, and the youth then asked to leave. Age-restricted outlets that did not check the age of the youth and allowed the youth to stay were considered non-compliant, per CSAP guidance, and included in calculating the state non-compliance rate. In June 2003, the Office of Alcohol and Tobacco Control responded to agent and supervisor ethical concerns about exposing youth operatives to age-restricted outlets, and formulated a policy that limits the testing of youth access to age-restricted outlets to only those outlets with a doorman present at the time of inspection. This policy has narrowed the definition of outlet eligibility in the sampling frame; in the past two surveys age-restricted outlets that do not have doorman at the time of inspection were considered ineligible.

In addition, starting in FFY 2005, a commercial business list was used to remove bars, taverns, night clubs, adult clubs, private clubs, correctional centers, and sheriff's offices from the state tobacco license list, in order to reduce the

**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 multi-stage 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 formulae for determining the effective, target, and original outlet sample sizes.**

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

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

where  $n_e$  is the minimum effective sample size,  $e$  is the margin of error set at .01,  $Z$  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 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 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.

## APPENDIX C: SYNAR SURVEY INSPECTION PROTOCOL

State: Louisiana  
FFY: 2009

*Note: Attach a copy of the inspection form and protocol used to record the inspection result.*

### 1. How does the State Synar survey protocol address the following?

#### a. Consummated buy attempts?

- Required  Not Permitted  
 Permitted under specified circumstances  Not specified in protocol

#### b. Youth inspectors to carry ID?

- Required  Not Permitted  
 Permitted under specified circumstances  Not specified in protocol

#### c. Adult inspectors to enter the outlet?

- Required  Not Permitted  
 Permitted under specified circumstances  Not specified in protocol

#### d. Youth inspectors to be compensated?

- Required  Not Permitted  
 Permitted under specified circumstances  Not specified in protocol

### 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 Office of Alcohol and Tobacco

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

- Always  Usually  Sometimes  Rarely  Never

4. 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 15-16 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 can be paid or volunteer their time; those that choose to be paid are compensated at a rate of \$10.00 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. Guidelines for underage operatives conducting tobacco compliance checks are shown in Figure 14.

Figure 14  
Guidelines for Youth Operatives

**Youth Operatives**

- Must not be deceptively mature in appearance, or disguise or alter appearance.
- Must carry valid identification and state correct age if asked.
- Must avoid speaking to anyone except the employee at each location.
- Minors under the age of 18 must have a signed letter of approval from a parent/guardian.
- Operatives can be paid or volunteer their time.
- Two photos must be taken of the operative the day of the investigation; one full face, and one head to toe.

**Protocol Guidelines**

- Enter the location after the agent.
- Request the pre-determined tobacco product.
- Pay for tobacco product (get a receipt if possible)
- If asked for ID, show legal identification.
- If asked your age, respond with correct age.
- Maintain possession of the tobacco product until an agent can take possession of it.

**Legal Requirements.** Youth Operatives are required to be truthful. Compliance checks are conducted by law enforcement personnel as law enforcement undercover operations. OATC follows laws pertaining to undercover operations and regulations such as work laws and times. The youth operatives are cooperating individuals immune to prosecution due to the nature of the agreement with law enforcement. 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.

**Synar Compliance Agent Training.** 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. Synar Compliance Training builds on the existing OATC procedures for compliance inspections with a separate training session for all OATC supervisors one week prior to the Synar Survey. Additional training is warranted in order to ensure that Synar Survey methods and procedures are implemented by OATC officers with fidelity and uniformity. For the Annual Synar Report, a half-day training is held. The training included the following topics:

- Success of Synar Program in Louisiana
- Continuing Challenges
- Defining Retailer Violation Rate
- Selecting the Sample
- Collecting the Data
- Monitoring the Data
- Practice Discussion

**5. 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.)*

The issue of youth inspectors' immunity when conducting inspections is the same as other law enforcement efforts. The youth inspectors (operatives) are immune if inspections are done in the scope of the operations.

- b. Procedural**     **Yes**    **No** *(If Yes, please describe.)*

OATC Policy outlines what can and cannot be done by operatives. The specific guidelines/requirements for underage operatives as well as protocols for conducting compliance checks is outlined in the response to the previous question.

**6. 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 two (2) adult agents 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).

7. 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 has been formulated using the State's legal guidelines established for law enforcement agencies.

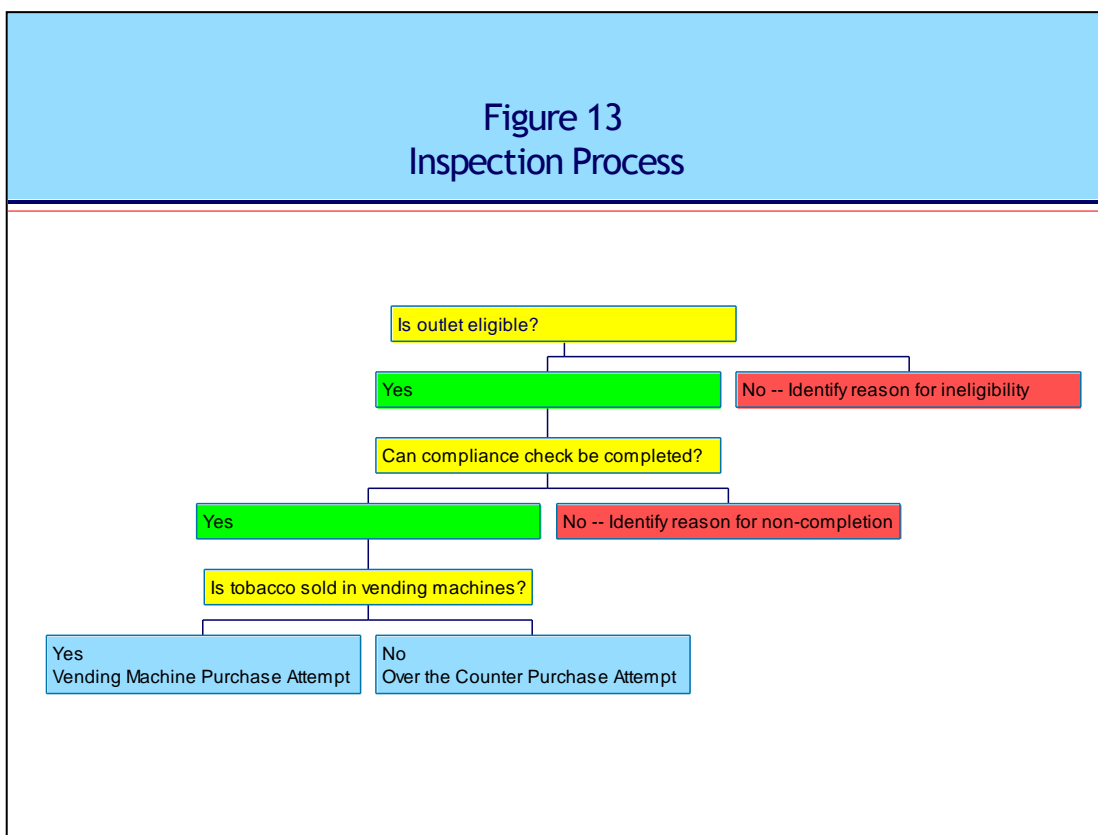
***NOTE: Details about the Inspection Methodology, Database Entry Form, Data Collection Procedures, and Monitoring Procedures follow.***

***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, including all outlets selling tobacco products not accessible to youth (except for adult clubs). Two commissioned OATC agents 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. Youth are required to carry valid identification with them and 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 were successful, the agents issued 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 Addictive Disorders for verification and analysis. Figure 13 provides details about the inspection process.

Figure 13  
Inspection Process



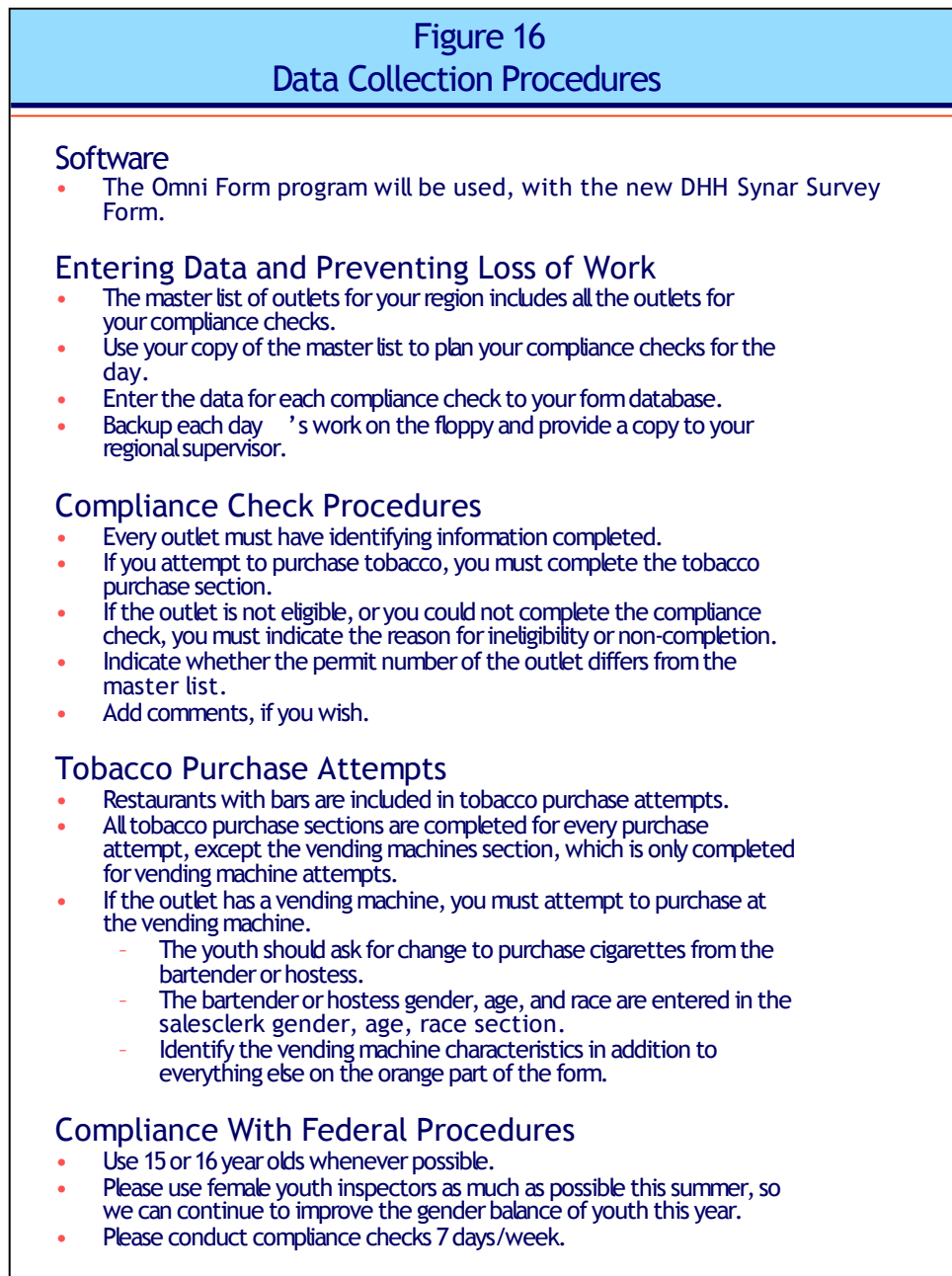
***Developing Database Entry Form.*** Prior to the FFY 2004 survey, the feasibility of laptop data entry of the sampled outlets was explored, initially with OATC staff officers, and then through a focus group with the regional supervisors. The two major reasons for moving to electronic data entry were 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 was used for FFY 2006 and FFY 2007. The database entry form is shown in Figure 15.

Figure 15  
Data Collection Form

		8549 United Plaza Blvd, Suite 220 Baton Rouge, LA 70809			
Compliance Check Program Tobacco Retail Survey Form		<b>DHH TOBACCO CHECKS</b>			
Date: <input type="text"/> / <input type="text"/> / <input type="text"/>		Parish: <input type="text"/>		Permit Number: <input type="text"/>	
Retailer Name: <input type="text"/>			Location Address (street, city, state, & zip code): <input type="text"/>		
Type of Retailer: <input type="checkbox"/> Convenience Store with gas <input type="checkbox"/> Convenience Store without gas <input type="checkbox"/> Gas Station Only <input type="checkbox"/> Hotel/Motel <input type="checkbox"/> Bar/Tavern <input type="checkbox"/> Small Grocery Store (family owned) <input type="checkbox"/> Small Drug Store/Pharmacy (independent) <input type="checkbox"/> Liquor Store <input type="checkbox"/> Fast Food Store <input type="checkbox"/> Restaurant <input type="checkbox"/> Chain Supermarket (Walmart, etc.) <input type="checkbox"/> Chain Drug Store/Pharmacy (Walgreens, etc.) <input type="checkbox"/> Bowling Alley/Recreation Facility/Marina <input type="checkbox"/> Franchise Discount Store (Dollar Tree) <input type="checkbox"/> Tobacco Discount Retail Store <input type="checkbox"/> Restaurant/Bar <input type="checkbox"/> Other					
Time of Attempt (Military Time): <input type="text"/> : <input type="text"/> HOUR		Disposition: <input type="checkbox"/> Sale <input type="checkbox"/> Other (Specify Other): <input type="text"/> <input type="checkbox"/> EO-Bottle & Inspection complete <input type="checkbox"/> No Sale			
Was Age Asked? <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A		Asked For ID? <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A		Type of tobacco purchased or attempted:	
				<input type="checkbox"/> Cigarettes <input type="checkbox"/> Smokeless tobacco <input type="checkbox"/> Cigar <input type="checkbox"/> Cigar pack <input type="checkbox"/> N/A	
Name of Item Purchased: <input type="text"/>				Price of Item: <input type="text"/>	
Outlet sells tobacco: <input type="checkbox"/> Over the counter, assisted by clerk <input type="checkbox"/> Not Applicable <input type="checkbox"/> Over the counter, self serve <input type="checkbox"/> Vending Machine (attempt purchase)			Type of purchase or attempt: <input type="checkbox"/> Over the counter, assisted by clerk <input type="checkbox"/> Not Applicable <input type="checkbox"/> Over the counter, self serve <input type="checkbox"/> Vending Machine		
Salesclerk Information:					
Race: <input type="checkbox"/> African-American <input type="checkbox"/> Asian <input type="checkbox"/> Caucasian <input type="checkbox"/> Hispanic <input type="checkbox"/> Middle-Eastern <input type="checkbox"/> Other <input type="checkbox"/> N/A Age: <input type="checkbox"/> Under 30 <input type="checkbox"/> 30 and Older                 Gender: <input type="checkbox"/> Female <input type="checkbox"/> Male					
Operative Information:					
Race: <input type="checkbox"/> African-American <input type="checkbox"/> Asian <input type="checkbox"/> Caucasian <input type="checkbox"/> Hispanic <input type="checkbox"/> Middle-Eastern <input type="checkbox"/> Other Age: <input type="checkbox"/> 15 <input type="checkbox"/> 16 <input type="checkbox"/> <input type="text"/> Gender: <input type="checkbox"/> Female <input type="checkbox"/> Male					
Store observation (circle "Yes," "No," or "N/A"):			Vending Machine (circle "Yes," "No," or "N/A"):		
Warning signs posted? Yes No N/A			Have locking device? Yes No N/A		
Vending machines present? Yes No N/A			Require special tokens? Yes No N/A		
Single cigarettes for sale? Yes No N/A			in view of an adult? Yes No N/A		
Operative ID Number: <input type="text"/>		Ranking Agent Badge Number: <input type="text"/>		Agent Badge Number: <input type="text"/>	
Administrative Citation #: <input type="text"/>		Issuing Agent #: <input type="text"/>		Misdemeanor Summons #: <input type="text"/>	
				Issuing Agent #: <input type="text"/>	
RVP Card# or Time Employed by Permittee (if applicable): <input type="text"/>			Seller/Suspect Name (if applicable): <input type="text"/>		
Region Supervisor: <input type="text"/>				Contact Phone Number: ( <input type="text"/> ) <input type="text"/>	
Comment(s): <input type="text"/>					
<input type="text"/>					
<input type="text"/>					



**Data Collection Procedures.** Information about software, process of entering data, compliance check procedures, tobacco purchase attempts, and compliance with Federal procedures is included in Figure 16.



**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.

**Special note:** As indicated in the Sampling Methodology (Appendix B), a major change occurred prior to the FFY 2004 inspections as a result of a policy change at the Office of Alcohol and Tobacco Control. This change also impacted the inspection protocol as related to those outlets that operatives are allowed to test access. In prior years, youth access to age-restricted tobacco outlets<sup>2</sup> such as bars, lounges, and gaming establishments, was tested by the youth operative entering the outlet and the agents determining whether the youth's age was checked by the bartender or other employee, and the youth then asked to leave. Age-restricted outlets that did not check the age of the youth and allowed the youth to stay were considered non-compliant, per CSAP guidance, and included in calculating the state non-compliance rate. In June 2003, the Office of Alcohol and Tobacco Control responded to agent and supervisor ethical concerns about exposing youth operatives to age-restricted outlets, and formulated a policy that limits the testing of youth access to age-restricted outlets to only those outlets with a doorman present at the time of inspection. This policy has narrowed the definition of outlet eligibility in the sampling frame; in the past two surveys age-restricted outlets that do not have a doorman at the time of inspection were considered ineligible.

In addition, starting in FFY 2005, a commercial business list was used to remove bars, taverns, night clubs, adult clubs, private clubs, correctional centers, and sheriff's offices from the state tobacco license list, in order to reduce the percentage of ineligible outlets of which include outlets where operatives are not allowed to test access.

## APPENDIX D: LIST SAMPLING FRAME COVERAGE STUDY

(LIST FRAME ONLY)

State: Louisiana

FFY: 2009

1. Calendar year of the coverage study: 2008

2. Percent coverage found: 94.6%

(Provide calculation of the percent coverage.)

$$\% \text{ Coverage} = 100 \times (1 - b/(n-a+b))$$
*where a=the number of ineligible outlets on the frame file, n=sample size, and  
b=number of outlets from the field study not included in the frame*

3. Provide a description of the coverage study methods and results.

Five geographic areas across the state were selected for the survey: (1) Baton Rouge and (2) Hammond were selected in order to use the same two areas surveyed in the first coverage study (Harris, 1999). In 2003, three additional areas were surveyed to provide a more accurate representation of the state Tobacco License List: (3) New Orleans, (4) Alexandria, and (5) Lake Charles. All five areas were included in the current coverage study. The selected areas are shown below.



This study uses a cross-sectional design to survey outlets in five geographic regions of the state. For each geographic region, a retail area was selected, and all outlets in the area were visited to identify whether the outlet sold tobacco products. Each retail area was estimated to have approximately 20 tobacco outlets.

A field survey form was used to document the outlet name, address, and whether or not the outlet sold tobacco products. The survey form was developed for a gps-enabled pda, allowing efficient field entry.

Following the fieldwork, data was entered and verified, and then merged with the state Tobacco License List to identify outlets on the list that were and were not selling tobacco products, according to field survey results. Outlets selling tobacco products that were not on the list were also identified.

The accuracy rate for the state is 86.5%, ranging from 65.5% in Alexandria to 94.1% in Baton Rouge. The coverage rate for the state is 94.6%, ranging from 79.2% in Alexandria to 100% in New Orleans and Lake Charles. The regional statistics and state rates are shown below.

	baton rouge	hammond	new orleans	alexandria	lake charles	overall 2008
n	51	32	34	29	17	163
a	3	3	4	10	2	22
b	1	2	0	5	0	8
accuracy	94.1	90.6	88.2	65.5	88.2	86.5
coverage	98.0	93.5	100.0	79.2	100.0	94.6