

ANNUAL SYNAR REPORT

42 U.S.C. 300x-26

OMB № 0930-0222

FFY 2010

State: Louisiana

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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 2009 Compliance Progress) and future plans to ensure compliance with the Synar requirements to reduce youth tobacco access rates (FFY 2010 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 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.

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) 276-2413 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 2010 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, 2009. 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 ASR using the online WebBGAS (Block Grant Application System). In addition, the following items must be uploaded to WebBGAS:

- FFY 2010 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.

Each State SSA Director has been e-mailed 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:

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 2010: 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 2010 is up-to-date and approved by the Center for Substance Abuse Prevention.

SYNAR SURVEY INSPECTION PROTOCOL

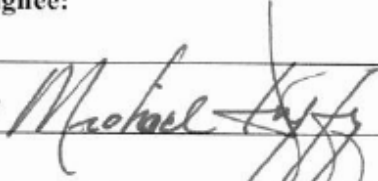
The State certifies that the Synar Survey Inspection Protocol on file with the Center for Substance Abuse Prevention and submitted with the Annual Synar Report for FFY 2010 is up-to-date and approved by the Center for Substance Abuse Prevention.

State: Louisiana

Name of Chief Executive Officer or Designee: Michael Duffy

Signature of CEO or Designee:

Title: Assistant Secretary



Date Signed:

11/19/09

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

SECTION I: FFY 2009 (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 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>
- ☐ 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 _____

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 _____

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, Bureau of Primary Care and Rural Health, Disease Prevention and Control Unit, Tobacco Control Program

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

☒ Yes ☐ No

Note: The program, staff, and purpose remains in the LA Department of Health and Hospitals, but has been moved from the Office of Public Health to the Bureau of Primary Care and Rural Health.

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 2009 (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 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>	153	153	306
Number of <u>finest assessed</u>	69	UNK	69
Number of <u>permits/licenses suspended</u>	0		0
Number of <u>permits/licenses revoked</u>	0		0
<p>Other (<i>Please describe.</i>)</p> <p>OATC conducted 3,576 compliance checks from July 1, 2008 to June 30, 2009. As indicated above, 306 citations were issued. These were a result of 153 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. Store owners are issued an administrative citation and store clerks are cited criminally. OATC handles all administrative violations for store owners and records are kept by case file at OATC.</p> <p>Criminal citations for clerks 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.</p> <p>OATC tracked and provided OAD with the disposition of owner violations that occurred during the FFY 2009 Annual Synar Report (ASR) and for OAD funded compliance checks. During the timeframe of July 1, 2008 through June 30, 2009, there were 69 fines assessed to store owners as follows:</p> <ul style="list-style-type: none"> ○ 17 at \$50.00, ○ 2 at \$100.00, ○ 1 at \$125.00, ○ 24 at \$150.00, ○ 4 at \$200.00, ○ 4 at \$225.00, ○ 7 at \$250.00, ○ 2 at \$275.00, ○ 2 at \$300.00, ○ 1 at \$350.00, ○ 1 at \$425.00, ○ 1 at \$450.00, ○ 2 at \$575.00, ○ 1 at \$800.00. <p>In addition, 74 merchants were issued Responsible Vendor Warnings, and 9 cases are still pending.</p>			

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 5,136 unconsummated compliance checks were conducted from July 1, 2008 to June 30, 2009 to include the following:

- 584 in Region 1
- 598 in Region 2
- 553 in Region 3
- 612 in Region 4
- 407 in Region 5
- 400 in Region 6
- 500 in Region 7
- 400 in Region 8
- 620 in Region 9
- 462 in Region 10

Of the unconsummated compliance checks completed, 88% were unwilling to sell and 12% 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.

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 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.

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 2009 Annual Synar Report can be viewed at:

<http://www.dhh.louisiana.gov/offices/reports.asp?ID=23>

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 2009, all ten (10) OAD Regional Synar Contractors participated and became active in Regional Tobacco Free Living (TFL) Coalition Meetings, serving as an expert in limiting youth access to tobacco products.

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

The Office of Alcohol and Tobacco Control conducted 3,576 tobacco compliance checks from July 1, 2008 to June 30, 2009. Of these 3,576 compliance checks, the Office for Addictive Disorders (OAD) funded 2,400 random, unannounced compliance checks through a contractual agreement with OATC. 1,755 of these unannounced tobacco inspections were funded utilizing SAPT Block Grant Funds and 645 compliance checks were funded utilizing State General Funds. Finally, OATC funded 1,176 tobacco compliance checks. During FFY 2009, approximately 200 of the 3,576 merchants where a compliance check was conducted 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 from retailers alerting each other to the presence of the survey teams:

Tobacco compliance checks are conducted on an on-going basis throughout the year. During FFY 2009, OATC conducted 3,576 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.

In addition, OATC conducts routine compliance checks of Alcohol Vendors following a comparable protocol. During FFY 2009, OATC conducted 4,539 alcohol compliance checks.

Combined (tobacco + alcohol), OATC conducted 8,815 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 2009 (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, 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, 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.

_____	+	(1.645	×	_____)	=	_____
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.)

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- 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.

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- 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.

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- 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)	
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: 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 07/21/09 To 08/29/09
MM/DD/YY MM/DD/YY

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

37

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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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 2010 (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 2010. 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: Approximately 1,600 outlets will be selected using stratified random sampling for the Synar inspections during summer 2010, and the remaining 800 outlets will be selected using stratified random sampling for enforcement evenly distributed from November 2009 – June 2010. OATC has also committed to conduct an additional 2,400 compliance checks during FFY 2010 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.

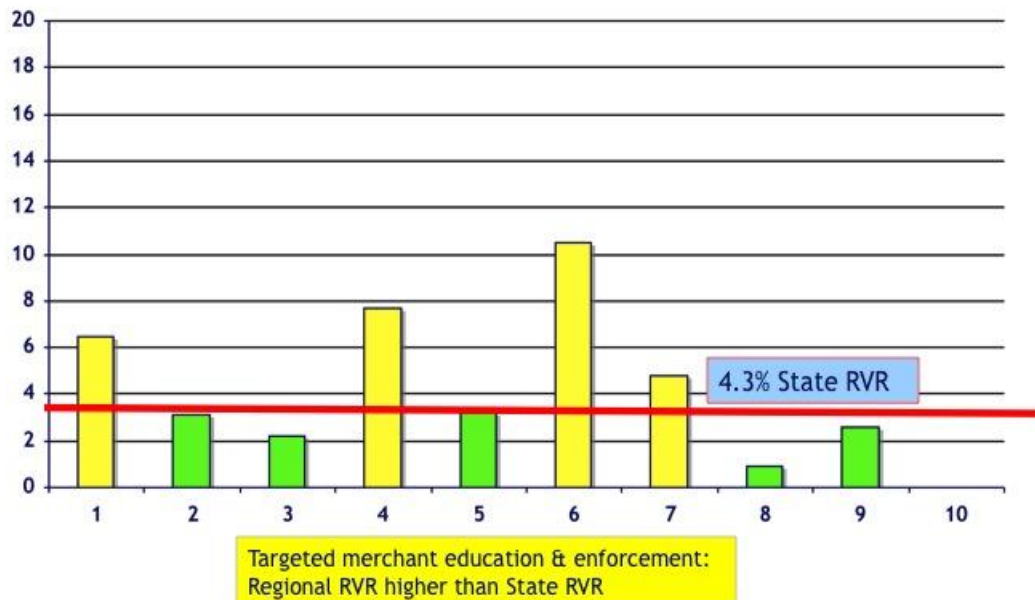
Merchant Education Plans

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.

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 4.3% should decrease the statewide non-compliance rate. The distribution of regional non-compliance rates is shown in the following chart.

Region RVR Summer 2009



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 personnel. OATC has a total of 78 personnel; 50 are commissioned law enforcement agents including Administrative Staff, enforcement personnel assigned to training and support duties, and the financial investigators within the special investigations division. There are 40 OATC agents including the region supervisors (Captains) assigned to field enforcement within the regions. These 40 agents are responsible for conducting 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)	2010
Date	11/24/09 0:05
Data	asrfy10.xlsx
Analysis Option	Stratified SRS with FPC

Estimates

Unweighted Retailer Violation Rate	4.3%
Weighted Retailer Violation Rate	4.3%
Standard Error	0.4%
Is SAMHSA Precision Requirement met?	YES
Right-sided 95% Confidence Interval	[0.0%, 5.0%]
Two-sided 95% Confidence Interval	[3.4%, 5.1%]
Design Effect	1.0
Accuracy Rate (unweighted)	86.7%
Accuracy Rate (weighted)	86.7%
Completion Rate (unweighted)	99.4%

Sample Size for Current Year

Effective Sample Size	1,378
Target (Minimum) Sample Size	1,378
Original Sample Size	1,690
Eligible Sample Size	1,465
Final Sample Size	1,456
Overall Sampling Rate	27.8%

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

STATE: Louisiana

FFY: 2010

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	726	554	N/A	N/A	203	155	155	10	6.5%	
10	10	517	453	N/A	N/A	144	126	126	0	0.0%	
2	2	809	709	N/A	N/A	226	198	194	6	3.1%	
3	3	538	488	N/A	N/A	150	136	136	3	2.2%	
4	4	875	764	N/A	N/A	244	213	209	16	7.7%	
5	5	375	336	N/A	N/A	105	94	93	3	3.2%	
6	6	439	375	N/A	N/A	123	105	105	11	10.5%	
7	7	683	597	N/A	N/A	191	167	167	8	4.8%	
8	8	479	415	N/A	N/A	134	116	116	1	0.9%	
9	9	610	556	N/A	N/A	170	155	155	4	2.6%	
Total		6,051	5,247			1,690	1,465	1,456	62	4.3%	0.4%
Over the Counter Outlets											
1	1	726	547	N/A	N/A	153	153	153	10	6.5%	
10	10	517	449	N/A	N/A	125	125	125	0	0.0%	
2	2	809	709	N/A	N/A	194	194	194	6	3.1%	
3	3	538	488	N/A	N/A	136	136	136	3	2.2%	
4	4	875	764	N/A	N/A	209	209	209	16	7.7%	
5	5	375	336	N/A	N/A	93	93	93	3	3.2%	
6	6	439	375	N/A	N/A	105	105	105	11	10.5%	
7	7	683	597	N/A	N/A	167	167	167	8	4.8%	
8	8	479	415	N/A	N/A	116	116	116	1	0.9%	
9	9	610	556	N/A	N/A	155	155	155	4	2.6%	
Total		6,051	5,236			1,453	1,453	1,453	62	4.3%	0.4%
Vending Machines											
1	1	0	7	N/A	N/A	2	2	2	0	0.0%	
10	10	0	4	N/A	N/A	1	1	1	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	11			3	3	3	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: Louisiana
FFY:
2010

Disposition Code	Description	Count	Subtotal
EC	Eligible and inspection complete outlet	1456	
Total (Eligible Completes)			1456
N1	In operation but closed at time of visit	7	
N2	Unsafe to access	2	
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	0	
Total (Eligible Noncompletes)			9
I1	Out of Business	72	
I2	Does not sell tobacco products	26	
I3	Inaccessible by youth	101	
I4	Private club or private residence	6	
I5	Temporary closure	20	
I6	Can't be located	0	
I7	Wholesale only/Carton sale only	0	
I8	Vending machine broken	0	
I9	Duplicate	0	
I10	Other ineligibility	0	
Total (Ineligibles)			225
Grand Total			1690

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

STATE:
Louisiana
FFY: 2010

Frequency Distribution

Gender	Age	Number of Inspectors	Attempted Buys	Successful Buys
Male	14	0	0	0
	15	12	412	13
	16	8	322	10
	17	0	0	0
	18	0	0	0
	Subtotal	20	734	23
Female	14	0	0	0
	15	9	360	23
	16	8	362	16
	17	0	0	0
	18	0	0	0
	Subtotal	17	722	39
Other		0	0	0
Grand Total		37	1456	62

Buy Rate in Percent by Age and Gender

Age	Male	Female	Total
14	0.0%	0.0%	0.0%
15	3.2%	6.4%	4.7%
16	3.1%	4.4%	3.8%
17	0.0%	0.0%	0.0%
18	0.0%	0.0%	0.0%
Other			0.0%
Total	3.1%	5.4%	4.3%

STATE: Louisiana
FFY: 2010

SYNAR SURVEY SAMPLING METHODOLOGY

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	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): _____

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 ten 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 outlets² 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 percentage of ineligible outlets.

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:

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

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.

Objective

Select sample of outlets for the Annual Synar Survey FY10 from the Louisiana Tobacco License List

Procedures

1. Description of file received Friday 10 July 2009 from Louis Thompson, ATC.

- ATC Roster
- Filtered by credential definition (T-C: Tobacco Retail Certificate; T-P: Tobacco Retail Dealer Permit)
- Filtered by credential status (Current, current-in renewal, current-print license)
- Created by ATC 9 July 2009 at 7:18:23 AM
- Variables = permit number, permit type, trade name, trade company, trade address, trade city, trade state, trade zip, trade parish, owner name, owner company, owner address, owner city, owner state, owner zip, owner parish
- 7739 outlets

2. Import to SPSS and confirm number of outlets.

- Confirmed 7739 outlets

3. Save subset of variables needed for sampling frame.

- Credential number
- Trade name
- Trade address
- Trade city
- Trade state
- Trade zip
- Trade county

4. Aggregate file by credential number to remove duplicates.

```

DATASET ACTIVATE DataSet1.
DATASET DECLARE aggregatetobacco.
SORT CASES BY PermitNumber.
AGGREGATE
  /OUTFILE='aggregatetobacco'
  /PRESORTED
  /BREAK=PermitNumber
  /TradeName_first=FIRST(TradeName)
  /TradeAddress_first=FIRST(TradeAddress)
  /TradeCity_first=FIRST(TradeCity)
  /TradeState_first=FIRST(TradeState)
  /TradeZip_first=FIRST(TradeZip)
  /TradeParish_first=FIRST(TradeParish)

```

5. Log number of unique outlets.

Duplicates					
		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	1	6972	94.8	94.8	94.8
	2	379	5.2	5.2	100.0
	3	3	.0	.0	100.0
Total		7354	100.0	100.0	

6. Select business list from InfoUSA that identifies bars, adult clubs, gambling outlets, private clubs, and wholesale clubs in Louisiana.

- SIC CODE : 531110
- SIC CODE : 581301
- SIC CODE : 581302
- SIC CODE : 581303
- SIC CODE : 581304
- SIC CODE : 581305
- SIC CODE : 581306
- SIC CODE : 794801
- SIC CODE : 799302
- SIC CODE : 799702
- SIC CODE : 799703
- SIC CODE : 799704
- SIC CODE : 799706
- SIC CODE : 799709
- SIC CODE : 799715
- SIC CODE : 799912
- SIC CODE : 799999
- SIC CODE : 864108

7. Review primary, secondary, and tertiary SIC codes for each business to identify eligible outlets (i.e., restaurants with bars)

Outlets on business list

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Eligible	189	7.5	100.0	100.0
Missing	Ineligible	2320	92.5		
Total		2509	100.0		

PRIMARY SIC DESCRIPTION

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Restaurants	141	74.6	74.6	74.6
	Hotels & Motels	10	5.3	5.3	79.9
	Truck Stops & Plazas	8	4.2	4.2	84.1
	Gymnastic Instruction	7	3.7	3.7	87.8
	Pizza	3	1.6	1.6	89.4
	Service Stations-Gasoline & Oil	3	1.6	1.6	91.0
	Sightseeing Tours	3	1.6	1.6	92.6
	Convenience Stores	2	1.1	1.1	93.7
	Dancing Instruction	2	1.1	1.1	94.7
	Theatres-Movie	2	1.1	1.1	95.8
	Amusement Places	1	.5	.5	96.3
	Bed & Breakfast Accommodations	1	.5	.5	96.8
	Bowling Centers	1	.5	.5	97.4
	Coffee Shops	1	.5	.5	97.9
	Parks	1	.5	.5	98.4
	Psychic Mediums	1	.5	.5	98.9
	Recreation Centers	1	.5	.5	99.5
	Wedding Chapels	1	.5	.5	100.0
Total		189	100.0	100.0	

8. Delete eligible outlets from the business list.

9. Use ineligible outlets on business list to identify bars, adult clubs, gambling outlets, private clubs, and wholesale clubs from the tobacco list.
 - Note: Outlets on tobacco list and business list matched by similarity in name and exact address

10. Identify detention centers, correctional centers, and sheriff's offices on the tobacco list.

11. Remove ineligible outlets from tobacco list.

ineligible Outlets

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Ineligible	1303	17.7	100.0	100.0
Missing	Eligible	6051	82.3		
Total		7354	100.0		

12. Complete parish information for all outlets by using town and/or zip code to fill in missing information.

Trade Parish

	Frequency	Percent	Valid Percent	Cumulative
Valid	378	6.2	6.2	6.2
Acadia	88	1.5	1.5	7.7
Allen	33	.5	.5	8.2
Ascension	111	1.8	1.8	10.1
Assumption	26	.4	.4	10.5
Avoyelles	67	1.1	1.1	11.6
Beauregard	35	.6	.6	12.2
Bienville	28	.5	.5	12.7
Bossier	101	1.7	1.7	14.3
Caddo	284	4.7	4.7	19.0
Calcasieu	228	3.8	3.8	22.8
Caldwell	18	.3	.3	23.1
Cameron	15	.2	.2	23.3
Catahoula	16	.3	.3	23.6
Claiborne	29	.5	.5	24.1
Concordia	36	.6	.6	24.7
Desoto	30	.5	.5	25.2
East Baton Rouge	481	7.9	7.9	33.1
East Carroll	19	.3	.3	33.4
East Feliciana	26	.4	.4	33.9
Evangeline	56	.9	.9	34.8
Franklin	23	.4	.4	35.2
Grant	19	.3	.3	35.5
Iberia	92	1.5	1.5	37.0

Trade Parish

	Frequency	Percent	Valid Percent	Cumulative
Iberville	47	.8	.8	37.8
Jackson	26	.4	.4	38.2
Jefferson	492	8.1	8.1	46.3
Jefferson Davis	41	.7	.7	47.0
Lafayette	264	4.4	4.4	51.4
Lafourche	110	1.8	1.8	53.2
Lasalle	16	.3	.3	53.5
Lincoln	40	.7	.7	54.1
Livingston	123	2.0	2.0	56.2
Madison	19	.3	.3	56.5
Morehouse	51	.8	.8	57.3
Natchitoches	51	.8	.8	58.2
Orleans	613	10.1	10.1	68.3
Ouachita	169	2.8	2.8	71.1
Plaquemines	40	.7	.7	71.7
Pointe Coupee	42	.7	.7	72.4
Rapides	182	3.0	3.0	75.4
Red River	15	.2	.2	75.7
Richland	24	.4	.4	76.1
Sabine	38	.6	.6	76.7
St. Bernard	41	.7	.7	77.4
St. Charles	66	1.1	1.1	78.5
St. Helena	15	.2	.2	78.7
St. James	33	.5	.5	79.3
St. John	58	1.0	1.0	80.2
St. Landry	150	2.5	2.5	82.7
St. Martin	94	1.6	1.6	84.3

Trade Parish

	Frequency	Percent	Valid Percent	Cumulative
St. Mary	86	1.4	1.4	85.7
St. Tammany	208	3.4	3.4	89.1
Tangipahoa	164	2.7	2.7	91.8
Tensas	12	.2	.2	92.0
Terrebonne	142	2.3	2.3	94.4
Union	34	.6	.6	94.9
Vermillion	18	.3	.3	95.2
Vernon	44	.7	.7	96.0
Washington	64	1.1	1.1	97.0
Webster	67	1.1	1.1	98.1
West Baton Rouge	50	.8	.8	99.0
West Carroll	17	.3	.3	99.2
West Feliciana	20	.3	.3	99.6
Winn	26	.4	.4	100.0
Total	6051	100.0	100.0	

13. Discrepancies in parish and town resolved using mapping software

14. Add parishid to tobacco list (numeric, 2, nominal)

15. Merge tobacco list with parish/dhh region file to add dhh region to file of eligible tobacco outlets.

		dhh region			
		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	1	726	12.0	12.0	12.0
	2	809	13.4	13.4	25.4
	3	538	8.9	8.9	34.3
	4	875	14.5	14.5	48.7
	5	375	6.2	6.2	54.9
	6	439	7.3	7.3	62.2
	7	683	11.3	11.3	73.5
	8	479	7.9	7.9	81.4
	9	610	10.1	10.1	91.5
	10	517	8.5	8.5	100.0
Total		6051	100.0	100.0	

16. Calculate total and strata sample sizes.

Formula for calculating sample size is shown below.

- RVR is from ASR 2009 [7.1]
- Margin of error is .01. We have reduced the margin of error as our RVR has decreased each year (see most recent Sampling Methodology FFY 2008).
- Population includes the number of outlets with duplicates removed and outlets inaccessible to youth removed=[6051]
- Accuracy rate and completion rate from ASR 2009 [81.9; 99.6]

CSAP-SYNAR REPORT	
State	Louisiana
Federal Fiscal Year (FFY)	2009
Date	12/16/12 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	1,362
Original Sample Size	1,755
Eligible Sample Size	1,437
Final Sample Size	1,431
Overall Sampling Rate	31.7%

Calculating the Effective Sample Size for one-tailed test at 95%

proportion - yes RVR FFY 2009	proportion - no	z one tailed	numerator	margin of error	denominator	effective size
0.071	0.929	1.645	0.178486703	0.01	0.0001	1785
with finite population correction		numerator	population	denominator		effective, fpc
		1785	6051	1.294805326		1378

Calculating the Original Sample Size for one-tailed test at 95%

design effect	accuracy rate FFY2009	completion rate FFY 2009	original size
1	0.819	0.996	1690

Calculating Sample Size for Each Stratum

Stratum	N Population in Stratum	n Calculated Sample Size in Stratum
1	726	203
2	809	226
3	538	150
4	875	244
5	375	105
6	439	123
7	683	191
8	479	134
9	610	170
10	517	144
Total	6051	1,690

put in population size for each stratum

17. Sort file by region, parish, city, and zip.

18. Select outlets for each region and draw random sample of outlets from that region.

19. Merge region files to create master list.

dhh region					
		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	1	203	12.0	12.0	12.0
	2	226	13.4	13.4	25.4
	3	150	8.9	8.9	34.3
	4	244	14.4	14.4	48.7
	5	105	6.2	6.2	54.9
	6	123	7.3	7.3	62.2
	7	191	11.3	11.3	73.5
	8	134	7.9	7.9	81.4
	9	170	10.1	10.1	91.5
	10	144	8.5	8.5	100.0
Total		1690	100.0	100.0	

20. Save subset of variables for master log

- Credential
- Name
- Address
- City
- Zipcode
- Parish

21. Export to excel and format for master log.

master log .xls

CREDENTIAL	TRADE NAME	ADDRESS	CITY	ZIPCODE	PARISH	ATC REVIEW	DHH REVIEW
T.01.0050000037-C	POINTE DE LEGISE SERVICE	620 W CANAL ST STE A	CHURCH POINT	70525	Acadia		
T.01.0050000191-C	EAST EBEEY SHELL	507 EAST EBEEY STREET	CHURCH POINT	70525	Acadia		
T.01.0050000237-C	KWIK STOP	8816 CHURCH POINT HWY	CHURCH POINT	70525	Acadia		
T.01.0050000305-C	MAN ST FRANCISCO GROCERY	507 N MAIN STREET	CHURCH POINT	70525	Acadia		
T.01.00500008191-C	RICE CITY CHEVRON	530 NORTH EASTERN AVE	CROWLEY	70520	Acadia		
T.01.0050000218-C	K & L GROCERY	1510 HUTCHINSON ST	CROWLEY	70526	Acadia		
T.01.0050000221-C	EAST CROWLEY I 10 CHEVRON	731 ODDFELLOW ROAD	CROWLEY	70526	Acadia		
T.01.0050000278-C	WAL MART SUPERCENTER #0310	729 ODDFELLOWS ROAD	CROWLEY	70526	Acadia		
T.01.0050000301-C	CHEVRON FOOD MART #20	2600 N PARKERSON AVE	CROWLEY	70526	Acadia		
T.01.0050000309-C	BOOTSIES CARRY OUT	805 W SECOND STREET	CROWLEY	70526	Acadia		
T.01.0050000322-C	WINN DIXIE #1490	2004 N PARKERSON AVENUE	CROWLEY	70526	Acadia		
T.01.0050005602-C	KORKYS FOOD MART	1122 N WESTERN AVE	CROWLEY	70526	Acadia		

Prepared by Lisa Ulmer 7/11/08

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22. Save as pdf for printing.

23. Print three copies and provide 3 electronic copies to DHH, ATC, and Dr. Harrison's team at Southern University.

Synar Sample FY10 of 1690 Outlets by Parish

	Frequency	Percent	Valid Percent	Cumulative Percent
Valid Acadia	21	1.2	1.2	1.2
Allen	11	.7	.7	1.9
Ascension	25	1.5	1.5	3.4
Assumption	8	.5	.5	3.8
Avoyelles	22	1.3	1.3	5.1
Beauregard	16	.9	.9	6.1
Bienville	7	.4	.4	6.5
Bossier	29	1.7	1.7	8.2
Caddo	86	5.1	5.1	13.3
Calcasieu	68	4.0	4.0	17.3
Caldwell	8	.5	.5	17.8
Cameron	3	.2	.2	18.0
Catahoula	7	.4	.4	18.4
Claiborne	7	.4	.4	18.8
Concordia	10	.6	.6	19.4
Desoto	7	.4	.4	19.8
East Baton Rouge	151	8.9	8.9	28.8
East Carroll	10	.6	.6	29.3
East Feliciana	7	.4	.4	29.8
Evangeline	21	1.2	1.2	31.0
Franklin	4	.2	.2	31.2
Grant	4	.2	.2	31.5
Iberia	23	1.4	1.4	32.8
Iberville	15	.9	.9	33.7
Jackson	9	.5	.5	34.3
Jefferson	144	8.5	8.5	42.8

Synar Sample FY10 of 1690 Outlets by Parish

	Frequency	Percent	Valid Percent	Cumulative Percent
Jefferson Davis	7	.4	.4	43.2
Lafayette	81	4.8	4.8	48.0
Lafourche	27	1.6	1.6	49.6
Lasalle	7	.4	.4	50.0
Lincoln	9	.5	.5	50.5
Livingston	32	1.9	1.9	52.4
Madison	6	.4	.4	52.8
Morehouse	20	1.2	1.2	54.0
Natchitoches	16	.9	.9	54.9
Orleans	180	10.7	10.7	65.6
Ouachita	44	2.6	2.6	68.2
Plaquemines	14	.8	.8	69.0
Pointe Coupee	15	.9	.9	69.9
Rapides	52	3.1	3.1	73.0
Red River	7	.4	.4	73.4
Richland	9	.5	.5	73.9
Sabine	15	.9	.9	74.8
St. Bernard	9	.5	.5	75.3
St. Charles	18	1.1	1.1	76.4
St. Helena	4	.2	.2	76.6
St. James	7	.4	.4	77.0
St. John	16	.9	.9	78.0
St. Landry	43	2.5	2.5	80.5
St. Martin	30	1.8	1.8	82.3
St. Mary	22	1.3	1.3	83.6
St. Tammany	56	3.3	3.3	86.9
Tangipahoa	58	3.4	3.4	90.4
Tensas	4	.2	.2	90.6
Terrebonne	52	3.1	3.1	93.7
Union	8	.5	.5	94.1
Vermillion	25	1.5	1.5	95.6

Synar Sample FY10 of 1690 Outlets by Parish

	Frequency	Percent	Valid Percent	Cumulative Percent
Vernon	13	.8	.8	96.4
Washington	20	1.2	1.2	97.6
Webster	17	1.0	1.0	98.6
West Baton Rouge	8	.5	.5	99.1
West Carroll	3	.2	.2	99.2
West Feliciana	5	.3	.3	99.5
Winn	8	.5	.5	100.0
Total	1690	100.0	100.0	

APPENDIX C: SYNAR SURVEY INSPECTION PROTOCOL

State: Louisiana

FFY: 2010

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?

- | | |
|--|--|
| <input checked="" type="checkbox"/> Required | <input type="checkbox"/> Not Permitted |
| <input type="checkbox"/> Permitted under specified circumstances | <input type="checkbox"/> Not specified in protocol |

b. Youth inspectors to carry ID?

- | | |
|---|--|
| <input type="checkbox"/> Required | <input type="checkbox"/> Not Permitted |
| <input checked="" type="checkbox"/> Permitted under specified circumstances | <input type="checkbox"/> Not specified in protocol |

c. Adult inspectors to enter the outlet?

- | | |
|--|--|
| <input checked="" type="checkbox"/> Required | <input type="checkbox"/> Not Permitted |
| <input type="checkbox"/> Permitted under specified circumstances | <input type="checkbox"/> Not specified in protocol |

d. Youth inspectors to be compensated?

- | | |
|--|--|
| <input checked="" type="checkbox"/> Required | <input type="checkbox"/> Not Permitted |
| <input type="checkbox"/> Permitted under specified circumstances | <input type="checkbox"/> 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. The training of youth operatives takes place at the time that the youth is officially recruited. This occurs once appropriate release and consent forms have been signed by the operative and his or her parent/guardian. OATC agents provide a refresher discussion takes place between the agent and operative immediately prior to a compliance check to reinforce the inspection protocol guidelines. Guidelines for underage operatives conducting tobacco compliance checks are shown below.

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.

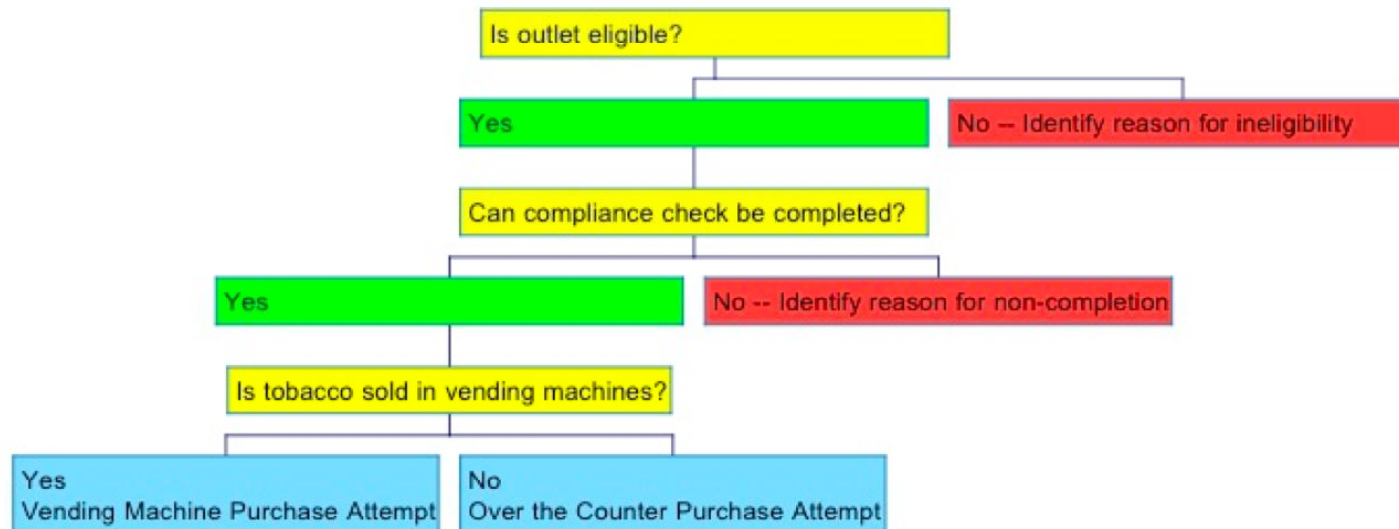
Inspection Methodology

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. Any 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 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. The figure on the next page provides details about the inspection process.

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 on the next page.

 Louisiana State of Alcohol & Tobacco Control		4585 Archives Ave, Suite 228 Baton Rouge, LA 70805 Compliance Check Program Tobacco Retail Survey Form		
Date: <input type="text"/> / <input type="text"/> / <input type="text"/>		Permit Number: <input type="text"/>		
Retailer Name: <input type="text"/>		Mailing Address (P.O. Box or street): <input type="text"/>		
		Location Address (street, city, state, & zip code): <input type="text"/>		
Type of Retailer: <input type="checkbox"/> Convenience Store w/ gas <input type="checkbox"/> Convenience Store without gas <input type="checkbox"/> Gas Station Only <input type="checkbox"/> News/Mini Mart <input type="checkbox"/> Bar/Tavern <input type="checkbox"/> Small Grocery Store (no meat case) <input type="checkbox"/> Small Drug Store/Pharmacy (no meat case) <input type="checkbox"/> Liquor Store <input type="checkbox"/> Fast Food Store <input type="checkbox"/> Restaurant <input type="checkbox"/> Chain Supermarket (meat case) <input type="checkbox"/> Chain Drug Store/Pharmacy (meat case) <input type="checkbox"/> Restaurant/Wine Bar <input type="checkbox"/> Restaurant/Wine Bar <input type="checkbox"/> Franchise Discount Store (meat case) <input type="checkbox"/> Tobacco Discount Retail Store <input type="checkbox"/> Bowling Alley/Recreation Facility/Alma <input type="checkbox"/> Other				
Time of Attempt (month/year): <input type="text"/> : <input type="text"/>		Disposition: <input type="checkbox"/> Sale <input type="checkbox"/> Other (describe below): <input type="text"/> <input type="checkbox"/> EC-Digible & 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"/> 17 Gender: <input type="checkbox"/> Female <input type="checkbox"/> Male				
Store observation (circle "Yes," "No," or "N/A") Warning signs posted? <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A Vending machines present? <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A Single cigarettes for sale? <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A				
Vending Machine (circle "Yes," "No," or "N/A") Have locking device? <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A Require special tokens? <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A Is view of an adult? <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> 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"/>		Minimum Sentence #: <input type="text"/>
RVP Card # or Time Employed by Permittee (if applicable): <input type="text"/>		Seller/Suspect Name (if applicable): <input type="text"/>		DOB: <input type="text"/>
Region Supervisor: <input type="text"/>		Contact Phone Number: <input type="text"/>		
Comments: <input type="text"/>				

Menu for 'other'

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

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/Carlot 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.

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 on the floppy and provide a copy to your regional supervisor.

Compliance Check Procedures

- Every outlet must have identifying information completed.
- 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 the bartender or hostess.
 - The bartender or hostess gender, age, and race are entered in the salesclerk gender, age, race section.
 - Identify the vending machine characteristics in addition to everything else on the orange part of the form.

Compliance With Federal Procedures

- Use 15 or 16 year olds whenever possible.
- Please use female youth inspectors as much as possible this summer, so we can continue to improve the gender balance of youth this year.
- Please conduct compliance checks 7 days/week.

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.

Analytic Dataset

Variables in the analytic dataset are indicated below.

Analytic Dataset
General Information <ul style="list-style-type: none">• Permit number• Merchant name• Address• Type of outlet• Date and time of inspection• Adult agents• Youth operative• Gender, age, and race of youth operative• Disposition (ie purchase attempt, youth access tested, ineligible, not completed)
Purchase Attempt <ul style="list-style-type: none">• How outlet sells tobacco• Type of purchase attempt• Gender, age, and race of sales clerk• Characteristics of vending machines (for vending machine attempts only)• Posting of warning signs• Whether the minor's identification was requested• Whether the minor's age was asked• Disposition of the attempt• Type of tobacco purchased (for violations only)• Citation number (for violations only)
Ineligible or Non-complete Outlets <ul style="list-style-type: none">• Reason for ineligibility• Reason for non-completion

APPENDIX D

STATE: Louisiana
FFY: 2010

List Sampling Frame Coverage Study (LIST FRAME ONLY)

1. Calendar year of the coverage study: 2008

2. Percent coverage found: 94.6% %

(Provide calculation of the percent coverage)

$$\% \text{ Accuracy} = 100 \times (1 - a/n)$$

where a =the number of ineligible outlets on the frame file
and n =sample size

$$\% \text{ Coverage} = 100 \times (1 - b/(n-a+b))$$

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.

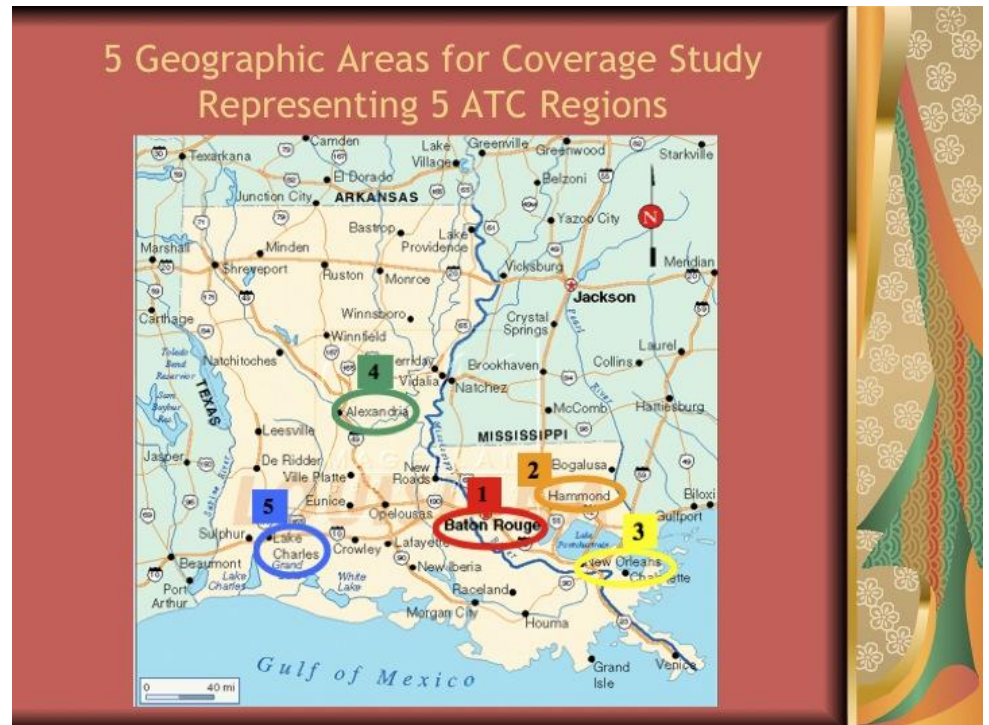
Background

Under the Synar Regulation, states are required to assess the quality of the State Tobacco License list used as the sampling frame for the annual inspections of outlets to verify that the list covers at least 80% of all outlets that sell tobacco products. The State is required to report the accuracy of the list (the percent of outlets on the State Tobacco License List that sell tobacco products and have accurate addresses), and coverage (the percent of all eligible tobacco outlets that are included on the State Tobacco License List). The most recent coverage study, conducted in 2006, indicated that the Louisiana Tobacco License List was 91.3% accurate and had 92.4% coverage.

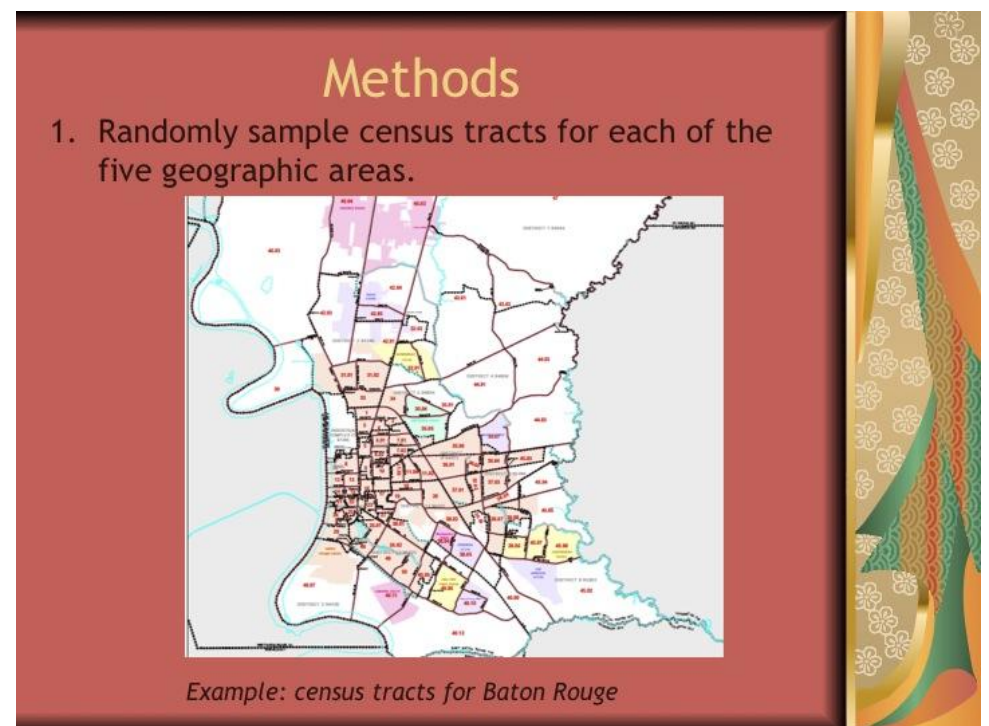
The 2008 coverage study provides the most recent evidence of the accuracy and coverage of the Louisiana Tobacco License List. This study randomly sampled census tracts with retail establishments within five geographic areas across the state, identified whether the retail outlets were selling tobacco products, and matched the field survey data with the Louisiana Tobacco License List to identify: (1) outlets that are selling tobacco products and are on the list; (2) outlets that are selling tobacco products that are not on the list; and (3) outlets that are no longer selling tobacco products that are on the list.

Methods

Geographic Regions for Coverage Study: The initial coverage study completed in 1999 (Harris, 1999) surveyed two areas of the State: (1) Baton Rouge and (2) Hammond. Starting with the 2003 Coverage Study (Ulmer, 2003; Ulmer, 2006) we continued to survey Baton Rouge and Hammond for consistency with the initial study, but also added three areas to provide a more accurate representation of the state: (3) New Orleans, (4) Alexandria, and (5) Lake Charles. The five areas surveyed since 2003 represent the five Alcohol and Tobacco Control (ATC) enforcement regions of Louisiana.



Random sampling of census tracts. For each of the five areas, we identified all census tracts with any commercial zoning, and then randomly selected two tracts per area. A survey route was constructed for each tract.



Data collection tool. A field survey form created in 2003 was used in the current study to document the business name, address, and whether or not the business sold tobacco products. The survey form was adapted for a gps-enabled pda in 2006, allowing efficient field entry.

Materials: Hardware

- Palm TX, with a 312MHz Intel processor and 128MB of flash memory
- Positional data is collected with a TomTom Bluetooth Wireless GPS Receiver.



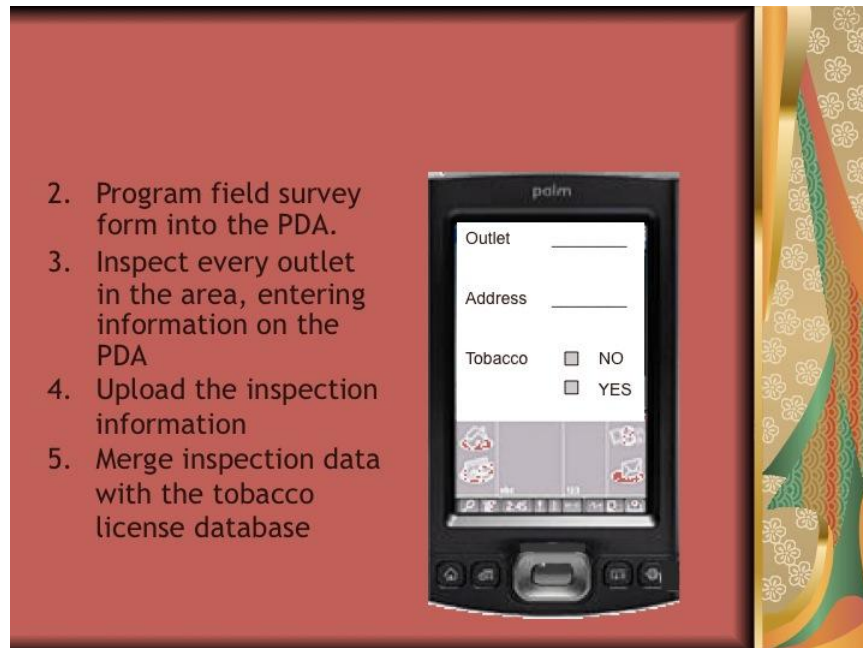
The image shows a Palm TX PDA on the right, which is a black handheld device with a color screen displaying various application icons like 'Quick Tour', 'Calc', 'Calendar', 'Contacts', 'Dialer', 'Expense', 'Favorites', 'Memo', 'High Pad', 'SMS', 'Task', and 'VeriMap'. To the left of the PDA is a small, black, rectangular TomTom Bluetooth Wireless GPS Receiver with a silver antenna on top.

Prior to the 2008 study, software for the gps-enabled data collection system was updated for data entry and mapping.

Materials: Software

- Pendragon Forms 5.1
 - Form-based software package that can utilize the database functionality of Microsoft Access.
 - Adds GPS coordinates to the field survey forms using GPS Custom Control, a separate handheld program that communicates with GPS devices. The control automatically captures latitude, longitude, date and time measurements.
- ArcGIS 9.2
 - mapping software is used to analyze geographic information

Field survey procedures. After the 2008 form was programmed into the PDA, the assessor observed consumers in the randomly sampled tracts, so that the assessor's dress and manner could be matched with typical consumers. During the field survey, each structure on the survey route was entered to determine if it was a business. The assessor mimicked consumer behavior in the business, browsing to observe whether tobacco products were for sale, and, if tobacco products were not visible, then casually asking about the price of cigarettes, as if comparison shopping. Businesses closed at the time of the first visit were visited at least two other times on different hours and times of day, to reduce bias from missing data. Data entry was completed immediately after leaving the business. Following the fieldwork, data was merged with the state Tobacco License List.



Data Management. The first step was to identify the businesses selling tobacco from the fieldwork that were also on the Louisiana Tobacco License List. These matched businesses were given a code of “1” in the dataset. The second step was to review all businesses selling tobacco from the fieldwork that were not on the Tobacco License List to determine whether trade name or street address errors might account for the discrepancy. Such discrepancies were resolved and all new matched businesses also given the code of “1”. Businesses identified as selling tobacco from the field survey that were not on the Tobacco License List were identified as “2” and outlets on the List that were not confirmed by the fieldwork were identified as “3.”

Calculation of Accuracy and Coverage. Accuracy and coverage were calculated for each area and for Louisiana overall, using the formulas shown on the first page.

Results

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.

State Statistics	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 = $100 \times (1-a/n)$	94.1	90.6	88.2	65.5	88.2	86.5
% Coverage = $100 \times (1-b/(n=a+b))$	98.0	93.5	100.0	79.2	100.0	94.6

The coverage rate has increased since the initial study in 1999. At that time, the coverage of the list did not meet the Federal guidelines for coverage of at least 80%; in 2003 the coverage rate met Federal guidelines and in 2006 and in the current study, the coverage meets the recommended Federal guidelines of 90%. A comparison of state rates over time are shown below:

State Statistics	1999 Study	2003 Study	2006 Study	2008 Study
n	28	57	160	163
a	4	7	14	22
b	7	11	12	8
% Accuracy = $100 \times (1-a/n)$	85.7	87.7	91.3	86.5
% Coverage = $100 \times (1-b/(n=a+b))$	77.4	82.0	92.4	94.6

Enforcement Activities Based Upon Coverage Study Results. The coverage study reveals a pocket of low coverage in Alexandria. We will be working with our partners at Louisiana ATC to understand and correct factors related to this lower rate.