

ANNUAL SYNAR REPORT

42 U.S.C. 300x-26

OMB № 0930-0222

FFY 2018

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 Substance Abuse Prevention and Treatment Block Grant (SABG) (45 C.F.R. 96.130 (e)).

How the Synar report helps the Center for Substance Abuse Prevention

In accordance with the tobacco regulations, states are required to provide detailed information on progress made in enforcing youth tobacco access laws (FFY 2017 Compliance Progress) and future plans to ensure compliance with the Synar requirements to reduce youth tobacco access rates (FFY 2018 Intended Use Plan). These data are required by 42 U.S.C. 300x-26 and will be used by the Secretary to evaluate state compliance with the statute. Part of the mission of the Center for Substance Abuse Prevention (CSAP) is to assist states¹ by supporting Synar activities and providing technical assistance helpful in determining the type of enforcement measures and control strategies that are most effective. This information is helpful to CSAP in improving technical assistance resources and expertise on enforcement efforts and tobacco control program support activities, including state Synar program support services, through an enhanced technical assistance program involving conferences and workshops, development of training materials and guidance documents, and onsite technical assistance consultation.

How the Synar report can help states

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

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

Getting assistance in completing the Synar report

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

Where and when to submit the Synar report

The ASR must be received by SAMHSA no later than December 31, 2017 and must be submitted in the format specified by these instructions. Use of the approved format will avoid delays in the review and approval process. The chief executive officer (or an authorized designee) of the applicant organization must sign page one of the ASR certifying that the state has complied with all reporting requirements.

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

- FFY 2018 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), as well as a database with the raw inspection data 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. This document should be different than the Appendix C attached to the Annual Synar Report
- A scanned copy of the signed Funding Agreements/Certifications

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

FFY 2018: FUNDING AGREEMENTS/CERTIFICATIONS

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

PUBLIC HEALTH SERVICES ACT AND SYNAR AMENDMENT

42 U.S.C. 300x-26 requires each state to submit an annual report of its progress in meeting the requirements of the Synar Amendment and its implementing regulation (45 C.F.R. 96.130) to the Secretary of the Department of Health and Human Services. By signing below, the chief executive officer (or an authorized designee) of the applicant organization certifies that the state has complied with these reporting requirements and the certifications as set forth below.

SYNAR SURVEY SAMPLING METHODOLOGY

The state certifies that the Synar survey sampling methodology on file with the Center for Substance Abuse Prevention and submitted with the Annual Synar Report for FFY 2018 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 2018 is up-to-date and approved by the Center for Substance Abuse Prevention.

State: Louisiana

Name of Chief Executive Officer or Designee: James Hussey, MD

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 2017 (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
☐ Changed definition of tobacco products
☐ Other change(s) (Please describe.) _____

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

Licensing of tobacco vendors ☐ Yes ☒ No
 Penalties for sales to minors ☐ Yes ☒ No
 Vending machines ☐ Yes ☒ No
 Added product categories to youth access law ☐ Yes ☒ No

- 2. Describe how the Annual Synar Report (see 45 C.F.R. 96.130(e)) was made public within the state prior to submission of the ASR. (Check all that apply.)**

- ☒ Placed on file for public review
☒ Posted on a state agency Web site (Please provide exact Web address and the date when the FFY 2018 ASR was posted to this Web address.)

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

Date published: December 21, 2017

- ☐ Notice published in a newspaper or newsletter
☐ Public hearing

- ☐ Announced in a news release, a press conference, or discussed in a media interview
- ☐ Distributed for review as part of the SABG application process
- ☐ Distributed through the public library system
- ☐ Published in an annual register
- ☐ Other *(Please describe.)* _____

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

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

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

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

☐ Yes ☒ No

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

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

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

☐ Yes ☒ No

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

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

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

☐ Yes ☒ No

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

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

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

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

☐ Yes ☒ No

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

☐ Are the same

☐ Have a formal written memorandum of agreement

☐ Have an informal partnership

- ☒ Conduct joint planning activities
- ☒ Combine resources
- ☐ Have other collaborative arrangement(s) *(Please describe.)* _____
- ☐ No relationship

d. Does a state agency contract with the Food and Drug Administration's Center for Tobacco Products (FDA/CTP) to enforce the youth access and advertising restrictions in the Family Smoking Prevention and Tobacco Control Act?
☐ Yes ☒ No (if no, go to Question 5)

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

f. Has the responsible agency changed since last year's Annual Synar Report?
☐ Yes ☐ No

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

- ☐ Are the same
- ☐ Have a formal written memorandum of agreement
- ☐ Have an informal partnership
- ☐ Conduct joint planning activities
- ☐ Combine resources
- ☐ Have other collaborative arrangement(s) *(Please describe.)* _____
- ☐ No relationship

h. Does the state use data from the FDA enforcement inspections for Synar survey reporting?
☐ Yes ☐ No

5. Please answer the following questions regarding the state's activities to enforce the state's youth access to tobacco law(s) in FFY 2017 (see 42 U.S.C. 300x-26 and 45 C.F.R. 96.130(e)).

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

- ☐ Enforcement is conducted exclusively by local law enforcement agencies.
- ☒ Enforcement is conducted exclusively by state agency(ies).
- ☐ Enforcement is conducted by both local *and* state agencies.

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

PENALTY	OWNERS	CLERKS	TOTAL
Number of <u>citations issued</u>	147	147	294
Number of <u>fin es assessed</u>	57	84	141
Number of <u>permits/licenses suspended</u>	2		2
Number of <u>permits/licenses revoked</u>	0		0
Other (Please describe.)			

OATC provided OBH with the disposition of violations that occurred during the FFY 2017 Annual Synar Report. 147 outlets were found to be in violation during the FFY 2017 ASR. A citation was issued to both the Store Clerk/Server and Store/Business Owner.

- All clerks who sell or serve alcohol or tobacco products must complete the Responsible Vendor Training Program within 45 days of hire. Those Clerks who had been trained and certified as a Responsible Vendor (receiving a Responsible Vendor Card). OATC handles all administrative citations issued to both "certified" Responsible Vendor (RV) clerks and store owners. Below is a summary of fines assessed and other dispositions as a result of the FFY 2017 Annual Synar Report:
- 84 Certified RV Clerks were assessed the following fines:
 - 2 at \$100.00
 - 1 at \$150.00
 - 17 at \$200.00
 - 2 at \$250.00
 - 3 at \$300.00
 - 37 at \$500.00
 - 10 at \$600.00
 - 10 at \$650.00
 - 1 at \$1000.00
- 15 Certified RV clerks had their RV Server Permit Suspended
- 8 Certified RV clerks had their RV Server Permits Revoked

- 50 clerks who were not Responsible Vendor (RV) “certified” were issued a criminal summons. Criminal citations are turned over to the District Attorney within the parish where the citation was issued and are adjudicated within the court system of the parish.
- In addition to being assessed a fine, 12 Certified RV clerks had to re-take the Responsible Vendor Training Program
- 1 Certified RV Clerk was issued a warning
- 1 Clerk had been employed less than 45 days (not yet RV certified)
- 8 Certified RV Clerks were also the owner
- 1 Certified RV Clerk was the owner’s spouse
- 2 Dispositions were unknown
- Store Owners were fined/warned/dismissed as follows:
 - 1 at \$100.00
 - 6 at \$200.00
 - 1 at \$350.00
 - 2 at \$400.00
 - 19 at \$500.00
 - 2 at \$600.00
 - 1 at \$650.00
 - 1 at \$950.00
 - 3 at \$1000.00
 - 1 at \$1050.00
 - 1 at \$1150.00
 - 1 at \$1200.00
 - 1 at \$1250.00
 - 1 at \$1650.00
 - 1 at \$4500.00
 - 90 received a Responsible Vendor Warning
 - 2 permits were suspended

c. 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 5c, please describe the state’s procedure for minimizing risk of bias to the survey results from retailers alerting each other to the presence of the survey teams:

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

OATC conducted 1,125 tobacco compliance checks for the FFY 2017 Annual Synar Report. OATC conducted an additional 3,628 tobacco compliance checks in SFY 2017, with a reported compliance rate of 89.8%. In addition, OATC conducted 8,905 alcohol compliance checks with a reported compliance rate of 90.66%.

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

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

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

- ☐ Yes ☒ No

f. What additional activities are conducted in your state to support enforcement and compliance with state youth tobacco access law(s)? (Check all that apply and briefly describe each activity in the text boxes below each activity.)

- ☒ Merchant education and/or training

A Synar Contractor was funded in each of the 10 OBH administrative regions in the state. An important role of the Synar Contractor has been to train and supervise youth volunteers to conduct unconsummated compliance checks. 4,569 unconsummated compliance checks were conducted July 1, 2016 – June 30, 2017:

400 in Region 1
406 in Region 2
580 in Region 3
431 in Region 4
400 in Region 5
415 in Region 6
400 in Region 7
406 in Region 8
531 in Region 9
600 in Region 10

Of the unconsummated compliance checks completed, 94.47% of retailers were unwilling to sell and 5.53% were willing to sell.

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

During FFY 2014, the state organized a Synar Workgroup to look at revising merchant education materials. This workgroup was convened following a discussion with OATC Headquarters staff, supervisors, and agents who identified

that sales are occurring because clerks are glancing at youth IDs and then selling, rather than carefully looking at IDs to see the red underage notation on IDs. In Louisiana, minor licenses are vertical with a red "Under 21 Until 00-00-0000" and "Under 18 Until 00-00-0000" to the right of the photo, at the bottom left with a red frame. Merchant education materials are being updated to include emphasis on reading IDs correctly.

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

This Synar Workgroup continued to meet in FFY 2015 and revised and developed the following merchant education materials: Prevention of Youth Access Flyer, Report a Violation Handout, Novelty Tobacco Product Flyer, and License Orientation Verification Flyer. These revised merchant education materials were distributed during SFY 2017.

- ☒ Incentives for merchants who are in compliance (e.g., nonenforcement compliance checks in which compliant retailers are given positive reinforcement and noncompliant retailers are warned about youth access laws)

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

- ☒ Community education regarding youth access laws

The Office of Behavioral Health is the single state authority for the treatment and prevention of substance abuse (NASADAD) as well as being the agency responsible for Synar implementation. OBH used SAPT Block Grant funds to contract with primary prevention providers. These contractors provided services in the programmatic areas of Information Dissemination, Education, Alternative Activities, Problem Identification and Referral, Community-based Process and Environmental Strategies. All contractors were required to address the prevention of alcohol, tobacco, and other drugs (ATOD).

- ☒ Media use to publicize compliance inspection results

The Office of Behavioral Health posts the results of the Annual Synar Reports on its website. The FFY 2018 Report and other Annual Synar Reports may be viewed at: <http://new.dhh.louisiana.gov/index.cfm/newsroom/detail/1390>

- ☒ Community mobilization to increase support for retailer compliance with youth access laws

Regional Synar coalitions were established in each of the 10 regions in the state during FFY 1997. During SFY 2017, all ten (10) OBH Regional Synar Contractors actively participated in Regional Tobacco Free Living (TFL) Coalition Meetings, serving as an expert in limiting youth access to tobacco products.

- ☐ Other activities (*Please list.*) _____

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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 2017 (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.

a. If yes, describe how and when this change was communicated to SAMHSA

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

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

☒ Yes ☐ No

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

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

Unweighted RVR

Weighted RVR

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

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

RVR Estimate + (1.645 ×) =
plus (1.645 times Standard Error) equals **Right Limit**

Accuracy rate

Completion rate

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

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

☐ Form 2 (Optional) in Appendix A (Forms 1–5) *(Attach completed Form 2.)*

☐ Other *(Please specify. Provide formulas and calculations or attach and explain the program code and output with description of all variable names.)*

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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 noncompletion)	
Eligible sample size (number of outlets found to be eligible in the sample)	
Final sample size (number of eligible outlets in the sample for which an inspection was completed)	

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

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

☒ Yes ☐ No

If Yes, answer the following questions about its coverage.

a. The calendar year of the latest Sampling frame coverage study: 2017

b. Percent coverage from the latest Sampling frame coverage study: 91.9%

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: 2020

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. If Yes, describe how and when this change was communicated to SAMHSA

b. Provide the inspection period: From 06/16/17 **to** 08/29/17
MM/DD/YY MM/DD/YY

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

36

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.

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

SECTION II: FFY 2018 (Intended Use):

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

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

Synar sampling methodology ☐ Yes ☒ No

Synar inspection protocol ☐ Yes ☒ No

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

2. Please describe the state's plans to maintain and/or reduce the target rate for Synar inspections to be completed in FFY 2018. Include a brief description of plans for law enforcement efforts to enforce youth tobacco access laws, activities that support law enforcement efforts to enforce youth tobacco access laws, and any anticipated changes in youth tobacco access legislation or regulation in the state.

ENFORCEMENT

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

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

Office of Alcohol and Tobacco Control (OATC) Synar Survey/Consummated Compliance Checks: OATC will conduct approximately 1,000 tobacco consummated compliance checks for the Annual Synar Survey. The outlets for these tobacco compliance checks will be selected from the State's Tobacco License List using stratified random sampling. The specific procedures described in Appendix C will be followed for recruiting and training youth inspectors, training field agents, inspection methodology, and data collection. Citations will be issued to all outlets found in violation. Letters of appreciation will be mailed to those merchants that are found to be in compliance.

OATC Consummated Compliance Checks (Non-Synar): OATC conducts routine enforcement checks throughout the year. Again, citations will be issued by mail to all outlets found in violation. Letters of appreciation will be mailed to those merchants that are found to be in compliance. OATC conducted 1,125 tobacco compliance checks for the FFY 2017 Annual Synar Report. OATC conducted an additional 3,628 tobacco compliance checks (700 funded by OBH with Tobacco Settlement funds) in SFY 2017, with a reported compliance rate of 89.8%. In addition, OATC conducted 8,905 alcohol compliance checks with a reported compliance rate of 90.66%.

MERCHANT EDUCATION

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

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

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

Targeted Education & Enforcement to High-Risk Regions: The FFY 2018 Synar data show that five regions are above the state average of 9.1%:

Region 1 – 9.4%

Region 2 – 10.7%

Region 3 – 10.1%

Region 5 – 11.3%

Region 6 – 13.8%

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

Developing and Piloting an Enhanced Tobacco Module for the Responsible Vendor Program: The Responsible Vendor (RV) Program is sponsored by OATC and is intended to educate

vendors and their employees about selling, serving, and the consumption of alcoholic beverages and tobacco products with the intent of preventing the access, misuse, illegal use, and abuse of these substances.

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

COMMUNITY MOBILIZATION & MEDIA ADVOCACY

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

STRATEGIC PLANNING TO REDUCE RVR

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

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

1. Tobacco Use, Exposure, Mortality, Costs in Louisiana from Surveillance System Data – adult smoking prevalence rate, youth smoking prevalence rate, number of youth who become new daily smokers each year, number of youth exposed to secondhand smoke at home, number of packs of cigarettes bought or smoked by youth, number of adults who die each year from their own smoking, number of youth who will ultimately die prematurely from smoking, number of adult nonsmokers who die each year from exposure to secondhand smoke, annual health care costs in Louisiana directly caused by smoking, portion of costs covered by state Medicaid program, resident’s state and federal tax burden from smoking-caused government expenditures, smoking-caused productivity losses.
2. Annual Synar Data – overall retailer violation rate and trend over time, retailer violation rate for each region and trend over time, ineligibility rate and reasons for ineligibility, non-completion rate and reasons for non-completion, buy rate by gender and age, factors associated with retailer violation rate (characteristics of outlet, characteristics of inspection event).
3. CCYS Data – Non-compliance rates for each region are examined, and regions that were in the top third of non-compliance for at least two years are identified. 30-day use rates for cigarettes for two years following this period are examined, and regions that are in the top

third of 30-day use rates are identified. Our analyses have shown a pattern of regions with high non-compliance also being high in youth smoking.

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

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

3. Describe any challenges the state faces in complying with the Synar regulation. (Check all that apply and describe each challenge in the text box below it.)

☒ Limited resources for law enforcement of youth access laws

Reduced Number of OATC Staff: During the last three years, OATC has gone through a substantial re-organization. At the time of the FFY 2017 Annual Synar Report, there were 16 OATC enforcement agents including directors and field agents. Fourteen (14) agents are responsible for conducting compliance checks, markedly less than previous years.

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

☐ Limited resources for activities to support enforcement and compliance with youth tobacco access laws

☐ Limitations in the state youth tobacco access laws

☐ Limited public support for enforcement of youth tobacco access laws

☐ Limitations on completeness/accuracy of list of tobacco outlets

☐ Limited expertise in survey methodology

☐ Laws/regulations limiting the use of minors in tobacco inspections

☐ Difficulties recruiting youth inspectors

☒ Issues regarding the balance of inspections conducted by youth inspectors age 15 and under

Inspections for FFY 2018 were not balanced by age. Of the 932 completed inspections, 1% were conducted by 15 year olds, 57% were conducted by 16 year olds, 42% were conducted by 17 year olds, and none were conducted by 18 year olds. The state will continue to work with OATC to balance the age of youth inspectors.

☒ Issues regarding the balance of inspections conducted by one gender of youth inspectors

Inspections for FFY 2018 were not balanced by gender: 65% of the 932 completed inspections were conducted by males, with 35% conducted by females. The state will continue to work with OATC to balance the gender of youth inspectors.

☒ Geographic, demographic, and logistical considerations in conducting inspections

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

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

☐ Cultural factors (e.g., language barriers, young people purchasing for their elders)

☐ Issues regarding sources of tobacco under tribal jurisdiction

☐ Other challenges (*Please list.*)

APPENDIX A: SSES Tables 1-4

SSES Table 1. Synar Survey Estimates and Sample Sizes

CSAP-SYNAR REPORT

State	LA
Federal Fiscal Year (FFY)	2018
Date	12/6/2017 15:50
Data	SYNAR_Data_FY_2018 .xlsx
Analysis Option	Stratified SRS with FPC

Estimates

Unweighted Retailer Violation Rate	9.1%
Weighted Retailer Violation Rate	9.1%
Standard Error	0.9%
Is SAMHSA Precision Requirement met?	YES
Right-sided 95% Confidence Interval	[0.0%, 10.6%]
Two-sided 95% Confidence Interval	[7.4%, 10.8%]
Design Effect	1.0
Accuracy Rate (unweighted)	94.5%
Accuracy Rate (weighted)	94.5%
Completion Rate (unweighted)	99.4%

Sample Size for Current Year

Effective Sample Size	917
Target (Minimum) Sample Size	917
Original Sample Size	993
Eligible Sample Size	938
Final Sample Size	932
Overall Sampling Rate	15.5%

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

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	671	619	N/A	N/A	105	97	96	9	9.4%	
10	10	468	461	N/A	N/A	72	71	71	6	8.5%	
2	2	840	788	N/A	N/A	131	123	122	13	10.7%	
3	3	580	567	N/A	N/A	91	89	89	9	10.1%	
4	4	947	889	N/A	N/A	148	139	138	11	8.0%	
5	5	466	466	N/A	N/A	73	73	71	8	11.3%	
6	6	443	417	N/A	N/A	69	65	65	9	13.8%	
7	7	768	684	N/A	N/A	120	107	107	7	6.5%	
8	8	493	467	N/A	N/A	77	73	72	4	5.6%	
9	9	686	648	N/A	N/A	107	101	101	9	8.9%	
Total		6,362	6,006			993	938	932	85	9.1%	0.9%
OVER THE COUNTER OUTLETS											
1	1	671	613	N/A	N/A	95	95	95	9	9.5%	
10	10	468	455	N/A	N/A	70	70	70	6	8.6%	
2	2	840	782	N/A	N/A	121	121	121	13	10.7%	
3	3	580	567	N/A	N/A	89	89	89	9	10.1%	
4	4	947	889	N/A	N/A	138	138	138	11	8.0%	
5	5	466	466	N/A	N/A	71	71	71	8	11.3%	
6	6	443	417	N/A	N/A	65	65	65	9	13.8%	
7	7	768	678	N/A	N/A	106	106	106	7	6.6%	
8	8	493	467	N/A	N/A	72	72	72	4	5.6%	
9	9	686	648	N/A	N/A	101	101	101	9	8.9%	
Total		6,362	5,982			928	928	928	85	9.2%	0.9%
VENDING MACHINES											
1	1	0	6	N/A	N/A	1	1	1	0	0.0%	
10	10	0	6	N/A	N/A	1	1	1	0	0.0%	
2	2	0	6	N/A	N/A	1	1	1	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	6	N/A	N/A	1	1	1	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	24			4	4	4	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

Disposition Code	Description	Count	Subtotal
EC	Eligible and inspection complete outlet	932	
TOTAL (ELIGIBLE COMPLETES)			932
N1	In operation but closed at time of visit	5	
N2	Unsafe to access	0	
N3	Presence of police	0	
N4	Youth inspector knows salesperson	0	
N5	Moved to new location but not inspected	0	
N6	Drive thru only/youth inspector has no drivers license	0	
N7	Tobacco out of stock	0	
N8	Run out of time	0	
N9	Other noncompletion (see below)	1	
TOTAL (ELIGIBLE NONCOMPLETES)			6
I1	Out of Business	30	
I2	Does not sell tobacco products	13	
I3	Inaccessible by youth	12	
I4	Private club or private residence	0	
I5	Temporary closure	0	
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)			55
Grand Total			993

SSSES Table 4. Synar Survey Inspection Results by Youth Inspector Characteristics

Frequency Distribution

Gender	Age	Number of Inspectors	Attempted Buys	Successful Buys
Male	14	0	0	0
	15	0	0	0
	16	12	307	29
	17	10	298	29
	18	0	0	0
	Subtotal	22	605	58
Female	14	0	0	0
	15	1	9	1
	16	8	228	19
	17	6	90	7
	18	0	0	0
	Subtotal	15	327	27
Other		0	0	0
Grand Total		37	932	85

Buy Rate in Percent by Age and Gender

Age	Male	Female	Total
14	0.0%	0.0%	0.0%
15	0.0%	11.1%	11.1%
16	9.4%	8.3%	9.0%
17	9.7%	7.8%	9.3%
18	0.0%	0.0%	0.0%
Other			0.0%
Total	9.6%	8.3%	9.1%

APPENDIXES B & C: FORMS

Instructions

Appendix B (Sampling Design) and Appendix C (Inspection Protocol) are to reflect the state's CSAP-approved sampling design and inspection protocol. These appendixes, therefore, should generally describe the design and protocol and, with the exception of Question #10 of Appendix B, are not to be modified with year-specific information. Please note that any changes to either appendix must receive CSAP's advance, written approval. To facilitate the state's completion of this section, simply cut and paste the previously approved sampling design (Appendix B) and inspection protocol (Appendix C) and respond to Question #10 of Appendix B to provide the requested information about sample size calculations for the Synar survey conducted in FFY 2017.

APPENDIX B: SYNAR SURVEY SAMPLING METHODOLOGY

State: Louisiana
FFY: 2018

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. ATC removes all tobacco outlets that possess an AG License. An AG License is issued to those outlets where individuals under the age of 18 are prohibited from being on the premises.

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

a. Is any area left out in the formation of the area frame?

☐ Yes ☐ No

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

_____%

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

☒ Yes ☐ No

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

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

If Yes, please indicate how likely it is that vending machines will be sampled.

- ☐ Vending machines are sampled separately to ensure vending machines are included in the sample
- ☒ Vending machines are sampled together with over the counter outlets, so it is possible that no vending machines were sampled, however they are included in the sampling frame and have a non-zero probability of selection
- ☐ Other reasons (*Please describe.*) _____

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

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

Unstratified statewide sample:

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

Stratified sample:

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

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

7. Provide the following information about stratification.

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

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



b. Is clustering used within the stratified sample?

☐ Yes (Go to Question 8.)

☒ No (Go to Question 9.)

8. Provide the following information about clustering.

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

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

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

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

☐ Yes (Respond to part b.)

☒ No (Respond to part c and Question 10c.)

b. SSES Sample Size Calculator used?

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

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

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

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

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

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

$$n_t = dn_e$$

where d is the design effect estimated to be 1

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

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

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

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

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

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

10. Provide the following information about sample size calculations for the Synar survey conducted in FFY 2017.

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

Inputs for Effective Sample Size:

RVR:

Frame Size:

Input for Target Sample Size:

Design Effect:

Inputs for Original Sample Size:

Safety Margin:

Accuracy (Eligibility) Rate:

Completion Rate:

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

--

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

Calculating the Effective Sample Size (n_e) for one-tailed test at 95%		
Sampling frame size FFY 2018	N	6362
Margin of error	e	0.0175
Z-score for one-tailed 95% confidence interval	Z	1.645
Weighted RVR FFY 2017	p	0.141
Minimum effective sample size FFY 2018	n_e	917

Calculating the Target Sample Size (n_t)		
Design effect	d	1.0
Minimum effective sample size FFY 2018	n_e	917
Target sample size FFY 2018	n_t	917

Calculating the Original Sample Size (n_o)		
Target sample size FFY 2018	n_t	917
Accuracy (eligibility) rate FFY 2017	r_e	0.935
Completion rate FFY 2017	r_c	0.992
Original sample size FFY 2018	n_o	993

APPENDIX C: SYNAR SURVEY INSPECTION PROTOCOL SUMMARY

State: Louisiana

FFY: 2018

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

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

a. Consummated buy attempts?

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

b. Youth inspectors to carry ID?

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

c. Adult inspectors to enter the outlet?

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

d. Youth inspectors to be compensated?

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

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

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

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

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

☐ Always ☐ Usually ☐ Sometimes ☐ Rarely ☒ Never

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

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

- ☒ Cigarettes
- ☒ Small Cigars
- ☒ Cigarillos
- ☒ Smokeless Tobacco
- ☒ Electronic Cigarettes/Electronic Nicotine Delivery Systems (ENDS)
- ☐ Other

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

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

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

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

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

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

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

Guidelines for Youth Operatives

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

Guidelines for Inspection Protocol

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

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

a. Legal

☒ Yes ☐ No

(If Yes, please describe.)

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

b. Procedural

☒ Yes ☐ No

(If Yes, please describe.)

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

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

a. Legal

☐ Yes ☒ No

(If Yes, please describe.)

b. Procedural

☒ Yes ☐ No

(If Yes, please describe.)

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

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

training that must occur)?

a. Legal

☐ Yes ☒ No

(If Yes, please describe.)

b. Procedural

☒ Yes ☐ No

(If Yes, please describe.)

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

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

Inspection Methodology. At the point of inspection, the outlet name and address is verified. If the outlet is out of business, does not sell tobacco products, is a private facility not accessible to the public, is temporarily closed, is not located at the address, or is an adult club, the outlet is coded ineligible and the specific reason for ineligibility identified (I code). 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 (N code).

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

When attempts to purchase tobacco are successful, the agent(s) mails citations and summons in accordance with the State of Louisiana Alcohol and Tobacco Control Law. OATC agents enter the information on iPad tablets in a Google Form immediately following each inspection. This data is then forwarded to the Office for Behavioral Health for verification and analysis. **Figure 1** provides details about the inspection process.

Figure 1. Synar inspection process

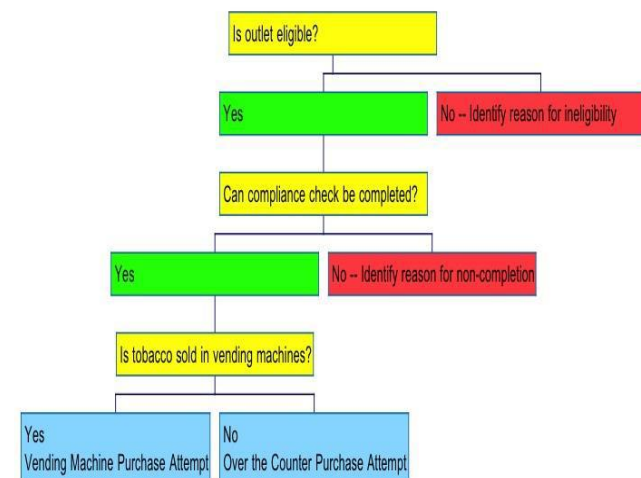
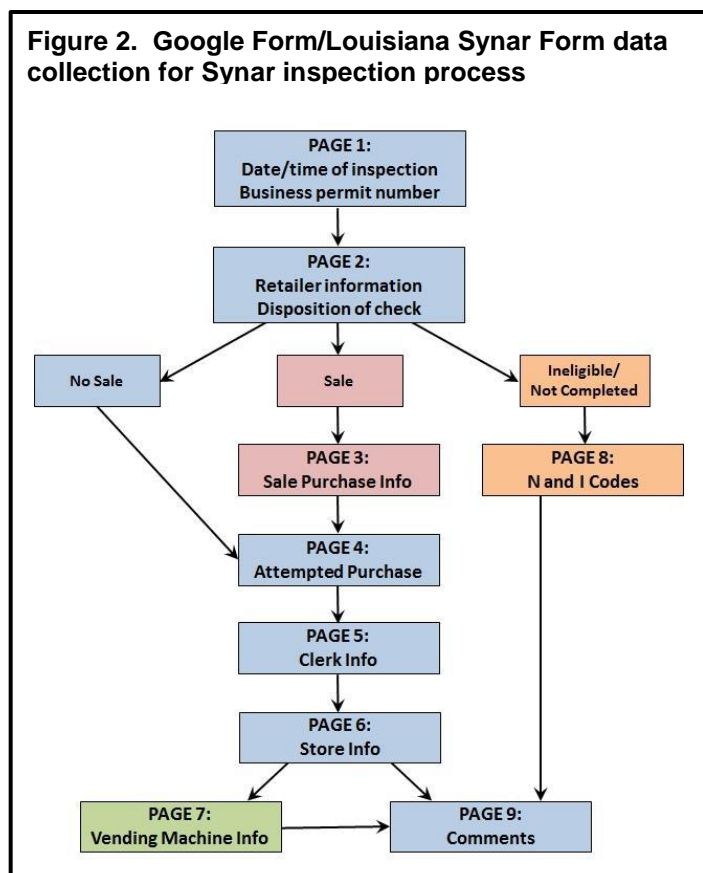


Figure 2. Google Form/Louisiana Synar Form data collection for Synar inspection process



Developing Database Entry Form.

Since FFY 2005, an electronic system created in EpiInfo has been used for data entry of sampled outlets for Synar inspections. This OmniForm was developed to improve accuracy and timeliness of the survey results, and to reduce agent burden. At the time, OATC staff officers and focus groups with the regional supervisors supported the move from collecting data on paper forms to electronic forms on laptops. In 2016, taking advantage of the availability of iPads for all OATC agents in the field, the OmniForm was converted to online Google Forms to further enhance accuracy and timeliness of data collection and to further reduce agent burden. The online Google Form (i.e., Louisiana Synar Form), which includes required fields, specified field formats, drop-down response lists, and response-based skip patterns, was tested by OATC headquarters

staff, headquarters technical support, and supervisors. Following minor revisions based on beta testing, the final online Louisiana Synar Form was implemented in May 2016 for FFY 2017 data collection. Training on use of the Louisiana Synar Form was provided to OATC headquarters staff (via telephone), who in turn provided training to the field agents. An instruction manual was also provided to OATC headquarters staff and state OBH staff on how to access and manage the data collected, which are stored in an Excel spreadsheet in Google Drive cloud service. The Louisiana Synar Form data collection flow, shown in **Figure 2**, follows the Synar inspection process. Screen shots of the Louisiana Synar Form pages are shown in **Figures 3a-3j**.

Figure 3a. Online Google Form, page 1

Louisiana Office of Alcohol and Tobacco Control - Louisiana Synar Form

* Required

Date and Time of Compliance Check *

MM DD YYYY Time
/ / 2016 : AM ▾

10 Digit Permit Number *

Your answer

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Figure 3b. Online Google Form, page 2

Louisiana Office of Alcohol and Tobacco Control - Louisiana Synar Form

* Required

Retailer's Information

Operative ID # *

Maximum 11 digits

Your answer

Ranking Agent # *

Maximum 3 digits

Your answer

2nd Agent #/ Witness #

Your answer

Type of Retailer: *

Choose ▾

Disposition of Check

Eligible and Complete *

Choose ▾

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Figure 3c. Online Google Form, page 3

Louisiana Office of Alcohol and Tobacco Control - Louisiana Synar Form

* Required

Sale Purchase Information

Name of Item Sold *

Your answer

Price of Item *

Enter price of item if a sale was made (xx.xx)

Your answer

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Figure 3d. Online Google Form, page 4

Louisiana Office of Alcohol and Tobacco Control - Louisiana Synar Form

* Required

Attempted Purchase

IF PURCHASE IS ATTEMPTED (if No sale or Sale was checked in the last section), COMPLETE THE FOLLOWING FIELDS

How Outlet Sells Tobacco: *

Check all that apply

- ☐ Direct face to face exchange
- ☐ Self-service display
- ☐ Vending Machine (attempt purchase)

Type of Purchase Attempt *

Check one option only

- ☐ Direct face to face exchange
- ☐ Self-service display
- ☐ Vending Machine

Type of Tobacco Attempted *

Check one option only

Choose

Clerk Asked for ID?

- ☐ Yes
- ☐ No

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Figure 3e. Online Google Form, page 5

Louisiana Office of Alcohol and Tobacco Control - Louisiana Synar Form

* Required

Sales Clerk Information

Salesclerk Gender *

- ☐ Female
☐ Male

Salesclerk Age *

- ☐ Under 21
☐ 21-29
☐ 30+

Salesclerk Race *

- ☐ African-American
☐ Asian
☐ Caucasian
☐ Hispanic
☐ Middle-Eastern
☐ Other

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Figure 3f. Online Google Form, page 6

Louisiana Office of Alcohol and Tobacco Control - Louisiana Synar Form

* Required

Store Observation

Vending machines present? *

- ☐ Yes
☐ No

Warning Signs/Age ID Device

Warning signs posted? *

- ☐ Yes
☐ No

Age ID Device at POS? *

- ☐ Yes
☐ No
☐ Do not know

Tobacco Ads Outside and Inside Store

Any exterior tobacco ads 3 feet or lower? *

- ☐ Yes
☐ No

Any interior tobacco ads within 6 inches of candy? *

- ☐ Yes
☐ No

Novel Tobacco Products Visibly for Sale?

E-Cigarettes ? *

- ☐ Yes
☐ No

Dissolvable tobacco? (strips, sticks, orbs) *

- ☐ Yes
☐ No

Snus? (sachets) *

- ☐ Yes
☐ No

Little cigars/tip cigars? *

- ☐ Yes
☐ No

Blunts/blunt wraps? *

- ☐ Yes
☐ No

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Figure 3g. Online Google Form, page 7

Louisiana Office of Alcohol and Tobacco Control - Louisiana Synar Form

* Required

Vending machine information

Complete only if vending machines are present

Have locking device? *

☐ Yes

☐ No

Require special tokens? *

☐ Yes

☐ No

In view of an adult? *

☐ Yes

☐ No

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Figure 3h. Online Google Form, page 8

Louisiana Office of Alcohol and Tobacco Control - Louisiana Synar Form

* Required

Ineligible or Not Completed

Select N Code or I Code *

Choose ▼

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Figure 3i. Online Google Form, page 8 – drop-down response list

Choose

- N1 - In operation, but closed at time of visit
- N2 - Unsafe to access
- N3 - Presence of police
- N4 - Youth inspector knows saleperson
- N5 - Moved to new location but not inspected
- N6 - Drive thru only/youth inspector has no drivers license
- 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/Carton sale only
- I8 - Vending machine broken
- I9 - Duplicate
- I10 - Other ineligibility

Figure 3j. Online Google Form, page 9

Louisiana Office of Alcohol and Tobacco Control - Louisiana Synar Form

Comments

Your answer

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Data Collection Procedures. Information about process of entering data, compliance check procedures, tobacco purchase attempts, and compliance with Federal procedures is provided in **Table 1**.

Table 1. Data collection procedures

Software

- Google Forms will be used for the online Louisiana Synar 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 Louisiana Synar Form and “Submit”.

Compliance check procedures

- Every outlet must have identifying information completed (permit number and type of retailer are required fields on the Louisiana Synar Form).
- Enter the permit number from the master log; if the outlet has a new permit number, enter the new number on the form.
- If you attempt to purchase tobacco, you must complete the tobacco purchase page.
- If the outlet is not eligible, or you could not complete the compliance check, you must indicate the reason for ineligibility or non-completion (N or I codes).
- 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 be asked for change to purchase cigarettes from a clerk.
 - The clerk’s gender, age, and race are entered in the salesclerk gender, age, race section.
 - Identify the vending machine characteristics on the form.

Compliance With Federal Procedures

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

Monitoring Data Collection. Three layers of monitoring are developed to ensure accuracy of the data. Each agent checks the form before submitting the data through the online Google Form. Then, the data are reviewed by the OATC program manager at headquarters. Finally, the State Synar Coordinator reviews the data before sending to the Synar Principal Investigator.

Following the data collection period, an analytic dataset is created and logical consistency checks are used to further verify the data. Inconsistencies are resolved in consultation with OATC staff. Variables in the analytic dataset are indicated in **Table 2**.

Table 2. Variables in analytic dataset

General information

- Date and time of inspection
- Permit number
- Retailer name
- Retailer address
- Youth operative
- Gender and age of youth operative
- Adult agent(s)
- Type of outlet

Disposition

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

Purchase attempt

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

APPENDIX D: LIST SAMPLING FRAME COVERAGE STUDY

(LIST FRAME ONLY)

State: Louisiana

FFY: 2018

1. Calendar year of the coverage study: 2017

2. a. Unweighted percent coverage found: 91.7%
 b. Weighted percent coverage found: 91.9%
 c. Number of outlets found through canvassing: 181
 d. Number of outlets matched on the list frame: 166

3. a. Describe how areas were defined. (*e.g., census tracts, counties, etc.*)

All parishes (counties) in Louisiana were included in the sampling frame for the Coverage Study. The primary sampling units (PSUs) of the sampling frame consisted of individual parishes or clusters of parishes. Individual parishes with fewer than 50 outlets (based on the state's licensure list of tobacco outlets) were clustered with up to two other contiguous parishes to result in roughly 50-200 outlets per PSU. A total of 42 PSUs were defined. Four individual parishes had roughly 250-350 outlets each (Caddo, Calcasieu, St. Tammany, and La Salle) and three had >450 outlets each (Orleans, East Baton Rouge, and Jefferson). These parishes were not divided to reduce the number of outlets per PSU.

b. Were any areas of the state excluded from sampling?

☐ Yes ☒ No

If Yes, please explain.

4. Please answer the following questions about the selection of canvassing areas.

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

☐ Census (*Go to Question 6.*)

Unstratified statewide sample:

☐ Simple random sample (*Respond to Part b.*)

☐ Systematic random sample (*Respond to Part b.*)

☐ Single-stage cluster sample (*Respond to Parts b and d.*)

☐ Multistage cluster sample (*Respond to Parts b and d.*)

Stratified sample:

☐ Simple random sample (*Respond to Parts b and c.*)

☐ Systematic random sample (*Respond to Parts b and c.*)

- ☐ Single-stage cluster sample (*Respond to Parts b, c, and d.*)
- ☒ Multistage cluster sample (*Respond to Parts b, c, and d.*)
- ☐ **Other** (*Please describe and respond to Part b.*) _____

b. Describe the sampling methods.

The 42 PSUs were stratified as urban (defined as >450 outlets) and other state (<450 outlets). The three urban PSUs were selected for inclusion in the Coverage Study, and a two-stage random sampling method was used for the other state stratum of 40 PSUs. In the first sampling stage, 14 PSUs were randomly selected from the other state stratum using sampling probabilities proportional to the estimated number of outlets from the license list addresses within that PSU.

In the second sampling stage, the following sampling procedures were implemented for each of the 14 selected PSUs:

- The zip codes within a PSU were randomly ordered and then number sequentially.
- Beginning with the first ordered zip code, a starting point was randomly selected using the ArcGIS “Create Random Point”* feature within that zip code.
- From the random starting point, the nearest convenience store within the PSU was found using Google Maps. This convenience store became the starting address for the canvassing route of each PSU. A convenience store is a business which self-designates as such within the Google Maps database. The purpose of using of Google Maps to identify the nearest convenience store from the starting point is to reduce the likelihood that the canvassing would begin in an isolated or residential area, thus increasing the efficiency and reducing the cost of canvassing.

Since all three urban PSUs were selected for inclusion, the methodology for the urban PSUs differed slightly in that it had only one-stage sampling to randomly select a starting point for the canvassing route within the first randomly ordered zip code of the PSU. From the starting point, the nearest convenience store within the PSU was found using Google Maps, and this convenience store became the starting address for the canvassing route within the PSU.

c. Provide a full description of the strata that were created.

The state was divided into two mutually exclusive geographical strata defined as urban (three PSUs with >450 outlets) and other state (40 PSUs with <450 outlets).

d. Provide a full description of how clusters were formed.

The majority of the state stratum PSUs consisted of individual parishes with at least 50 outlets. The individual parishes with <50 outlets were clustered with 1-2 contiguous parishes to increase the number of outlets to roughly 50-200 within the

PSU. Larger parishes with >50 outlets were not clustered and each comprised a mutually exclusive PSU.

5. Were borders of the selected areas clearly identified at the time of canvassing?

☒ Yes ☐ No

6. Were all sampled areas visited by canvassing teams?

☒ Yes (*Go to Question 7.*) ☐ No (*Respond to Parts a and b.*)

a. Was the subset of areas randomly chosen?

☐ Yes ☐ No

b. Describe how the subsample of visited areas was drawn. Include the number of areas sampled and the number of areas canvassed.

7. Were field observers provided with a detailed map of the canvassing areas?

☒ Yes ☐ No

If No, describe the canvassing instructions given to the field observers.

8. Were field observers instructed to find all outlets in the assigned area?

☐ Yes ☒ No

If No, respond to Question 9.

If Yes, describe any instructions given to the field observers to ensure the entire area was canvassed, then go to Question 10.

9. If a full canvassing was not conducted:

a. How many predetermined outlets were to be observed in each area? 15 in each of the 3 urban PSUs and 10 in each of the 14 other state PSUs (185 total)

b. What were the starting points for each area? Nearest convenience store to a randomly selected address

c. Were these starting points randomly chosen?

☒ Yes ☐ No

d. Describe the selection of the starting points.

The zip codes within each of the 17 selected PSUs were randomly ordered and then numbered sequentially. A starting point for the canvassing route of each PSU was randomly selected within the first sorted zip code of the PSU. From the starting point, the nearest convenience store within the PSU was found using Google Maps.

This convenience store became the starting address for the canvassing route of each PSU.

e. Please describe the canvassing instructions given to the field observers, including predetermined routes.

The Field Surveyors were provided with the starting address (i.e., selected convenience stores) and maps of predetermined canvassing routes for each of the 17 PSUs in separate packets. Written instructions and paper data collection forms were also provided. The order in which each PSU was canvassed was predetermined to minimize the amount of travel time for the Field Surveyors, beginning with the PSU in the northwest corner of the state and ending with the PSU in the southeast corner of the state.

Within each PSU, if the starting address convenience store sold tobacco products over the counter that require a retailer license (i.e., cigars, cigarettes, other tobacco products, alternative nicotine products, or vapor products such as e-cigarettes), data on that convenience store would be collected for the Coverage Study, including store name, location, and contact information. If possible, a picture of the storefront would be taken to later help match the business to the state license list. If the starting address convenience store did not sell tobacco products over the counter, or the business could not be entered or located, no data would be collected on the store.

Within each PSU, the Field Surveyors canvassed the first predetermined route from the starting address convenience store to the post office within the first randomly ordered zip code, collecting data on all eligible tobacco product retailers along the way (on both sides of the street, unless the street was a PSU boundary, then only the side of the street that borders the PSU was canvassed).

The distance to the next outlet could range widely from feet to miles. The Field Surveyors walked or drove along the predetermined route until the requisite number of outlets were identified that sold cigarettes over the counter – 15 for the urban PSUs and 10 for the other state PSUs.

Upon reaching the post office in the first ordered zip code, if the requisite number of outlets had not yet been identified, the route and canvassing continued from the first randomly ordered zip code's post office to the second randomly ordered zip code's post office. The route continued to the next sequential zip code's post office in sequential order until the requisite number of outlets had been identified with data collected for the Coverage Study. If a randomly ordered zip code did not have a post office, then the next randomly ordered zip code's post office was used for the route. The predetermined routes were generated using Mapquest, with the option to avoid controlled access highways (i.e., roads with on/off ramps; for motor vehicles only – no pedestrians; with no intersections; and with no property access). The routes are random since the zip codes were randomly ordered and the starting points were randomly selected.

If the requisite number of outlets was not identified by the end of the route at the last zip code's post office, the protocol was to make a right turn from the main entrance of the post office and continue to canvass until another outlet was found. Then another right turn was made and canvassing continued until another outlet was

found, etc. If this method led outside of a PSU border, then the Fields Surveyors were instructed to turn right upon reaching the PSU border.

It is possible that the predetermined routes from one sequential post office to the next may traverse outside of a PSU. The Field Surveyors were instructed to collect data on any tobacco retailers along the PSU routes, regardless of whether they fell within or outside of the PSU boundaries. During data cleaning, the tobacco retailers that were included in the data collection but that fell outside of a PSU boundary were excluded from the Coverage Study analysis. Following this protocol, the requisite number of tobacco outlets identified in the Coverage Study totals 185. This number takes into consideration the potential for excluding tobacco retailers that fall outside of a PSU boundary. SAMHSA recommends sampling areas to result in a total of 130-200 outlets identified for the Coverage Study. Even with exclusions of outlets that fall outside of the PSU, we anticipate having well above 130 outlets identified for the Coverage Study.

10. Describe the process field observers used to determine if an outlet sold tobacco.

Field surveyors enter any property accessible to youth. Private property and adult public access outlets (e.g., bars, adult clubs, casinos) are not entered. Field surveyors ask whether cigarettes or other tobacco products are sold on the premises.

11. Please provide the state's definition of "matches" or "mismatches" to the Synar sampling frame? (i.e., address, business name, business license number, etc).

The initial match with the state Tobacco License list included the following categories:

- (1) Exact (identical) match of name and address on the list
- (2) Close (approximate) match with slight variations in name and/or address
- (3) No match on the list

Of the 181 outlets, 161 were an exact match (89.0%), 5 were a close match (2.8%), and 15 did not match with the list (8.3%).

Initial Status Matching Field Study Data with Tobacco List

Status	Frequency	Percent	Cumulative Percent
Exact Match	161	89.0	89.0
Close Match	5	2.8	91.7
No Match	15	8.3	100.0
Total	181	100.0	

The 15 outlets that were a close match were researched and all 15 were deemed matches to the list. The final match with the state Tobacco License List resulted in 166 outlets matched (91.7%).

Final Status Matching Field Study Data with Tobacco List

Status	Frequency	Percent	Cumulative Percent
Matched	166	91.7	91.7
Not Matched	15	8.3	8.3
Total	181	100.0	100.0

The crosstabulation of the final status of matching by PSU is shown in the table below.

Crosstabulation of the PSUs with Final Status

Count		Final status after discrepancies		Total
		Matched	Not Matched	
PSUs	1	9	1	10
	2	10	0	10
	3	9	1	10
	4	7	0	7
	5	10	0	10
	6	8	2	10
	7	10	0	10
	8	8	2	10
	9	10	0	10
	10	9	1	10
	11	14	1	15
	12	7	3	10
	13	7	2	9
	14	10	0	10
	15	10	0	10
	16	15	0	15
	17	13	2	15
Total		166	15	181

12. Provide the calculation of the weighted percent coverage (if applicable).

We plan to use Proc Surveymeans to calculate the weighted percent coverage. That is, the rates will be calculated using the following formula:

$$\text{Percent Coverage} = \frac{(\text{ExactMatch}) + (\text{CloseMatch})}{(\text{ExactMatch}) + (\text{CloseMatch}) + (\text{NoMatch})}$$

A weight will be assigned to each outlet. This will be the base (design) weight that is the inverse of the probability of selection. The probability of selecting an outlet is calculated from the probability of selecting the nearest address. For a random strata, the probability of

selecting any address is simply the total sample size of the stratum divided by the total population of the stratum.

The probability of selecting an address in the state stratum (with multiple PSUs or clusters) is a little more complex. The state stratum employs a cluster design where the clusters (PSUs) are selected using PPS (Probability Proportionate to Size) sampling. The overall probability of selecting an outlet is the product of the probabilities of each stage of sampling (iii) (i.e., the probability of selecting a cluster in the first stage (i) multiplied by the probability of selecting an address in the second stage (ii)).

Let,

PROBCL = Probability of selecting a cluster

PROBADDCL = Probability of selecting an address within the cluster

PROBST = Probability of selecting the address in the stratum

NCLUST = Number of clusters in the stratum

SPS = Cluster population size (cancels out in PPS sampling)

ELIGN = Eligible stratum population size

SAMPSIZE = Sample size of the clusters in the stratum

SAMPOUTST = Sample size of outlets within the cluster

$$(i) \text{ } PROBCL = \frac{SAMPSIZE}{NCLUST} \times \frac{SPS}{ELIGN}$$

$$(ii) \text{ } PROBADDCL = \frac{SAMPOUTST}{SPS}$$

$$(iii) \text{ } PROBST = (PROBCL) \times (PROBADDCL)$$

$$(iv) \text{ } PROBST = \left(\frac{SAMPSIZE}{NCLUST} \times \frac{SPS}{ELIGN} \right) \times \left(\frac{SAMPOUTST}{SPS} \right)$$

$$(v) \text{ } PROBST = \left(\frac{SAMPSIZE}{NCLUST} \times \frac{SAMPOUTST}{ELIGN} \right)$$

$$(vi) \text{ } \textit{Base (design) Weight} = \frac{1}{PROBST} = \left(\frac{NCLUST \times ELIGN}{SAMPSIZE \times SAMPOUTST} \right)$$

The final weight adjusts for non-completion. Let SAMPOBS = the number of completed and eligible sample per stratum.

$$\textit{Final Weight} = \textit{Base Weight} \times \left(\frac{SAMPOUTST}{SAMPOBS} \right)$$

SAS Proc Surveymeans will be used to calculate the percent coverage.

The calculated weighted matching by PSU is shown in the table below.

Calculating Coverage Rates

PSU number	Total number of outlets per PSU	Number of Outlets Selected	Number of Outlets matched to list for PSU	Weighting factor (total number of outlets/selected number of outlets)	Weighted match (weighting factor * number of matched outlets)	Weighted total (weighting factor * number of outlets)
1	334	10	9	14.37	129.37	143.74
2	101	10	10	47.53	475.35	475.35
3	52	10	9	92.33	830.94	923.27
4	99	7	7	48.49	339.46	339.46
5	195	10	10	24.62	246.21	246.21
6	193	10	8	24.88	199.01	248.76
7	320	10	10	15.00	150.03	150.03
8	307	10	8	15.64	125.11	156.38
9	100	10	10	48.01	480.10	480.10
10	100	10	9	48.01	432.09	480.10
11	122	10	7	39.35	275.47	393.52
12	153	9	7	31.38	219.65	282.41
13	75	10	10	64.01	640.13	640.13
14	248	10	10	19.36	193.59	193.59
15	558	15	15	1.00	15.00	15.00
16	468	15	13	1.00	13.00	15.00
17	535	15	14	1.00	14.00	15.00
		181	166	535.99	4778.50	5198.06

Unweighted Coverage Rate 0.917
Weighted Coverage Rate 0.919

The overall calculated weighted frequency and percent coverage are shown in the table below.

Weighted Frequency Distribution

Final Status	Frequency	Percent	Cumulative Percent
Matched	4778.5	91.9	91.9
Not Matched	419.6	8.1	100.0
Total	5198.1		