

# **ANNUAL SYNAR REPORT**

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

OMB № 0930-0222

**FFY 2021**

**State: IN**

## Table of Contents

Introduction.....	i
FFY 2021: Funding Agreements/Certifications.....	1
Section I: FFY 2020 (Compliance Progress).....	2
Section II: FFY 2021 (Intended Use).....	11
Appendix A: Forms 1–5.....	13
Appendixes B & C: Forms.....	20
Appendix B: Synar Survey Sampling Methodology .....	19
Appendix C: Synar Survey Inspection Protocol Summary.....	21
Appendix D: List Sampling Frame Coverage Study .....	25

Public Burden Statement: An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number. The OMB control number for this project is 0930-0222. Public reporting burden for this collection of information is estimated to average 18 hours per respondent, per year, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to SAMHSA Reports Clearance Officer, 5600 Fishers Lane, Rockville, MD 20857.

## INTRODUCTION

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

### **How the Synar report helps the Center for Substance Abuse Prevention**

In accordance with the tobacco regulations, states are required to provide detailed information on progress made in enforcing youth tobacco access laws (FFY 2020 Compliance Progress) and future plans to ensure compliance with the Synar requirements to reduce youth tobacco access rates (FFY 2021 Intended Use Plan). These data are required by 42 U.S.C. 300x-26 and will be used by the Secretary to evaluate state compliance with the statute. Part of the mission of the Center for Substance Abuse Prevention (CSAP) is to assist states<sup>1</sup> by supporting Synar activities and providing technical assistance helpful in determining the type of enforcement measures and control strategies that are most effective. This information is helpful to CSAP in improving technical assistance resources and expertise on enforcement efforts and tobacco control program support activities, including state Synar program support services, through an enhanced technical assistance program involving conferences and workshops, development of training materials and guidance documents, and 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.

---

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

## Getting assistance in completing the Synar report

If you have questions about programmatic issues, you may call CSAP's Division of State Programs at (240) 276-2550 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, 2020 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 2021 Synar Survey Results: States that use the Synar Survey Estimation System (SSES) must upload one copy of *SSES Tables 1–8* (in Excel) to WebBGAS. **Please note that, beginning with the FFY 2021 ASR, SSES will generate Tables 6, 7, and 8, which are based on the optional microdata on product type, retail outlet type, and whether identification was requested. If your state does not submit these optional data, Tables 6, 7, and 8 will be blank. Tables 6, 7, and 8 are generated for the convenience of the state, and states are not required to submit completed versions of Tables 6, 7, or 8.** 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 2021: 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.

<b>PUBLIC HEALTH SERVICES ACT AND SYNAR AMENDMENT</b>	
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.	
<b>SYNAR SURVEY SAMPLING METHODOLOGY</b>	
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 2021 is up-to-date and approved by the Center for Substance Abuse Prevention.	
<b>SYNAR SURVEY INSPECTION PROTOCOL</b>	
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 2021 is up-to-date and approved by the Center for Substance Abuse Prevention.	
<b>State: Indiana</b>	
<b>Name of Chief Executive Officer or Designee: Jennifer Sullivan</b>	
<b>Signature of CEO or Designee:</b> 	
Secretary, Indiana Family and Social Services <b>Title:</b> Administration	<b>Date Signed:</b> 12/11/2020
<b>If signed by a designee, a copy of the designation must be attached.</b>	

**SECTION I: FFY 2020 (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 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.)* The increase in purchase age to 21 now allows for Synar inspections to utilize youth ages 18-20 years of age.

Due to COVID-19 mandatory face-mask requirements were in place for a large portion of the reporting period and therefore youth were required to wear facemasks and follow other guidance set out in the executive order.

**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 2021 ASR was posted to this Web address.)*

Web address: <https://www.in.gov/fssa/dmha/files/FFY-2021-ASR-OMB-APPROVED-draft.pdf>

*Date published: 11/19/2020*

- 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:**

Indiana Division of Mental Health and Addiction (DMHA)

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

- Yes  No

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

Indiana Alcohol and Tobacco Commission- State Excise Police through a MOU with DMHA

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):**

Alcohol and Tobacco Commission- State Excise Police

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).**

Indiana State Department of Health Tobacco Cessation Program (ISDH) serves as a partner on DMHA Synar Advisory Committee as well as participates in strategies designed to combat access to tobacco for youth and young adults

**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.)* \_\_\_\_\_ *TPC serves on the Synar Advisory Committee*
- 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)).**  
 \_\_\_\_\_  
*Indiana University- Prevention Insights*

**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 2020 (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>	93	87	180
Number of <u>finest assessed</u>	93	87	180
Number of <u>permits/licenses suspended</u>	1		1
Number of <u>permits/licenses revoked</u>	0		0
Other (Please describe.) <i>above numbers are low due to inspections not taking place from 3/16/20 to 9/7/20</i>			

- 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:

Compliance details are not advertised and always conducted discretely as possible. Officers are encouraged to deliver violations at the end of a compliance detail when feasible. Geographic areas with numerous inspectable locations in close proximity are often times split up to be conducted on different dates.

- 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

Retailer education video was continued to be shared with the retail organizations and posted on the state website. <https://youtu.be/UgNH7-epjGA> The only issue is this now needs to be updated due to both state and federal age of purchase laws being changed. Indiana has also contracted starting Oct. 2020 to develop a statewide retailer training.

Indiana also worked with ISDH and ATC around the implementation of the tobacco 21 law that took effect July 2020. Our office created and had updated signage printed and mailed to all tobacco certificate holders impacted by this law change. We received over 300 retailer email addresses for a statewide listserv to assist with future communications with retailers.

Indiana Food and Fuel Association is working to help outline FDA and State enforcement processes of underage sale laws. Program Director is working with them to create this document and may also plan to hold a webinar to further discuss this with retailers.

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)

There is a map of retail locations similar to that of the FDA map that includes all inspections done in the state starting June 2019. This will help better equip communities and shop owners with locating those retailers in specific areas and their most recent compliance information. Future utilization of this map can help assist in recognition or incentives to those that comply with the law. The map can be found here, <https://www.in.gov/fssa/dmha/3456.htm>.

Community education regarding youth access laws

Program Director provides presentations on the Synar report and youth vaping to organizations across the state. Also, the map mentioned above has been shared with many prevention and youth serving organizations across the state to further promote the inspections taking place in Indiana.

Media use to publicize compliance inspection results

The list of compliance inspections prior to July 2019 can be found on the State of Indiana Division of Mental Health and Addiction website and inspections from June 2019 on are available on the map mentioned above.

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

Presentations to local groups happen throughout the year to inform the community and increase support for retailer compliance with youth access laws.

Other activities (*Please list.*) \_\_\_\_\_

\_\_\_\_\_



## 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 2020 (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, upload a copy of SSES tables 1–8 (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.)*

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

- Yes  No  No stratification

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

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

- Yes  No

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

*If No, go to Question 7g.*

**Were any certainty primary sampling units selected this year?**

- Yes  No

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

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

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

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

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

Yes  No

*If Yes, answer the following questions about its coverage.*

**a. The calendar year of the latest Sampling frame coverage study: 2020**

**b. Percent coverage from the latest Sampling frame coverage study: 97.00%**

**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: 2022**

**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**

The change was approved via email to Cathy Blume from Jon Dunbar on Sept. 16, 2020. This is prior to Indiana starting inspections for FFY21. The email will be attached in other documents to this report.

**b. Provide the inspection period: From 09/17/20 to 10/30/20**  
MM/DD/YY MM/DD/YY

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

28

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 2021 (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 2021. 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.

The plan to reduce the State of Indiana's current RVR of 15.1% is as follows: We will work more closely with retailer groups and utilize the listserv of tobacco retailers to develop and form deeper connections within the tobacco retailer industry to support and obtain better compliance with underage sale laws. We plan to start with areas of the state that have high RVR rates to create the most impact.

### 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

Given COVID was an unforeseen public health issue that came up this year, Indiana Excise officers were tasked with upholding our Governors executive orders. Due to a shift in their roles/responsibilities ATC suspended all underage inspections from mid-March to mid-September 2020.

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

Due to most of the state being shut down due to COVID Indiana was unable to conduct a survey of retailers in the spring as originally planned. This in turned caused fewer responses to the survey and less time to follow up with retailers to obtain responses. I have attached the results of this survey in other documents of this report.

Limitations in the state youth tobacco access laws

Indiana legislature passed law of changing our purchase age to 21, however, due to it implementing on July 1, 2020 and the news focus on COVID it was

difficult to update retailers on this change. We were able to mail out a letter and signage to all tobacco certificate holders impacted but communication like this from our office is new for retailers and it is likely some retailers did not open the mailed items.

- Limited public support for enforcement of youth tobacco access laws

Early in 2020, communities were interested in youth access laws due to the recent increase of the federal law on youth access and Indiana's current legislation to increase the purchase age that did pass. This momentum quickly faded despite our efforts due to the increase of COVID cases. Indiana did create a presentation for our prevention partners to share with their coalitions, but many meetings were suspended due to COVID.

- Limitations on completeness/accuracy of list of tobacco outlets

Indiana was able to complete our coverage study, but it was not in the typical fashion we would normally do. Most of the study was conducted prior to the state shutting down but the last portion was held off until later in the year. We were expecting our list to be off due to the impact of but that was not the case.

- Limited expertise in survey methodology

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

- Difficulties recruiting youth inspectors

Indiana was able to maintain a list of youth inspectors willing to conduct inspections and even have started to recruit for next year. With the increased purchase age law going into effect and updated protocols approved we were able to utilize young adults who typically assist with underage alcohol inspections to fill any gaps we had with the scheduling of inspections and the tight timeline we were on due to starting inspections so late in the year.

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

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

Due to Indiana starting Synar inspections late in the year because of COVID restrictions, we were not able to adjust the use of gender, race/ethnicity, or age as we typically would. Indiana's law enforcement officers are aware of the need for these balances and adjusted in the field. These adjustments largely helped in achieving the closer balances than what we expected.

- Geographic, demographic, and logistical considerations in conducting inspections

Indiana state law changed in July 2020 increasing the purchase age of tobacco to 21. This gave Indiana the opportunity to incorporate older youth into the inspections. We did not know exactly how this would impact our overall RVR given COVID and the law only being in place for 3 months prior to inspections starting.

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

- Issues regarding sources of tobacco under tribal jurisdiction

- Other challenges (*Please list.*) \_\_\_\_\_ COVID impacts \_\_\_\_\_

Typically, inspections in Indiana start in April and end in August but due to COVID restrictions for our state and the shifted responsibilities of our law enforcement officers Indiana started inspections in mid-late September and concluded in October. This hindered our ability to make modifications on demographics of youth inspectors like we would typically give a larger timeframe to conduct inspections.

## APPENDIX A: FORMS 1–5

### FORM 1 (Required for all states not using the Synar Survey Estimation System (SSES) to analyze the Synar Survey data)

Complete Form 1 to report sampling frame and sample information and to calculate the unweighted retailer violation rate (RVR) using results from the current year’s Synar survey inspections.

**Instructions for Completing Form 1:** In the top right-hand corner of the form, provide the state name and reporting federal fiscal year (FFY 2021). Provide the remaining information by stratum if stratification was used. Make copies of the form if additional rows are needed to list all the strata.

Column 1: *If stratification was used:*

1(a) Sequentially number each row.

1(b) Write in the name of each stratum. All strata in the state must be listed.

*If no stratification was used:*

1(a) Leave blank.

1(b) Write “state” in the first row (indicates that the whole state is a single stratum).

*Note for unstratified samples: For Columns 2–5, wherever the instruction refers to “each stratum,” report the specified information for the state as a whole.*

Column 2: 2(a) Report the number of over the counter (OTC) outlets in the sampling frame in each stratum.

2(b) Report the number of vending machine (VM) outlets in the sampling frame in each stratum.

2(c) Report the combined total of OTC and VM outlets in the sampling frame in each stratum.

Column 3: 3(a) Report the estimated number of eligible OTC outlets in the OTC outlet population in each stratum.

3(b) Report the estimated number of eligible VM outlets in the VM outlet population in each stratum.

3(c) Report the combined total estimated number of eligible OTC and VM outlets in the total outlet population in each stratum.

*The estimates for Column 3 can be obtained from the Synar survey sample as the weighted sum of eligible outlets by outlet type.*

Column 4: 4(a) Report the number of eligible OTC outlets for which an inspection was completed, for each stratum.

4(b) Report the numbers of eligible VM outlets for which an inspection was completed, for each stratum.

4(c) Report the combined total of eligible OTC and VM outlets for which an inspection was completed, for each stratum.

Column 5: 5(a) Report the number of OTC outlets found in violation of the law as a result of completed inspections, for each stratum.

5(b) Report the number of VM outlets found in violation of the law as a result of completed inspections, for each stratum.

5(c) Report the combined total of OTC and VM outlets found in violation of the law as a result of completed inspections, for each stratum.

Totals: For each sub column (a–c) in Columns 2–5, provide totals for the state as a whole in the last row of the table. These numbers will be the sum of the numbers in each row for the respective column.



## **FORM 2 (Optional)**

### **Appropriate for stratified simple or systematic random sampling designs.**

Complete Form 2 to calculate the weighted RVR. This table (in Excel form) is designed to calculate the weighted RVR for stratified simple or systematic random sampling designs, accounting for ineligible outlets and noncomplete inspections encountered during the annual Synar survey.

**Instructions for Completing Form 2:** In the top right-hand corner of the form, provide the state name and reporting federal fiscal year (FFY 2021).

- Column 1: Write in the name of each stratum into which the sample was divided. These should match the strata reported in Column 1(b) of Form 1.
- Column 2: Report the number of outlets in the sampling frame in each stratum. These numbers should match the numbers reported for the respective strata in Column 2(c) of Form 1.
- Column 3: Report the original sample size (the number of outlets originally selected, *including* substitutes or replacements) for each stratum.
- Column 4: Report the number of sample outlets in each stratum that were found to be eligible during the inspections. Note that this number must be less than or equal to the number reported in Column 3 for the respective strata.
- Column 5: Report the number of eligible outlets in each stratum for which an inspection was completed. Note that this number must be less than or equal to the number reported in Column 4. These numbers should match the numbers reported in Column 4(c) of Form 1 for the respective strata.
- Column 6: Report the number of eligible outlets inspected in each stratum that were found in violation. These numbers should match the numbers reported in Column 5(c) of Form 1 for the stratum.
- Column 7: Form 2 (in Excel form) will automatically calculate the stratum RVR for each stratum in this column. This is calculated by dividing the number of inspected eligible outlets found in violation (Column 6) by the number of inspected eligible outlets (Column 5). The state unweighted RVR will be shown in the Total row of Column 7.
- Column 8: Form 2 (in Excel form) will automatically calculate the estimated number of eligible outlets in the population for each stratum. This calculation is made by multiplying the number of outlets in the sampling frame (Column 2) times the number of eligible outlets (Column 4) divided by the original sample size (Column 3). Note that these numbers will be less than or equal to the numbers in Column 2.
- Column 9: Form 2 (in Excel form) will automatically calculate the relative stratum weight by dividing the estimated number of eligible outlets in the population for each stratum in Column 8 by the Total of the values in Column 8.
- Column 10: Form 2 (in Excel form) will automatically calculate each stratum's contribution to the state weighted RVR by multiplying the stratum RVR (Column 7) by the relative stratum weight (Column 9). The weighted RVR for the state will be shown in the Total row of Column 10.
- Column 11: Form 2 (in Excel form) automatically calculates the standard error of each stratum's RVR (Column 7). The standard error for the state weighted RVR will be shown in the Total row of Column 11.
- TOTAL:** For Columns 2–6, Form 2 (in Excel form) provides totals for the state as a whole in the last row of the table. For Columns 7–11, it calculates the respective statistic for the state as a whole.

**FORM 2 (Optional) Appropriate for stratified simple or systematic random sampling designs.**

Calculation of Weighted Retailer Violation Rate										
										State: _____
										FFY: 2021
(1) Stratum Name	(2) N Number of Outlets in Sampling Frame	(3) n Original Sample Size	(4) n1 Number of Sample Outlets Found Eligible	(5) n2 Number of Outlets Inspected	(6) x Number of Outlets Found in Violation	(7) p=x/n2 Stratum Retailer Violation Rate	(8) N'=N(n1/n) Estimated Number of Eligible Outlets in Population	(9) w=N'/Total Column 8 Relative Stratum Weight	(10) pw Stratum Contribution to State Weighted RVR	(11) s.e. Standard Error of Stratum RVR
<b>Total</b>										

- N - number of outlets in sampling frame
- n - original sample size (number of outlets in the original sample)
- n1 - number of sample outlets that were found to be eligible
- n2 - number of eligible outlets that were inspected
- x - number of inspected outlets that were found in violation
- p - stratum retailer violation rate (p=x/n2)
- N' - estimated number of eligible outlets in population (N'=N\*n1/n)
- w - relative stratum weight (w=N'/Total Column 8)
- pw - stratum contribution to the weighted RVR
- s.e. - standard error of the stratum RVR

**FORM 3 (Required when a cluster design is used for all states not using the Synar Survey Estimation System [SSES] to analyze the Synar survey data.)**

Complete Form 3 to report information about primary sampling units when a cluster design was used for the Synar survey.

**Instructions for Completing Form 3:** In the top right-hand corner of the form, provide the state name and reporting federal fiscal year (FFY 2021).

Provide information by stratum if stratification was used. Make copies of the form if additional rows are needed to list all the strata.

Column 1: Sequentially number each row.

Column 2: *If stratification was used:* Write in the name of stratum. All strata in the state must be listed.

*If no stratification was used:* Write “state” in the first row to indicate that the whole state constitutes a single stratum.

Column 3: Report the number of primary sampling units (PSUs) (i.e., first-stage clusters) created for each stratum.

Column 4: Report the number of PSUs selected in the original sample for each stratum.

Column 5: Report the number of PSUs in the final sample for each stratum.

TOTALS: For Columns 3–5, provide totals for the state as a whole in the last row of the table.

<b>Summary of Clusters Created and Sampled</b>				
				<b>State:</b> _____
				<b>FFY:</b> 2021 _____
(1) Row #	(2) Stratum Name	(3) Number of PSUs Created	(4) Number of PSUs Selected	(5) Number of PSUs in the Final Sample
<b>Total</b>				



**FORM 4 (Required for all states not using the Synar Survey Estimation System [SSES] to analyze the Synar Survey data)**

Complete Form 4 to provide detailed tallies of ineligible sample outlets by reasons for ineligibility and detailed tallies of eligible sample outlets with noncomplete inspections by reasons for noncompletion.

**Instructions for Completing Form 4:** In the top right-hand corner of the form, provide the state name and reporting federal fiscal year (FFY 2021).

Column 1(a): Enter the number of sample outlets found ineligible for inspection by reason for ineligibility. Provide the total number of ineligible outlets in the row marked “Total.”

Column 2(a): Enter the number of eligible sample outlets with noncomplete inspections by reason for noncompletion. Provide the total number of eligible outlets with noncomplete inspections in the row marked “Total.”

<b>Inspection Tallies by Reason of Ineligibility or Noncompletion</b>			
		<b>State:</b> _____	
		<b>FFY:</b> 2021	
(1) INELIGIBLE		(2) ELIGIBLE	
Reason for Ineligibility	(a) Counts	Reason for Noncompletion	(a) Counts
Out of business		In operation but closed at time of visit	
Does not sell tobacco products		Unsafe to access	
Inaccessible by youth		Presence of police	
Private club or private residence		Youth inspector knows salesperson	
Temporary closure		Moved to new location	
Unlocatable		Drive-thru only/youth inspector has no driver's license	
Wholesale only/Carton sale only		Tobacco out of stock	
Vending machine broken		Ran out of time	
Duplicate		Other noncompletion reason(s) ( <i>Describe.</i> )	
Other ineligibility reason(s) ( <i>Describe.</i> )			
<b>Total</b>		<b>Total</b>	

**FORM 5 (Required for all states not using the Synar Survey Estimation System [SSES] to analyze the Synar survey data)**

Complete Form 5 to show the distribution of outlet inspection results by age and gender of the youth inspectors.

**Instructions for Completing Form 5:** In the top right-hand corner of the form, provide the state name and reporting federal fiscal year (FFY 2021).

Column 1: Enter the number of attempted buys by youth inspector age and gender.

Column 2: Enter the number of successful buys by youth inspector age and gender.

If the inspectors are age eligible but the gender of the inspector is unknown, include those inspections in the “Other” row. Calculate subtotals for males and females in rows marked “Male Subtotal” and “Female Subtotal.” Sum subtotals for Male, Female, and Other and record in the bottom row marked “Total.” Verify that the total of attempted buys and successful buys equals the total for Column 4(c) and Column 5(c), respectively, on Form 1. If the totals do not match, please explain any discrepancies.

<b>Synar Survey Inspector Characteristics</b>		
		<b>State:</b> _____
		<b>FFY:</b> 2021 _____
	(1) Attempted Buys	(2) Successful Buys
<b>Male</b>		
15 years		
16 years		
17 years		
18 years		
19 years		
20 years		
<b>Male Subtotal</b>		
<b>Female</b>		
15 years		
16 years		
17 years		
18 years		
19 years		
20 years		
<b>Female Subtotal</b>		
<b>Other</b>		
<b>Total</b>		

## **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 2020.

## APPENDIX B: SYNAR SURVEY SAMPLING METHODOLOGY

State: IN  
 FFY: 2021

**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
FDA TIMS Database	6	Federal list of all known tobacco retailers	Year-round canvassing by state FDA inspectors augmented with new or terminated state tobacco certificates as they are processed
Indiana Tobacco Certification Database	3	Indiana Alcohol Tobacco Commission list of all new and existing tobacco certificates	State law requires registration of new tobacco retailers and renewal of certificates every three years.

**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.**

Every county in Indiana is in one of eleven inspection districts. Each district is a stratum

**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.**

**10. Provide the following information about sample size calculations for the Synar survey conducted in FFY 2020.**

- 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: 15%

Frame Size: 5,514

**Input for Target Sample Size:**

Design Effect: 1

**Inputs for Original Sample Size:**

Safety Margin: 20%  
Accuracy (Eligibility) Rate: 96.10%  
Completion Rate: 97.10%

- 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:**

There are eleven inspection districts. Each is a separate stratum.

Stratum ID	Stratum size	Sample Size
1	276	23
2	715	60
3	359	30
4	809	68
5	448	38
7	627	52
8	693	58
9	402	34
10	470	39
12	336	28
13	379	32
Total	5514	462

- 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.**

# APPENDIX C: SYNAR SURVEY INSPECTION PROTOCOL SUMMARY

State: IN  
FFY: 2021

*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): \_\_\_\_\_



**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 E-cigarettes and E-liquids containing nicotine

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

Prior to each inspection, the officer informs the youth what type of tobacco product to purchase at that location. The pre-populated form containing the name and location of the tobacco retailer to be inspected will have a randomly assigned tobacco product type listed on the form. Per CSAP recommendations, 67% of the forms instructed the youth to request cigarettes, cigars or smokeless tobacco. The remaining 33% of the forms had the youth ask for ENDS or e-liquids.

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

Synar inspections are conducted by the Indiana Excise police also known as the Alcohol and Tobacco Commission in Indiana. Recruitment, selection, and training follows ATC recruitment, hiring, and training protocols for employment with their office.

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

The youth inspectors are recruited by the excise officers. DMHA, the Synar statistician, and the Synar Advisory Board members will be working to assure adequate gender representation as well as continue to improve racial and ethnic representation as part of these efforts. Additionally, the Synar statistician hired a part-time staff person to assist with ensuring the gender and racial balances will be met by working with organizations in areas of the state that require more diverse youth inspectors

**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 purchasing tobacco as part of a tobacco retailer inspection must be under the direct supervision of a police officer per state law.

**b. Procedural**

Yes  No

*(If Yes, please describe.)*

**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.)*

Synar inspection teams are made up of an inspection officer (police officer), a chaperone (who must be an adult and is usually an additional excise police officer) and the youth inspector. The youth remains in the vehicle with the chaperone when the officer enters the store. The chaperone then observes the youth as s/he enters the store at which point s/he is under the observation of the officer. The chaperone continues to monitor the area outside the store until the youth exits, at which time s/he is under the observation of the chaperone until the officer returns to the vehicle. The youth is always under the direct observation of one or both adult members of the inspection team.

Given the public health issues that surfaced related to COVID-19 in 2020, Indiana will allow the use of face coverings per guidance, policy, or law from state or county officials for current or future public health issues that would require such protocols. Indiana will also comply with any individual retail establishment requirements for face coverings due to public health crisis and/or pandemic. We will however ask and/or supply those doing inspections with a solid colored mask free of any pattern or logo that may or may not indicate the age of the youth. Indiana would also like to reserve the ability to exclude specific counties from the Synar sample if recent data indicates too much of a risk for the safety of both the youth and officers conducting the inspections.

**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.)*

State and federal child labor laws are followed. Indiana increased the purchase age of tobacco products to 21 effective July 1, 2020. This allows for the use of youth ages 16-20 years of age during underage sale of tobacco enforcement/compliance activities.

**b. Procedural**

**Yes**  **No**

*(If Yes, please describe.)*

Parental consent forms are signed by parents/guardian

# APPENDIX D: LIST SAMPLING FRAME COVERAGE STUDY

(LIST FRAME ONLY)

State: IN  
FFY: 2021

1. Calendar year of the coverage study: 2020

2. a. Unweighted percent coverage found: 97.55%  
b. Weighted percent coverage found: 97.00%  
c. Number of outlets found through canvassing: 245  
d. Number of outlets matched on the list frame: 239

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

All counties in Indiana are currently assigned to one of eleven administrative districts. One randomly selected starting point was selected in each district around which cluster boundaries were defined using the approved approach described in Item #4 below

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.**

There are eleven tobacco inspection districts in Indiana with an inspection team assigned to each one. The Synar Operations Coordinator randomly selects one zip code in each of the eleven districts with probability proportional to the size of the zip codes in each district. This process results in each retailer in each district ultimately having an equal probability of being selected.

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

The strata used in Indiana are geographic administrative districts. All counties in the state are assigned to one unique district. District boundaries are designed to include several stores within a geographic area that one inspection team could reasonably inspect each store once per year. The district with among the highest concentration of stores (Indianapolis) has the smallest geographic area. Districts with the largest geographic area are far more rural and have far fewer stores.

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

The first step is to identify the number of outlets on the list frame that fall in the zip codes sampled in Step B (above). Following the guidelines in Appendix B of the SAMHSA coverage study guidance document, we develop areas within the districts that are likely to include between 18 and 23 known outlets on average because we have 11 sampling regions. To determine these areas, the entire list frame is geo-coded with GIS mapping software.

Each zip code region is identified, and the tobacco outlets are counted to determine if the zip code provides an acceptable number of outlets. Region boundaries that have too few or too many outlets will be adjusted to meet SAMHSA guidelines. Smaller zip code areas with too few stores are combined with an adjacent zip code area. Zip codes with well over 20 vendors are divided into sub-regions of approximately 20 and only one sub-region is randomly selected.

Each of the region boundaries then marked on a detailed map showing all public access roads. The map does not contain any indication of the location of any tobacco outlets currently on the list frame. However, the central office staff records all stores currently listed as being within the boundaries of the areas to be covered.

**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.*

(Taken directly from field observer instruction manual):

“When following the route on your map, be sure to monitor **both sides of the street** for potential tobacco retailers. On a standard two-lane road, this should not present a problem. However, when the instructions ask you to turn onto another road, remember to examine all four corners of the intersection. Any retailer whose storefront is on one of the four corners should be investigated. Ignore any additional stores that might be attached in the same building but whose storefront is on one of the roads you will not be traveling.

Another potential challenge are multi-lane and divided highways. Again, we need you to monitor both sides of the street as you progress along the route. Strip malls set back from highways by large parking lots must also be examined as they likely have an address that uses the road you are traveling. When examining areas like this, you do not need to record the eligible stores in any particular order. We realize you may need to double-back in some areas. Record them as you investigate them. The important thing is to examine every eligible store along the route provided.”

**9. If a full canvassing was not conducted:**

a. How many predetermined outlets were to be observed in each area? \_\_\_\_\_

b. What were the starting points for each area? \_\_\_\_\_

c. Were these starting points randomly chosen?

Yes  No

d. Describe the selection of the starting points.

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

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

(Taken directly from field observer instruction manual):

”Only record eligible stores on the log. A store is eligible if it meets three criteria:

1. It is open for business (though it may be closed for the day when you arrive),
2. It sells tobacco products, and
3. It is accessible by people under 21 (including tobacco-only stores)

In most cases, you will enter the store and take the log with you to record information. Once you verify the store sells tobacco, identify yourself to an employee as an IU employee (do NOT mention FDA) working on a project for Indiana’s Division of Mental Health and Addiction. You are simply developing a list of all tobacco retailers in the area. Ask the employee for the address. If they don’t know, ask to see the tobacco certificate or business license. Record the info and you are done. Record the location of the establishment on your paper map.

Retailers that would not normally sell tobacco can be ignored and do not need to be investigated. These would include retailers such as furniture, appliance, clothing, jewelry, or hardware stores as well as auto repair shops, fast food chains and other retailers that would not normally be expected to sell tobacco. Bars, liquor stores and other establishments that do not admit anyone under 21 are also out of scope for this project.

First and foremost, this is a test of our existing retailer list. Therefore, you are not allowed to use the list of stores in your district in any way during this coverage study. As you progress along the route described in your map, stop at the first store you see that might possibly sell tobacco.

Once you determine a store is eligible, you will need to record the store’s name (as seen on the sign from the street), address, city, and zip code on the log. Indicate on the log if you saw tobacco advertisements posted on the outside or on the windows (Circle “Y” or “N”). Also indicate if you entered the store as part of your investigation. Use the “NOTES” section to record anything unusual you may want us to consider, such as a phone number for a store that is closed at the time of your visit. After recording the store information place the corresponding entry number on the map as close to the establishment’s location as possible.

In most cases, you will need to enter the store to confirm the address and verify that tobacco is sold here. However, if there are signs on the window advertising tobacco, you only need to verify the address. If you know what street you are on and the street address is clearly posted on the building, you do not need to enter the store if you see tobacco advertisements and can tell the name of the store. (This is the only scenario where you would not need to enter the zip code.)”

**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.)**

An eligible outlet is one that is open for business, accessible to minors under 21 years of age and sells tobacco products. A “match” is when an eligible outlet is found during the field canvass that is also on the list frame at that same address. This means that an outlet is a match even if the list frame shows a Shell gas station at the address, but the canvassing resulted in a Discount Tobacco outlet at the same address. A “mismatch” is when an eligible

outlet is found during the canvassing for which there is no equivalent address entry on the list frame. (NOTE: Outlets on the list frame that are no longer in business and therefore do not appear on the canvassing lists are noted for removal from our list frame but are not included in the calculations for the coverage study.)

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

The table below shows the results of the canvassing for each of the 11 strata (districts). The goal was to identify 18-23 outlets in each district, even though there were significant known variations in the number of outlets in each district. Therefore, the results for each district need to be weighted.

The numbers in the “Canvass” column are the number of eligible outlets found during the canvass. The number in the “List” column are the number of outlets in the list frame in the same area that matched those found in the canvass.

District	Canvass	List	$p_i$	$N_i$	$P_i$	$W_i$	Canvass_ $W_i$	List_ $W_i$
1	23	23	0.094	276	0.050	0.528	12.153	12.153
2	25	25	0.102	718	0.129	1.265	31.616	31.616
3	22	22	0.090	364	0.065	0.729	16.028	16.028
4	26	23	0.106	814	0.146	1.379	35.843	31.707
5	21	21	0.086	451	0.081	0.946	19.859	19.859
6	25	25	0.102	637	0.114	1.122	28.049	28.049
7	18	17	0.073	693	0.125	1.695	30.515	28.820
8	28	27	0.114	402	0.072	0.632	17.701	17.069
9	15	15	0.061	487	0.088	1.430	21.444	21.444
10	17	16	0.069	342	0.061	0.886	15.059	14.173
11	25	25	0.102	380	0.068	0.669	16.733	16.733

Total            245            239                            5564    245.000            237.651  
 Unweighted:    97.55%    Weighted:    97.00%

The unweighted coverage percent is calculated by dividing the total number of outlets on the list that matched one found on the canvass by the total number of outlets found on the canvass:

$$239 / 245 = 97.55\%$$

Since our strategy was to collect the same number of outlets in each district, we know this calculation does not reflect the variation in the number of outlets in each district shown in column “ $N_i$ ” which shows the number of outlets per district in our list frame. Therefore, we must weigh the canvass and list counts. The weight for each district is calculated by dividing the proportion ( $P_i$ ) of the list frame count for the district by the proportion ( $p_i$ ) of the canvass count for that same district:

$$W_i = P_i / p_i$$

That district weight is then multiplied by the number of outlets found in the canvass for the district to create the weighted canvass count for the district (Canvass\_  $W_i$ ). The direct weight is also multiplied by the number of outlets found in the list frame for the district to create the weighted list count for the district (List\_  $W_i$ ). The weighted coverage percent is



calculated by dividing the sum of the weighted number of outlets on the list that matched one found on the canvass by the sum of the weighted number of outlets found on the canvass:

$$237.651 / 245 = 97.00\%$$