

ANNUAL SYNAR REPORT

42 U.S.C. 300x-26

OMB No 0930-0222

FFY 2011

State: Georgia



U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
Substance Abuse and Mental Health Services Administration
Center for Substance Abuse Prevention
www.samhsa.gov

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INTRODUCTION

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

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

An agency may not conduct or sponsor and a person is not required to respond to a collection of information unless it displays a currently valid OMB control number. The OMB control number for this project is 0930-0222 with an expiration date of 05-31-2013.

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 2010 Compliance Progress) and future plans to ensure compliance with the Synar requirements to reduce youth tobacco access rates (FFY 2011 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) 276-2413 and ask for your respective State Project Officer, or contact your State Project Officer directly by telephone or email using the directory provided in the FY 2011 Uniform Application, Appendix A. If you have questions about fiscal or grants management issues, you may call the Grants Management Officer, Office of Program Services, Division of Grants Management, at (240) 276-1422.

Where and when to submit the Synar report

The Annual Synar Report (ASR) must be received by SAMHSA no later than December 31, 2010. The ASR must be submitted in the **approved OMB report format**. Use of the approved format will avoid delays in the review and approval process. The chief executive officer (or an authorized designee) of the applicant organization must sign page 1 of the ASR certifying that the State has complied with all reporting requirements.

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

- FFY 2011 Synar Survey Results: States that use the Synar Survey Estimation System (SSES) must upload one copy of SSES Tables 1–5 (in Excel) to WebBGAS. States that do not use SSES must upload one copy of ASR Forms 1, 4, and 5, and Forms 2 and 3, if applicable, (in Excel) to WebBGAS.
- Synar Inspection Form: States must upload one blank copy of the inspection form used to record the result of each Synar inspection.
- Synar Inspection Protocol: States must upload a copy of the protocol used to train inspection teams on conducting and reporting the results of the Synar inspections.

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

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

Ms. Barbara Orlando
Grants Management Officer
Office of Program Services
Division of Grants Management
Substance Abuse and Mental Health Services Administration

Regular Mail:

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

Overnight Mail:

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

FFY 2011: FUNDING AGREEMENTS/CERTIFICATIONS

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

PUBLIC HEALTH SERVICES ACT AND SYNAR AMMENDMENT
42 U.S.C. 300x-26 requires each State to submit an annual report of its progress in meeting the requirements of the Synar Amendment and its implementing regulation (45 C.F.R. 96.130) to the Secretary of the Department of Health and Human Services. By signing below, the chief executive officer (or an authorized designee) of the applicant organization certifies that the State has complied with these reporting requirements and the certifications as set forth below.
SYNAR SURVEY SAMPLING METHODOLOGY
The State certifies that the Synar survey sampling methodology on file with the Center for Substance Abuse Prevention and submitted with the Annual Synar Report for FFY 2011 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 2011 is up-to-date and approved by the Center for Substance Abuse Prevention.
State: Georgia
Name of Chief Executive Officer or Designee: Frank E. Shelp, M.D., M.P.H.
Signature of CEO or Designee:
Title: DBHDD Commissioner _____ Date Signed: _____
If signed by a designee, a copy of the designation must be attached.

SECTION I: FFY 2010 (Compliance Progress)

YOUTH ACCESS LAWS, ACTIVITIES, AND ENFORCEMENT

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

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

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

Yes No

If Yes, current minimum age: 19 20 21

b. Have there been any changes in State law that impact the State's *protocol for conducting Synar inspections*? Yes No

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

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

c. Have there been any changes in the law concerning *vending machines*?

Yes No

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

- Total ban enacted
- Banned from location(s) accessible to youth
- Locking device or supervision required
- Other change(s) *(Please describe.)* _____

d. Have there been any changes in State law that impact the following?

Licensing of tobacco vendors Yes No

Penalties for sales to minors Yes No

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

Placed on file for public review

Posted on a State agency Web site *(Please provide exact Web address.)*

<http://dbhdd.georgia.gov>; once on that website go to: Services on the left-hand column/Office of Prevention Services & Programs/Programs>Synar Tobacco Prevention

- Notice published in a newspaper or newsletter
 - Public hearing
 - Announced in a news release, a press conference, or discussed in a media interview
 - Distributed for review as part of the SAPT Block Grant application process
 - Distributed through the public library system
 - Published in an annual register
 - Other change(s) (Please describe.) We are planning to announce and distribute statewide new releases once the ASR is approved by CSAP.
-

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:

Georgia Department of Behavioral Health and Developmental Disabilities (DBHDD), Office of Prevention Services and Programs (OPSP). This section was formerly located in the Georgia Department of Human Resources (DHR), Division of Public Health (DPH), Substance Abuse Prevention & Behavioral Development Section (SAPBD)

Has this changed since last year's Annual Synar Report? Yes No

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

Georgia Department of Revenue, Alcohol & Tobacco Division, O.C.G.A. 16-12-175 and 176

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):

Georgia Department of Revenue, Alcohol & Tobacco Division, O.C.G.A. 16-12-175 and 176

Has this changed since last year's Annual Synar Report? Yes No

4. 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).

Georgia Department of Community Health, Division of Public Health

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

Yes No

a. Describe the coordination and collaboration that occur between the agency responsible for tobacco prevention and the agency responsible for oversight of

the Synar requirements. (Check all that apply.) The two agencies

- Are the same
- Have a formal written memorandum of agreement
- Have an informal partnership
- Conduct joint planning activities
- Combine resources
- Have other collaborative arrangement(s) *(Please describe.)* _____

5. Please answer the following questions regarding the State’s activities to enforce the youth access to tobacco law(s) in FFY 2010 (see 42 U.S.C. 300x-26 and 45 C.F.R. 96.130(e)).

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

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

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

PENALTY	OWNERS	CLERKS	TOTAL
Number of <u>citations issued</u>	297		297
Number of <u>finances assessed</u>	297		297
Number of <u>permits/licenses suspended</u>	0		0
Number of <u>permits/licenses revoked</u>	0		0
Other <i>(Please describe.)</i>			

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

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

d. Did every tobacco outlet in the State receive at least one enforcement compliance check in the last year?

Yes

No

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

Merchant education and/or training

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

Community education regarding youth access laws

Media use to publicize compliance inspection results

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

Other activities (Please list.) _____

Briefly describe all checked activities:

The Georgia Department of Revenue provides merchant information regarding the Georgia Law on legal age to purchase tobacco at the issuance of a tobacco license. Meetings have also been held with retailer associations to remind them that tobacco enforcement operations are ongoing in Georgia.

OPSP provides prevention programs aimed at youth to educate them about the harmful effects of tobacco use and to build resilience against media and peer influences to use tobacco. Regionally-based prevention providers offer evidence-based programs such as 'Too Good for Drugs' (TGFD), 'Toward No Tobacco Use' (TNT), 'Life Skills Training' (LST), and 'Smart Moves.'

Youth in some programs conduct Environmental Scans of communities for youth-focused advertisement (Youth in Charge teams).

A statewide, multimedia Merchant Education Campaign was held last June. Both the Department of Revenue and DBHDD have issued press releases on tobacco enforcement efforts in Georgia related to limiting youth access to tobacco products and the consequences of selling these products illegally.

The state continues to have a working collaboration with the Georgia Association of Convenience Stores. The association has continued to provide county trainings of the "We Card" Program. A media campaign, consisting of televised and radio messages, as well as social media was run to raise the level of awareness of tobacco access laws among merchants as well as the general public in the state about the legal age for sale of tobacco products. Our 'Synar Tobacco Prevention' Facebook page remains up year-round.

OPSP continues to fund community-based organizations across the state: 134 in 2010, within each of DBHDD's six geographic regions. The prevention and reduction of tobacco use and the purchase of tobacco products by minors are the focus of 104 of 134 of these current prevention providers. Some providers, such as the Christian Education Center and Learn to Grow's Health Education Awareness and Research on Tobacco (HEART) coalition, focus on health literacy on tobacco through Students Working Against Tobacco (SWAT.)

Georgia's seven local (DFCC) coalitions and other groups continue to be staunch supporters of programs to reduce youth access to tobacco products, and they have been active in the acquisition of technical assistance to support their work, often calling upon state office staff to conduct trainings and offer technical guidance in these initiatives.

Georgia's annual Red Ribbon Planning & Resource Guide was used again as a vehicle for community involvement in merchant education. A copy of a one-page insert is attached to the hard copy of this document. This was seen as a way to obtain wider reach within Georgia communities to build awareness about both tobacco and alcohol sale laws.

- f. **Are citations or warnings issued to retailers or clerks who sell tobacco to minors for inspections that are part of the Synar survey?** Yes No

If "Yes" to 5f, please describe the State's procedure for minimizing risk of bias to the survey results from retailers alerting each other to the presence of the survey teams:

All compliance investigations for a geographical area are completed BEFORE administrative citations are issued to locations found to be in violation.

- g. **Please describe the relationship between the State's Synar program and the Food and Drug Administration-funded enforcement program:**

There is no formal relationship at this point. DBHDD is kept up-to-date with FDA activities via email and the FDA website; in turn DBHDD forwards FDA messages to our contractual partner, the Georgia Department of Revenue (DOR.) DOR in connection with DBHDD will submit another proposal for an FDA contract when the next RFP is published.

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 2010 (see 42 U.S.C. 300x-26 and 45 C.F.R. 96.130).

6. **Has the sampling methodology changed from the previous year?** Yes No

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

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

- a. **Did the State use the optional Synar Survey Estimation System (SSES) to analyze the Synar survey data?** Yes No

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

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

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

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

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

8. Did the State’s Synar survey use a list frame? Yes No

If Yes, answer the following questions about its coverage.

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

b. Percent coverage from the latest frame coverage study: _____

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: _____

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

Yes No

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

a. Provide the inspection period: From 06/21/2010 to 08/11/2010
MM/DD/YY MM/DD/YY

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

22

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

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

SECTION II: FFY 2011 (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 2011. 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.

There are no anticipated changes in Georgia legislation or regulations involving youth access to tobacco at this time.

The Georgia Department of Revenue has sole authority for enforcement of the State's tobacco laws and issues administrative citations for any vendor/retailer found to be out of compliance with Georgia's tobacco law regarding underage sales. All administrative citations are issued to the licensee of the establishment with a scheduled hearing date set.

These administrative citations are heard before an administrative hearing officer. All citations result in a standard fine of \$300 for first time offenders/violators.

Licensees/owners are also put on notice that any additional violations will result in additional citations, suspension and/or revocation of their tobacco and/or alcohol license.

In FFY 2011, the State's Department of Revenue will continue to provide merchants with information regarding the Georgia law on legal age to purchase tobacco at the issuance of a tobacco license. Meetings will also be held with retailer associations to remind them of the State's ongoing tobacco enforcement operations. The State will continue its working collaboration with the Georgia Association of Convenience Stores, including provision of county "We Card" Program trainings.

Media campaigns, consisting of television and radio messages, will be utilized to raise the level of awareness of tobacco access laws and the legal age for the sale of tobacco products in Georgia. In addition, the State will continue funding its provision of SAPT BG community-based prevention programs with portions of the prevention set-aside in each of the DBHDD regions to educate youth, parents and merchants about the harmful effects of tobacco use, to build public awareness and to build youth resilience through asset development and alternative activities according to multiple CSAP strategies, including environmental strategies to further change attitudes around tobacco use.

As a result of the contract with Georgia State University's Digital Arts & Entertainment Lab to create and oversee a FFY 2010 a merchant education campaign in collaboration with DBHDD, the media campaign promoted awareness among tobacco retailers about Georgia laws that prevent the purchase of tobacco products by underage individuals. The campaign, was designed to further reduce purchases of tobacco products by underage youth. It included a 60 second radio commercial, 30 and 60 second video commercials, cable and television ads, cinema ads with National Cinemedia, and an internet media campaign to include viral video and social networking. The multi-media campaign went well, although we are planning to develop a more targeted approach in FY 2011 to reach the retailers selling tobacco and tobacco products. Focus groups in both English and Spanish in Metro Atlanta and the more rural northern part of Georgia are planned to help hone the key messages. To view the Synar Facebook page go to: <http://www.facebook.com/pages/Atlanta-GA/SYNAR-Tobacco-Prevention-1-877-CHECK-ID/877-243-2543>.

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

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

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

DOR's Alcohol and Tobacco Division (ATD) has not seen any substantial increase in available personnel resources since 1979 even though it has assumed an expanded role in underage alcohol enforcement, excise tax evasion investigations, underage tobacco enforcement, coin operated amusement machine inspections / investigations and tobacco enforcement for non-compliant brands. The Division will continue to petition for funding and/or resource allocation to address this issue.

The sole source of funding in Georgia to meet requirements under Synar is the SAPTBG. DOR's contractual agreement has remained the same since 2005, yet the partnership is committed to assuring enforcement and conduct of Synar research. Georgia's OPSP has and will continue to explore novel approaches to support compliance. Overall, the requirement for Synar as an unfunded mandate continues to be a burden.

Georgia continues doing as much as possible with available limited resources to shine a light on the importance of complying with youth tobacco access laws. In efforts to shape public support, we again plan to continue issuing press releases at various times during the year about the 2011 ASR and the importance to all Georgians of complying with youth access laws.

DOR's ATD continues to occasionally encounter challenges in recruiting appropriate underage youth when schools are in session. Every attempt is made to conduct underage tobacco investigations during summer breaks and other breaks. If not, investigations were restricted to primarily weekends. The contracting period was recently changed to reflect the federal fiscal year in an effort to address this challenge, and this change has helped smooth out logistical problems that previously plagued the team.

Georgia is the largest state east of the Mississippi River, and is geographically, economically, and culturally diverse. Covering this widespread and diverse state is challenging, especially in light of limited resources; however, the Synar Team in Georgia has streamlined the process through the years with experience and with procedural and administrative changes including changes in the contracting period.

Due to the economic and cultural diversity of the state and for safety reasons, Georgia must use care in selecting underage operatives including the days and times within which investigations are conducted. It has been extremely difficult to recruit underage operatives to work successfully within certain communities, although this is becoming less difficult over time using various, flexible, and continued efforts. This year, for example, equal numbers of African American and Caucasian youth were recruited, and equal numbers of male and female underage operatives were recruited. Any operative that "does not fit" within a certain environment is at greater risk and the investigation is much less likely to get a true result of compliance or non-compliance. Additionally, in certain areas of the state, different tobacco products must be selected for attempted purchase in order to "fit" in that area.

Despite numerous attempts to engage Latino or Asian underage to work in the Latino or Asian communities, DOR's ATD has had very little success. However, DOR's ATD plans to continue to attempt to recruit a diverse pool of youth operatives.

OPSP has attempted to engage the Center for Pan Asian Community Services in a discussion with DOR's ATD around the Synar program to foster recruitment of Asian youth regarding attempts to purchase tobacco from their elders, and answer any possible questions of the Pan Asian community. However, recruitment of these youth continues to be limited.

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 2011). 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 subcolumn (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 2011).

- 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: 2011
(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
Total										

- 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 2011).

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.

Summary of Clusters Created and Sampled				
				State: _____
				FFY: 2011 _____
(1) Row #	(2) Stratum Name	(3) Number of PSUs Created	(4) Number of PSUs Selected	(5) Number of PSUs in the Final Sample
Total				

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 2011).

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."

Inspection Tallies by Reason of Ineligibility or Noncompletion			
		State: _____	
		FFY: 2011	
(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>)			
Total		Total	

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 2011).

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.

Synar Survey Inspector Characteristics		
		State: _____
		FFY: 2011 _____
	(1) Attempted Buys	(2) Successful Buys
Male		
15 years		
16 years		
17 years		
18 years		
Male Subtotal		
Female		
15 years		
16 years		
17 years		
18 years		
Female Subtotal		
Other		
Total		

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).

APPENDIX B: SYNAR SURVEY SAMPLING METHODOLOGY

State: GA
 FFY: 2011

1. What type of sampling frame is used?

- List frame (*Go to Question 2.*)
 - Area frame (*Go to Question 3.*)
 - List-assisted area frame (*Go to Question 2.*)
- **2. List all sources of the list frame. Indicate the type of source from the list below. Provide a brief description of the frame source. Explain how the lists are updated (method), including how new outlets are identified and added to the frame. In addition, explain how often the lists are updated (cycle). (After completing this question, go to Question 4.)**
- *Use the corresponding number to indicate Type of Source in the table below.*
 - 1 – Statewide commercial business list
 - 2 – Local commercial business list
 - 3 – Statewide tobacco license/permit list
 - 4 – Statewide retail license/permit list
 - 5 – Statewide liquor license/permit list
 - 6 – Other

▪ Name of Frame Source	▪ Type of Source	▪ Description	▪ Updating Method and Cycle

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

Our primary sampling units (PSU) will be zip code or cluster of zip codes. Zip codes with only one vendor will be grouped with adjacent zip codes to form clusters where necessary. The entire area within selected zip codes will be canvassed for eligible vendors, and each eligible vendor will undergo an inspection.

- **a. Is any area left out in the formation of the area frame?** Yes No
 - *If Yes, what percentage of the State’s population is not covered by the area frame?*

■ _____%

- **4. Federal regulation requires that vending machines be inspected as part of the Synar survey. Are vending machines included in the Synar survey?** Yes No

If No, please indicate the reason they are not included in the Synar survey.

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

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

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

■ **Unstratified State-wide sample:**

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

■ **Stratified sample:**

- Simple random sample (Go to Question 7.)
- Systematic random sample (Go to Question 6.)
- Single-stage cluster sample (Go to Question 7.)
- Multi-stage cluster sample (Go to Question 7.)

■ **Other** (Please describe and go to Question 9.) _____

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

- 7. Provide the following information about stratification.**

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

Four strata were created for this pure area sample. Stratum 1 automatically includes the 10 most populous counties in the state, which account for almost half the state's population. These 10 counties are Bibb, Chatham, Cherokee, Clayton, Cobb, DeKalb, Fulton, Gwinnett, Muscogee, and Richmond.

The remaining 149 counties were divided into three strata based on youth population density. Stratum 2 contains the 50 counties with the highest youth population densities, Stratum 3 contains the middle 50 counties based on youth density, and Stratum 4 contains the 49 counties with the lowest youth densities.

b. Is clustering used within the stratified sample?

Yes (Go to Question 8.)

No (Go to Question 9.)

8. Provide the following information about clustering.

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

The clusters are the ZIP codes or combined ZIP codes to ensure that there are enough outlets in the individual clusters for sampling.

- 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.**

Zip codes (PSU) were selected by simple random sampling (SRS) within each stratum. The SSES sample calculator was used to determine the effective, target, and original sample sizes. Based on the original sample size, the DOR alcohol and tobacco list frames (the same list frame used to draw the Synar sample in previous years) were used as a measure of size to determine the number of outlets in each strata and zip code. The number of selected zip codes (based on number of outlets within each zip code) was allocated proportionally to the specific strata size (based on the number of outlets within each stratum). Zip codes were sampled within each stratum until the DOR list frame indicated that we would have sampled a sufficient number of outlets for each stratum. Each zip code had an equal probability of selection.

Each selected zip code was comprehensively canvassed by Georgia Department of Revenue (DOR) agents (or underage undercover operatives) for all eligible outlets (those selling tobacco). Every retail establishment that could possibly sell tobacco products was physically entered by DOR agents (or underage undercover operatives) to determine if it did in fact sell tobacco products. All outlets that offered tobacco products for sale were inspected, recorded as an eligible outlet, and included in Synar RVR calculations. All outlets that did not offer tobacco products for sale were considered ineligible, and were not recorded. Thus, our eligibility rate is 100 percent.

9. Provide the formulae for determining the effective, target, and original outlet sample sizes.

The SSES sample size calculator is used to estimate the sample size at the state and stratum level. The formula for calculating the effective sample size, n_e , is based on page 35 (formula S3.4) of the Sample Design Guidance. It is written as:

$$n_e = \frac{1}{\left(\frac{(0.0182)^2}{P(1-P)} + \frac{1}{N} \right)},$$

where P is the expected RVR (set at 20%), and N is the outlet population (frame) size.

The target sample size is determined by multiplying the effective sample size by the design effect (assumed to be 2)

$$n_t = dn_e.$$

The original sample size is determined by inflating the target sample size by the expected

eligibility rate (r_i) and the expected completion rate (r_c). The expected eligibility rate is set at 80%. Georgia uses a fixed completion rate of 90%.

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

Please note that the original sample size is further inflated by a 10% safety margin.

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

- a. If the State uses the sample size formulas embedded in the Synar Survey Estimation System (SSES) Sample Size Calculator, please provide the following information:**

Inputs for Effective Sample Size:

RVR: 20%

Frame Size: 16.714

Input for Target Sample Size:

Design Effect: 2

Inputs for Original Sample Size:

Safety Margin: 10%

Accuracy (Eligibility) Rate: 80%

Completion Rate: 90%

- b. 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

State: GA

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 Not permitted
 Permitted under specified circumstances Not specified in protocol

b. Youth inspectors to carry ID?

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

c. Adult inspectors to enter the outlet?

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

d. Youth inspectors to be compensated?

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

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

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

List the agency name(s): Georgia Department of Revenue, Alcohol & Tobacco Division

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

Youth inspectors are recruited from various sources. The majority of youth inspectors come from recommendations made from staff at local schools, but recommendations are also obtained from churches, siblings of existing inspectors and local community groups.

This is the seventh year that Georgia has utilized the SAMHSA/CSAP model, "Teens Taking Action, A Guide to Conducting Tobacco Compliance Checks." This inspection protocol is based on the consummated buy methodology and the youth inspectors do not carry photo identification during the Synar inspections. They are instructed to be honest and not be deceptive or misrepresent themselves in any manner. Georgia utilizes the entire model so that youth and adult supervisors are consistently trained. The Georgia Department of Revenue (DOR) handles the responsibility of conducting the Synar inspections.

Orientation and training include an overview of the Synar Amendment, the basis for conducting the inspection survey and the roles and responsibilities that both the youth and the adults will have in conducting the survey. Role playing scenarios are covered in the training and safety concerns are the most important factor that is covered as we do not want to risk any danger to the youth or adults during the course of conducting the survey. As a part of the training, adults and youth are instructed that if a location is not determined to be safe, that the report be completed, specifying the reason the tobacco compliance inspection did not occur. Another major component to the training is to ensure that the tobacco compliance survey reporting form is filled out properly with all pertinent information entered completely.

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

a. Legal **Yes** **No** (*If Yes, please describe.*)

Per the Official Code of Georgia (O.C.G.A.) 16-12-170 Sec. 16-12-175 the Department of Revenue may enlist persons under the age of 18 years to test compliance with the laws related to responsible retailing and the sale of tobacco products to minors.

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

The state revenue commissioner, acting through special agents or enforcement officers, shall annually conduct random, unannounced inspections at locations where tobacco products are sold or distributed to ensure compliance with this article. Persons under the age of 18 years may be enlisted to test compliance with this article; provided, however, that such persons may be used to test compliance with this article only if the testing is conducted under the direct supervision of such special agents or enforcement officers, and written parental consent has been provided. Any other use of persons under the age of 18 years to test compliance with this article or any other prohibition of like or similar import shall be unlawful and the person or persons responsible for such use shall be subject to the penalties prescribed in this article. The state revenue commissioner shall prepare annually for submission by the Governor to the secretary of the United States Department of Health and Human Services the report required by section 1926 of subpart I of part B of Title XIX of the federal Public Health Service Act, 42 U.S.C. 300x-26.

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

- a. Legal** **Yes** **No** *(If Yes, please describe.)*

O.C.G.A. 16-12-175 states that inspections must be done under the supervision of a Department of Revenue agent/adult supervisor.

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

Georgia takes every precaution to ensure that its youth inspectors are safe and well trained. No youth inspector is to be unaccompanied by an adult supervisor at any time during the inspection. The adult inspector will leave the retail location after the youth inspector to ensure safety. At no time shall the youth inspector present identification nor shall the inspector in any way misrepresent his/her age. All records are confidential and youth inspectors are assigned identification numbers to be utilized on documents.

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

- a. Legal** **Yes** **No** *(If Yes, please describe.)*

Under O.C.G.A. Title 16, Chapter 12, Sections 170-175: The state revenue commissioner, acting through special agents or enforcement, shall annually conduct random, unannounced inspections at locations where tobacco products are sold or distributed to ensure compliance with this article. Persons under the age of 18 may be enlisted to test compliance with this article; provided, however, that such persons may be used to test compliance with this article only if the testing is conducted under the direct supervision of such special agents or enforcement officers, and written parental consent has been provided.

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

Georgia utilized the SAMHSA/CSAP model, Teens Taking Action, A Guide to Conducting Tobacco Compliance Checks. Orientation and training are inclusive of a Synar Amendment overview, the basis for conducting the inspection survey and the roles and responsibilities that both the youth and the adults will have in conducting the survey. Training includes role-playing scenarios. Emphasis is placed on youth inspector and adult supervisor safety concerns. As part of the training, adults and youth receive instructions on what to do if a location is determined not to be safe. In such cases, the inspection report is to be completed, specifying the reason the tobacco compliance inspection did not occur. Another major training component focuses on how to fill out the tobacco compliance survey reporting form properly with all pertinent information entered completely. Inspections are generally done during daylight hours primarily during the summer months.

APPENDIX D: LIST SAMPLING FRAME COVERAGE STUDY

(LIST FRAME ONLY)

State: GA

FFY: 2007

1. Calendar year of the coverage study: 2008
2. a. Unweighted percent coverage found: 78.5%
b. Weighted percent coverage found: %
c. Number of outlets found through canvassing: 44
d. Number of outlets matched on the list frame: 161
3. a. Describe how areas were defined. (e.g., census tracts, counties, etc.)

The FFY2009 SYNAR frame coverage study featured a stratified cluster sample. The primary sampling unit was at the county level, with census tracts within the counties serving as clusters. Businesses that sell tobacco products are referred to in this section as businesses, outlets, and establishments.

The sampled census tracts were mapped by GIS software to determine the tracts' boundaries, including streets, streams, county lines, railroad tracks, or other markers. Within the census tracts, GIS was used to map major streets, plus all other roads, streets, and thoroughfares to be covered by the canvassing teams. Canvassing teams were given the census tract maps and presented with the coverage study materials and protocols. Canvassing teams physically visited each of the randomly-selected census tracts, following the GIS maps as guides. Canvassing routes were pre-determined on the GIS maps. Canvassers followed the pre-determined routes, which covered all areas where tobacco-selling establishments could be located. The teams visually inspected all tobacco-selling outlets in each of the census tracts. Teams were pairs, composed of two professional staff members.

Teams were instructed to exactly follow the pre-determined GIS routes and inspect each street covered within the census tracts they were given. For rural areas and areas with low business density, canvassers used automobiles. For areas with high business density and large shopping centers and business districts, teams walked the entire area to ensure that all possible outlets were recorded. Canvassers also entered business establishments such as restaurants, hotels, and billiard halls for visual inspections of possible tobacco vending machines. They recorded information on every outlet involved in the sale of tobacco. When necessary, the teams inquired within the business establishments about any required information to better inform and provide more complete data on the canvassing lists. For each outlet, canvassers recorded:

The most accurate tobacco vendor coverage list in Georgia is the Alcohol License list, provided by the Georgia Department of Revenue (GDOR). The GDOR Alcohol License list was supplemented with businesses from a list of specific SIC codes from Reference USA. The SYNAR-mandated random business inspections conducted by GDOR used a sample drawn from this list.

The businesses in the sampled census tracts were extracted from the GDOR-provided Alcohol License list and the ReferenceUSA specific SIC codes' list. Any duplicates were removed and then imported into an Excel spreadsheet based on address and zip code. The spreadsheet included the data columns: legal name, business name, street address, zip code, city, county, phone number, and business type. Canvassers collected the same information provided on the Alcohol License list, plus additional information on tobacco sales, availability, and accessibility to youth under the age of 18 (as detailed above).

An Excel spreadsheet was created and populated with the data collected by the canvassing teams. The spreadsheet of business establishments developed from the original GDOR Alcohol License list and ReferenceUSA SIC code list (List A) from the sampled census tracts was cross-referenced with the spreadsheet of tobacco vendors compiled on-the-ground by the canvassing teams (List B). In cross-referencing these lists, we performed the following:

If business appears on both A and B, it was considered a confirmed tobacco-selling outlet. Using this method, 161 such outlets were found. For those 161 businesses confirmed as tobacco-selling outlets were added to the list of confirmed tobacco-selling outlets in the sampled counties. In the formula below, this is the 'b'. If business appeared on B and not A, attempts to determine why the outlet does not appear on A through an internet search or phone call were made. Reasons for not appearing on A could be: change in ownership, change in business name or address, or duplicate listing, among others. If it was determined that the outlet does appear on A, it classified as a match. Outlets which did not appear on A were classified as a missing outlet. There were 44 businesses that sold tobacco that were not on the original list; this is under-coverage. The total number of confirmed businesses on List B is 'n' in the formula below, which consists of outlets in the original list plus new outlets found by canvassers. If a business appeared on A and not B, the business is not considered a tobacco vendor and was removed from the list. There were 44 businesses that were on the original list but did not sell tobacco; this is over-coverage.

To determine the frame coverage rate, the number of tobacco-selling outlets found by the canvassing teams that matched the list frame (b) was divided by the total number of tobacco outlets found by the canvassing teams (n). When the division is multiplied by 100, the result is the frame coverage rate. The formula for coverage rate is shown below:

$$CR = b / n \times 100$$

Where:

CR = frame coverage rate

b = number of tobacco outlets found by canvassing teams that match the original list frame

n = total number of confirmed tobacco outlets found by canvassing teams (outlets in original list + new outlets)

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 State of Georgia's 159 counties were split into 5 strata based upon the service delivery regions of the Georgia Department of Behavioral Health and Developmental Disabilities (DBHDD). The 5 strata are: North (25 counties), East Central (39 counties), Metro Atlanta (10 counties), Southwest (41 counties), and Southeast (44 counties). This sampling strategy ensures geographical dispersion across all areas of the state. The sample includes 3 counties from the Metro Atlanta stratum, and 2 counties each from the North, East Central, Southwest, and Southeast strata. A total of 11 counties, which includes all strata, were selected into the sample through this process.

For the Metro Atlanta stratum, 3 counties were randomly-selected using a random number generator in Excel. The counties with the 3 lowest randomly-selected values were pulled into the sample. The 3 counties are: Clayton, Henry, and Douglas.

Two counties from each of the remaining strata (North, East Central, Southwest, and Southeast) were randomly-selected using a random number generator in Excel. The counties with the 2 lowest randomly-selected values were pulled into the sample. The North counties are: Upson and Chattooga. The East Central counties are: Morgan and Dawson. The Southwest counties are: Early and Taylor. The Southeast counties are: Cook and Ware.

An Excel spreadsheet, a copy of which is attached, of all census tracts in Georgia was created from data retrieved from the U.S. Census Bureau website. A second Excel spreadsheet was populated with census tract information for the 11 randomly-selected counties. From each randomly-selected county, 3 census tracts were randomly-selected using a random number generator. The census tracts within each county with the 3 lowest randomly-selected values were pulled into the sample. For any county that contained 3 or fewer census tracts, all the census tracts in that county were pulled into the sample. Only Dawson County fit this description, as it contains only 2 census tracts.

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

The State of Georgia's 159 counties were split into 5 strata based upon the service delivery regions of the Georgia Department of Behavioral Health and Developmental Disabilities (DBHDD). The 5 strata are: North (25 counties), East Central (39 counties), Metro Atlanta (10 counties), Southwest (41 counties), and Southeast (44 counties). This sampling strategy ensures geographical dispersion across all areas of the state. The sample includes 3 counties from the Metro Atlanta stratum, and 2 counties each from the North, East Central, Southwest, and Southeast strata. A total of 11 counties, which includes all strata, were selected into the sample through this process. For the Metro Atlanta stratum, 3 counties were randomly-selected using a random number generator in Excel. The counties with the 3 lowest randomly-selected values were pulled into the sample. The 3 counties are: Clayton, Henry, and Douglas.

Two counties from each of the remaining strata (North, East Central, Southwest, and Southeast) were randomly-selected using a random number generator in Excel. The counties with the 2 lowest randomly-selected values were pulled into the sample. The North counties are: Upson and Chattooga. The East Central counties are: Morgan and Dawson. The Southwest counties are: Early and Taylor. The Southeast counties are: Cook and Ware.

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

An Excel spreadsheet, a copy of which is attached, of all census tracts in Georgia was created from data retrieved from the U.S. Census Bureau website. A second Excel spreadsheet was populated with census tract information for the 11 randomly-selected counties. From each randomly-selected county, 3 census tracts were randomly-selected using a random number generator. The census tracts within each county with the 3 lowest randomly-selected values were pulled into the sample. For any county that contained 3 or fewer census tracts, all the census tracts in that

county were pulled into the sample. Only Dawson County fit this description, as it contains only 2 census tracts.

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 8.) No (Respond to the following questions.)

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 11.

If Yes, describe any instructions given to the field observers to ensure the entire area was canvassed, then go to Question 12.

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.

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).

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