

ANNUAL SYNAR REPORT

42 U.S.C. 300x-26

OMB № 0930-0222

FFY 2009

State: South Carolina

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INTRODUCTION

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

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

An agency may not conduct or sponsor and a person is not required to respond to a collection of information unless it displays a currently valid OMB control number. The OMB control number for this project is 0930-0222 with an expiration date of 10-31-2010.

How the Synar report helps the Center for Substance Abuse Prevention

In accordance with the tobacco regulations, States are required to provide detailed information on progress made in enforcing youth tobacco access laws (FFY 2008 Compliance Progress) and future plans to ensure compliance with the Synar requirements to reduce youth tobacco access rates (FFY 2009 Intended Use Plan). These data are required by 42 U.S.C. 300x-26 and will be used by the Secretary to evaluate State compliance with the statute. Part of the mission of the Center for Substance Abuse Prevention (CSAP) is to assist States¹ by supporting Synar activities and providing technical assistance helpful in determining the type of enforcement measures and control strategies that are most effective. This information is helpful to CSAP in improving technical assistance resources and expertise on enforcement efforts and tobacco control program support activities, including State Synar Program support services, through an enhanced technical assistance program involving conferences and workshops, development of training materials and guidance documents, and on-site technical assistance consultation.

How the Synar report can help States

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

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

Getting assistance in completing the Synar report

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

Where and when to submit the Synar report

The Annual Synar Report (ASR) must be received by SAMHSA no later than December 31, 2008. The ASR must be submitted in the **approved OMB report format**. Use of the approved format will avoid delays in the review and approval process. The chief executive officer (or an authorized designee) of the applicant organization must sign page 1 of the ASR certifying that the State has complied with all reporting requirements.

The State must upload one copy of the report using the online Web BGAS (Block Grant Application System). States that use the Synar Survey Estimation System (SSES) must also upload one copy of SSES Tables 1-5 (in Excel) to Web BGAS. States that do not use SSES must upload one copy of ASR Forms 1, 4 and 5, and Forms 2 and 3, if applicable, (in Excel format) to Web BGAS. Instructions on how to access the Web BGAS system are included in the attached cover letter.

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

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

Regular Mail:

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

Overnight Mail:

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

FFY 2009: FUNDING AGREEMENTS/CERTIFICATIONS

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

PUBLIC HEALTH SERVICES ACT AND SYNAR AMMENDMENT

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

SYNAR SURVEY SAMPLING METHODOLOGY

The State certifies that the Synar survey sampling methodology on file with the Center for Substance Abuse Prevention and submitted with the Annual Synar Report for FFY 2009 is up-to-date and approved by the Center for Substance Abuse Prevention.

SYNAR SURVEY INSPECTION PROTOCOL

The State certifies that the Synar Survey Inspection Protocol on file with the Center for Substance Abuse Prevention and submitted with the Annual Synar Report for FFY 2009 is up-to-date and approved by the Center for Substance Abuse Prevention.

State: South Carolina

Name of Chief Executive Officer or Designee: W. Lee Catoe

Signature of CEO or Designee:

Director, Department of Alcohol and Other Drug Abuse
Title: Services

Date Signed:

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

SECTION I: FFY 2008 (Compliance Progress)

YOUTH ACCESS LAWS, ACTIVITIES, AND ENFORCEMENT

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

1. Please indicate any changes or additions to the State tobacco statute(s) relating to youth access since the last reporting year. Please attach a photocopy of the change(s) in the State law(s) if any was made since the last reporting year (see 42 U.S.C. 300x-26).

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

Yes No

If Yes, current minimum age: 19 20 21

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

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

Changed to require that law enforcement conduct inspections of tobacco outlets

Changed to make it illegal for youth to possess, purchase or receive tobacco

Changed to require ID to purchase tobacco

Other change(s) *(Please describe.)* _____

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

Yes No

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

Total ban enacted

Banned from location(s) accessible to youth

Locking device or supervision required

Other change(s) *(Please describe.)* _____

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

Licensing of tobacco vendors Yes No

Penalties for sales to minors Yes No

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

Placed on file for public review

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

<http://www.daodas.state.sc.us>

- Notice published in a newspaper or newsletter
- Public hearing
- Announced in a news release, a press conference, or discussed in a media interview
- Distributed for review as part of the SAPT Block Grant application process
- Distributed through the public library system
- Published in an annual register
- Other change(s) *(Please describe.)* _____

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

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

Department of Alcohol and Other Drug Abuse Services

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

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

Department of Alcohol and Other Drug Abuse Services

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):

South Carolina Law Enforcement Division

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

4. Identify the State agency(ies) responsible for tobacco prevention activities.

Department of Alcohol and Other Drug Abuse Services

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

Yes No

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

Are the same

Have a formal written memorandum of agreement

Have an informal partnership

Conduct joint planning activities

Combine resources

Have other collaborative arrangement(s) *(Please describe.)* _____

5. Please answer the following questions regarding the State’s activities to enforce the youth access to tobacco law(s) in FFY 2008 (see 42 U.S.C. 300x-26 and 45 C.F.R. 96.130(e)).

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

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

b. The following items concern penalties imposed for violations of youth access to tobacco laws by **LOCAL AND/OR STATE LAW ENFORCEMENT AGENCIES**. Please fill in the number requested. If State law does not provide for tobacco retailer license/permit suspension or revocation, please mark “NA.”

PENALTY	OWNERS	CLERKS	TOTAL
Number of <u>citations issued</u>	N/A	254	254
Number of <u>fin es assessed</u>	N/A	Unknown	Unknown
Number of <u>permits/licenses suspended</u>	N/A		N/A
Number of <u>permits/licenses revoked</u>	N/A		N/A
Other (Please describe.)			

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

- Merchant education and/or training
- Incentives for merchants who are in compliance (e.g., reward and reminder)
- Community education regarding youth access laws
- Media use to publicize compliance inspection results
- Community mobilization to increase support for retailer compliance with youth access laws
- Other activities (Please list.) Synar Tobacco Enforcement Partnerships (STEPs)

Briefly describe all checked activities:

Merchant education and/or training: Prevention professionals from the state's county alcohol and drug abuse authorities conducted many visits to local merchants that had sold tobacco products to minors. These visits included technical assistance and merchant education.

Recently, DAODAS has strongly increased its involvement in statewide merchant education. The Palmetto Retailer Education Program (PREP) was developed three years ago and is a Department of Revenue-approved merchant education program. It is the only approved tobacco merchant education program in the state. DAODAS supported its development and initial

dissemination to all of the county authorities, and now coordinates its implementation. DAODAS:

- Keeps a state registry of trained merchants
- Sends out certification cards to merchants who complete the program
- Maintains a PREP website (www.prepmerchanted.org)
- Prints a PREP promotional brochure for statewide distribution
- Maintains a schedule of trainings offered at the local level on the DAODAS web site
- Pays for improvements to the accompanying merchant education video that clearly states the laws and demonstrates purchase scenarios
- Maintains a list of licensed PREP trainers
- Serves as a central repository from which county authorities can order STEP materials (e.g., the participant handbook). (This also serves as a quality-control measure.)
- Tracks participant test scores in a state database
- Rewards counties for providing education to large numbers of merchants through the Synar Tobacco Enforcement Partnerships (STEP) incentive funds

This unified branding for merchant education in our state is an important step forward. There were 2,697 merchants trained in PREP in state FY08, up from 958 the previous year. The retail community has been very encouraging of these efforts.

Community education regarding youth access laws: This was drastically increased due to the passage of the Youth Access to Tobacco Prevention Act of 2006, which went into effect 8/21/06. County alcohol and drug abuse authorities made presentations to a large number of audiences, handed out thousands of fliers outlining the new penalties, and took part in hundreds of meetings with law enforcement, school personnel, and magistrates regarding how to best educate youth and offer appropriate education programs for those who were caught violating the new laws. While the amount of tobacco-specific education has lessened due to the law being more than two years old, there is still a great deal of attention being paid to its implementation by local law enforcement, schools, and the courts. DAODAS' system of county authorities is one of the primary providers of tobacco education/cessation classes for youth who are charged with a tobacco-related offense. (A class can be taken in lieu of a fine.) The county agencies served 306 cited youth in FY08, up from 127 in FY07.

Media use to publicize compliance inspection results: Media activities were conducted by local agencies and community organizations throughout the state to focus attention on the sale of tobacco products to minors.

Community mobilization to increase support for retailer compliance with youth access laws: DAODAS supports a three-stage compliance-check process developed by the Pacific Institute for Research and Evaluation (PIRE). Below is an overview of this process:

Stage 1 - Pre-Compliance Check Preparation includes developing law enforcement and community support; gathering baseline data; conducting an initial round of merchant education; and developing media messages, protocols, and a plan to sustain the frequency of the checks.

Stage 2 - Compliance Check Phase includes conducting routine compliance checks, taking legal action against those in violation, referring merchants who sell to the merchant education program, congratulating/recognizing those merchants who do not sell, conducting merchant education, and keeping the media/community interested in the strategy.

Stage 3 - Sustainability Phase includes developing first-year data; repeating the above process; assessing outcomes and identifying ways to improve the process; and reviewing the sustainability plan and changing it as needed.

All 33 county alcohol and drug authorities are required in FFY2009, as part of the contract between DAODAS and each county authority, to implement tobacco compliance checks in at least one area of the county. DAODAS has mandated a standardized compliance check form for all checks conducted. The resulting database allows DAODAS to keep a record of compliance rates by area, type of store, demographics of buyer, demographics of seller, etc.

STEP - STEP began on 6/1/06. STEP encompasses the annual Synar study, the state coverage study, the tobacco compliance checks required by the counties, and the STEP incentive funds. The STEP incentives are a system through which the county authorities can earn points for conducting tobacco prevention activities. The more points they earn, the greater their portion of the STEP incentive funds that are awarded at the end of the year. Counties earn points for:

- Serving people in merchant education
- Doing tobacco compliance checks
- Serving youth charged under the new tobacco law in approved education/cessation classes
- Informing state Synar staff of new tobacco outlets as they open
- Getting local law enforcement to sign onto multi-jurisdictional law enforcement agreements around tobacco

The state has created a formula for each of these components, and staff track the points as the counties send in documentation. DAODAS' receipt of approximately 20 times more compliance-check forms in State FY08 than in FY06 is evidence that the goals of STEP are working.

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

If "Yes" to 5d, please describe the State's procedure for minimizing risk of bias to the survey results:

SYNAR SURVEY METHODS AND RESULTS

The following questions pertain to the survey methodology and results of the Synar survey used by the State to meet the requirements of the Synar Regulation in FFY 2008 (see 42 U.S.C. 300x-26 and 45 C.F.R. 96.130).

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

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

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

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

If Yes, attach SSES summary tables 1, 2, 3, 4 and 5 along with the ASR submission and go to Question 8. If No, continue to Question 7b.

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

Unweighted RVR _____

Weighted RVR _____

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

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

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

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

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

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

Form 2 (Optional) in Appendix A (Forms) (Attach completed Form 2.)

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

- e. If stratification was used, did any strata in the sample contain only one outlet or cluster this year? Yes No No stratification

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

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- f. Was a cluster sample design used? Yes No

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

If No, go to Question 7g.

- Were any certainty primary sampling units selected this year? Yes No

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

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

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

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

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

If Yes, answer the following questions about its coverage.

- a. The calendar year of the latest frame coverage study: 2006

- b. Percent coverage from the latest frame coverage study: 84.8%

- 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: 2009

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 01/1/08 To 02/29/08
MM/DD/YY MM/DD/YY

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

214

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

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

SECTION II: FFY 2009 (Intended Use)

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

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

Synar sampling methodology Yes No

Synar inspection protocol Yes No

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

2. Please describe the State's plans to maintain and/or reduce the target rate for Synar inspections to be completed in FFY 2009. Include a brief description of plans for law enforcement efforts to enforce youth tobacco access laws, activities that support law enforcement efforts to enforce youth tobacco access laws, and any anticipated changes in youth tobacco access legislation or regulation in the State.

This has been a year of sustaining and improving upon several major events in tobacco enforcement and prevention, which we hope will have positive impacts on our future RVRs. In fact, we believe they have already begun making an impact, as our Synar rate has dropped over the past two years, despite the decision to stop using 14-year-old volunteers in our surveys.

First, two of our state's best merchant-education curricula have been merged into one program. This unification has reduced competition and aided the field by having virtually all of our county prevention professionals trained in the same program. The training for this curriculum, the Palmetto Retailers Education Program (PREP), has now been completed for every county agency and implementation is at a record level. Related to this development, DAODAS has spent more than \$20,000 and many staff hours on the improvement, branding, and marketing of this new program (*see Question 5c above*). PREP is also becoming more well known in the merchant community.

Second, as of July 1, 2006, all 33 county alcohol and drug abuse authorities had to implement tobacco compliance checks in some area of their counties as part of their contract with DAODAS. This is bringing the number of law enforcement agencies regularly implementing tobacco compliance checks to an all-time high. DAODAS also requires the use of the DAODAS Compliance Check Form, which allows the State to compile important details about each check and to generate State reports on the number of sales by area, type of business, etc. We also study compliance rates by demographic characteristics of the stores and buyers, and learn about the variances in fine structures across counties.

The STEP incentive program (*described in Question 5c above*) is also having major positive impacts, as evidenced by the increase in tobacco compliance checks from 83 in FY06 to 1,599 in FY08.

DAODAS' local agencies will also continue the practice of reviewing their lists of outlets found to be in violation during inspections and targeting those outlets for extra prevention efforts.

Finally, the Youth Access to Tobacco Prevention Act of 2006 went into effect on 8/21/06. This law made youth possession, purchase, and attempt to purchase illegal. It also raised the fine for sellers and mandated merchant education upon conviction. Synar staff were actively involved in the development of this legislation. DAODAS also plays a major role in the provision of services to those charged, serving more than 300 in FY08.

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

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

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

Law enforcement has suffered drastic funding cuts at the local and state levels, which has eliminated almost all state tobacco law enforcement. Without STEP incentive funding, there might not be any local enforcement either.

No formal list of tobacco vendors exists for South Carolina. Vendors are not required to have a license to sell tobacco. The database of outlets consists of places identified through alcohol license lists, lottery outlet lists, commercial lists, and identification by county prevention professionals and volunteers. The list is quite thorough, but requires frequent updating and de-duplication.

APPENDIX A: TABLES 1–4

SSES Table 1 (Synar Survey Estimates and Sample Sizes)

CSAP-SYNAR REPORT

State	SC
Federal Fiscal Year (FFY)	2009
Date	1/8/2009 15:43
Data	SSESprep_FFY2009_2.xls
Analysis Option	Stratified SRS with FPC

Estimates

Unweighted Retailer Violation Rate	11.7%
Weighted Retailer Violation Rate	11.6%
Standard Error	1.5%
Is SAMHSA Precision Requirement met?	YES
Right-sided 95% Confidence Interval	[0.0%, 14.0%]
Two-sided 95% Confidence Interval	[8.7%, 14.5%]
Design Effect	1.0
Accuracy Rate (unweighted)	79.7%
Accuracy Rate (weighted)	79.2%
Completion Rate (unweighted)	98.5%

Sample Size for Current Year

Effective Sample Size	313
Target (Minimum) Sample Size	313
Original Sample Size	567
Eligible Sample Size	452
Final Sample Size	445
Overall Sampling Rate	7.7%

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

STATE: SC
FFY: 2009

Samp. Stratum	Var. Stratum	Outlet Frame Size	Estimated Outlet Population Size	Number of PSU Clusters Created	Number of PSU Clusters in Sample	Outlet Sample Size	Number of Eligible Outlets in Sample	Number of Sample Outlets Inspected	Number of Sample Outlets in Violation	Retailer Violation Rate(%)	Standard Error(%)
All Outlets											
1	1	7,221	5,719	N/A	N/A	553	438	431	50	11.6%	
2	2	14	14	N/A	N/A	14	14	14	2	14.3%	
Total		7,235	5,733			567	452	445	52	11.6%	1.5%
Over the Counter Outlets											
1	1	7,221	5,719	N/A	N/A	553	438	431	50	11.6%	
2	2	0	0	N/A	N/A	0	0	0	0	0.0%	
Total		7,221	5,719			553	438	431	50	11.6%	1.5%
Vending Machines											
1	1	0	0	N/A	N/A	0	0	0	0	0.0%	
2	2	14	14	N/A	N/A	14	14	14	2	14.3%	
Total		14	14			14	14	14	2	14.3%	0.0%

SSES Table 3 (Synar Survey Sample Tally Summary)

STATE: SC
FFY: 2009

Disposition Code	Description	Count	Subtotal
EC	Eligible and inspection complete outlet	445	
Total (Eligible Completes)			445
N1	In operation but closed at time of visit	0	
N2	Unsafe to access	7	
N3	Presence of police	0	
N4	Youth inspector knows salesperson	0	
N5	Moved to new location but not inspected	0	
N6	Drive thru only/youth inspector has no drivers license	0	
N7	Tobacco out of stock	0	
N8	Run out of time	0	
N9	Other noncompletion	0	
Total (Eligible Noncompletes)			7
I1	Out of Business	54	
I2	Does not sell tobacco products	30	
I3	Inaccessible by youth	0	
I4	Private club or private residence	2	
I5	Temporary closure	5	
I6	Unlocatable	23	
I7	Wholesale only/Carton sale only	0	
I8	Vending machine broken	0	
I9	Duplicate	1	
I10	Other ineligibility	0	
Total (Ineligibles)			115
Grand Total			567

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

STATE: SC
FFY: 2009

Frequency Distribution

Gender	Age	Number of Inspectors	Attempted Buys	Successful Buys
Male	14	0	0	0
	15	31	65	3
	16	31	61	10
	17	41	91	19
	18	0	0	0
	Subtotal	103	217	32
Female	14	0	0	0
	15	39	76	5
	16	44	97	10
	17	28	55	5
	18	0	0	0
	Subtotal	111	228	20
Other		0	0	0
Grand Total		214	445	52

Buy Rate in Percent by Age and Gender

Age	Male	Female	Total
14	0.0%	0.0%	0.0%
15	4.6%	6.6%	5.7%
16	16.4%	10.3%	12.7%
17	20.9%	9.1%	16.4%
18	0.0%	0.0%	0.0%
Other			0.0%
Total	14.7%	8.8%	11.7%

APPENDICES 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 appendices, therefore, should generally describe the design and protocol and 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: SC
 FFY: 2009

1. What type of sampling frame is used?

- List frame (*Go to Question 2.*)
- Area frame (*Go to Question 3.*)
- List-assisted area frame (*Go to Question 2.*)

2. List all sources of the list frame. Indicate the type of source from the list below. Provide a brief description of the frame source. Explain how the lists are updated (method), including how new outlets are identified and added to the frame. In addition, explain how often the lists are updated (cycle). (*After completing this question, go to Question 4.*)

Use the corresponding number to indicate Type of Source in the table below.

- 1 – Statewide commercial business list 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
Lottery list	6	Outlets that have applied to sell lottery tickets for the South Carolina Education Lottery	Yearly
State liquor license database	5	Database of all licensed liquor outlets provided by the Department of Revenue	Yearly
Internet business lists	1	Internet searches of various web sites containing business listings	Yearly
County identified	6	County survey coordinators identify individual outlets for inclusion in the list when they find them.	Yearly

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

- a. Is any area left out in the formation of the area frame?** Yes No

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

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

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

- State law bans vending machines
- State law bans vending machines from locations accessible to youth

- State has SAMHSA approval to exempt vending machines from the survey
- Other (Please describe.) _____

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.)

We use the SSES Sample Size Calculator to determine the appropriate number of completed inspections needed to fulfill the federal requirements. We divide the number of OTC outlets (Y) by our OTC list-frame size (X). That number (Z) means we will sample every Zth outlet after ordering the list frame by county. We randomly select a number (A) from 1 to Z as our starting point. Starting with the Ath store, we select that store, then A + Z, A + 2Z, A + 3Z, etc. This method ensures that all counties are included and are in equal proportion to the number of outlets they contain.

We then add all known vending machines to the sample to get the final sample. The state may round up or add additional outlets if the total is lower than the previous year.

7. Provide the following information about stratification.

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

b. Is clustering used within the stratified sample?

- Yes** (Go to Question 8.)
- No** (Go to Question 9.)

8. Provide the following information about clustering.

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

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

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

The SSES Sample Size Calculator was used to determine the minimum adequate sample size. To ensure that the study meets SAMHSA’s precision requirement, an initial safety margin of 15% was used.

Below is the formula for calculating a sample size using a 1-tail test:

$$\text{Effective sample size: } n_e = \frac{1}{\left(\frac{(s.e.)^2}{P(1-P)} + \frac{1}{N} \right)}$$

where P is the expected violation rate (previous year’s RVR), s.e. is the standard error of the estimate for 3% margin of error for two-sided (one-sided) confidence interval, 0.0153 for two-sided, 0.0183 for one-sided, and N is the total number of outlets in the sampling frame.

The target sample size (nt) is the effective sample size multiplied by the design effect from the previous year’s study.

The original sample size is determined by: $n_o = (1 + s) \frac{n_t}{r_l r_c}$,

where s is a safety margin (15%), rl is the expected eligibility rate (taken from the results of the previous year’s study), and rc is the expected completion rate (taken from the results of the previous year’s study).

We use the Planned Original Sample Size to determine how many OTC outlets to include in the study (and may typically round this number up). We then add all vending machine outlets to this number. If this final number of outlets is lower than the previous year’s study total, the state may consider raising the sample size closer to the previous year’s total to increase precision even further beyond requirements and to maintain a level of consistency for the county authorities that perform the inspections.

APPENDIX C: SYNAR SURVEY INSPECTION PROTOCOL

State: SC
FFY: 2009

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

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

a. Consummated buy attempts?

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

b. Youth inspectors to carry ID?

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

c. Adult inspectors to enter the outlet?

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

d. Youth inspectors to be compensated?

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

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

- Law enforcement agency(s)
 State or local government agency(s) 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 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.

Inspections are conducted by county alcohol and drug authorities. Each agency appoints a survey coordinator, who is responsible for the recruitment and training of both youth inspectors and adult supervisors. Coordinators recruit youth from the families and friends of agency employees, local churches, schools, youth programs, and any other source of potential volunteers. Adult volunteers are usually agency staff and occasionally parents of the youth volunteers.

Each county is required to use a roughly equal number of males and females and a roughly equal number of 15-, 16-, and 17-year-olds. Counties are asked to use inspectors who match the racial makeup of the outlet community if there is a predominant race. In addition, coordinators are instructed to permit each youth inspector to make no more than nine completed eligible purchase attempts, to guard against the personal characteristics of a single youth creating a bias in that county.

Prior to the start of youth recruitment and data collection, new agency coordinators receive a training session at the DAODAS office in Columbia. During this training, they are provided with notebooks containing survey instructions, background materials, and data-collection forms. During the training, coordinators are instructed on methodology. County coordinators then provide training at the local level for their own volunteers, with assistance from the central office if necessary. Experienced agency coordinators are required to participate in a conference call to review the key directives and requirements.

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):**

Our state law allows for the youth purchase of tobacco if a minor is “participating within the course and scope of an authorized inspection or compliance check.” The “authorized inspection” language was inserted at the request of the state Synar staff. Each local inspection team is required to carry a letter signed by Michelle Nienhius, State Synar Coordinator, stating that the youth are not in violation of the law by participating in these inspections.

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

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

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

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

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

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

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

Youth receive training from the county coordinators prior to the inspections. Youth must be between the ages of 15 and 17. There are no specific time-of-day requirements, but all surveys must be completed between January 1 and February 28.

Youth and their parents or guardians complete permission forms prior to participation.

APPENDIX D: LIST SAMPLING FRAME COVERAGE STUDY

(LIST FRAME ONLY)

State: SC

FFY: 2009

1. **Calendar year of the coverage study:** 2006

2. **Percent coverage found:** 84.8%

(Provide calculation of the percent coverage)

145 outlets found during the coverage study

123 were found on the frame list

84.8% coverage

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

State staff created a frame list of all state census tracts, then randomly selected 25 census tracts using a random number chart. These tracts were visited, starting at the beginning of the list, until we were well over the federal minimum number of outlets located. We visited 16 census tracts and found 145 outlets. All were visited during October 2006.

State staff were present for all coverage study canvassing operations, along with one other paid canvasser, which varied (total of four other canvassers).

Using Internet maps and census boundaries, the area was indicated on the map and initial routes were planned to travel every road in the tract. All obvious tobacco outlets from a visual inspection were recorded. A member of the team entered any location with the potential for tobacco sales and recorded those that sell.

Upon completion of the canvassing, state staff attempted to match all found outlets to the state frame list. Those that could not confidently be matched were considered to be missing from the frame list. 123 outlets were found to be accounted for, and 22 were not.