DRAFT
ANNUAL SYNAR REPORT
42 U.S.C. 300x-26
OMB № 0930-0222

FFY 2014
State: Virginia

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OMB No. 0930-0222
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Public Burden Statement: An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number. The OMB control number for this project is 0930-0222. Public reporting burden for this collection of information is estimated to average 18 hours per respondent, per year, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to SAMHSA Reports Clearance Officer, 1 Choke Cherry Road, Room 2-1057, Rockville, Maryland, 20857.

INTRODUCTION

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

How the Synar report helps the Center for Substance Abuse Prevention

In accordance with the tobacco regulations, states are required to provide detailed information on progress made in enforcing youth tobacco access laws (FFY 2013 Compliance Progress) and future plans to ensure compliance with the Synar requirements to reduce youth tobacco access rates (FFY 2014 Intended Use Plan). These data are required by 42 U.S.C. 300x-26 and will be used by the Secretary to evaluate state compliance with the statute. Part of the mission of the Center for Substance Abuse Prevention (CSAP) is to assist states[1] 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.

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

Getting assistance in completing the Synar report

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

Where and when to submit the Synar report

The ASR must be received by SAMHSA no later than December 31, 2013 and must be submitted in the format specified by these instructions. Use of the approved format will avoid delays in the review and approval process. The chief executive officer (or an authorized designee) of the applicant organization must sign page one of the ASR certifying that the state has complied with all reporting requirements.

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

- FFY 2014 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:

Grants Management Officer
Division of Grants Management
Office of Financial Resources
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

COMMONWEALTH of VIRGINIA

Office of the Governor

Robert F. McDonnell
Governor

August 12, 2010

Ms. Barbara Orlando, M.S.
Grants Management Specialist
Formula Grants Team
Substance Abuse and Mental Health Services Administration
Office of Program Services
Division of Grants Management
1 Choke Cherry Road, Room 7-1091
Rockville, Maryland 20850

Dear Ms. Orlando:

I am delegating responsibility for the administration of Virginia's Community Mental Health Services (CMHS) Block Grant and Substance Abuse Prevention and Treatment Block Grant to the Commissioner of the Virginia Department of Behavioral l Health and Developmental Services, effective this date. Questions concerning these grants should be directed to the Commissioner's office at:

Virginia Department of Behavioral Health and Developmental Services
Post Office Box 1797
Richmond, Virginia 23218
Telephone: (804) 786-3921

I am also authorizing the Secretary of Health and Human Resources for the Commonwealth to sign the required certifications and assurances required for application to the Substance Abuse and Mental Health Services Administration for the CMHS and SAPT Block Grants for this and subsequent years of my administration.

Sincerely,

Robert F. McDonnell

cc: The Honorable William A. Hazel, Jr. M.D.
James W. Stewart, Commissioner
Virginia Department of Behavioral Health and Developmental Services

FFY 2014: FUNDING AGREEMENTS/CERTIFICATIONS

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

PUBLIC HEALTH SERVICES ACT AND SYNAR AMENDMENT
42 U.S.C. 300x-26 requires each state to submit an annual report of its progress in meeting the requirements of the Synar Amendment and its implementing regulation (45 C.F.R. 96.130) to the Secretary of the Department of Health and Human Services. By signing below, the chief executive officer (or an authorized designee) of the applicant organization certifies that the state has complied with these reporting requirements and the certifications as set forth below.
SYNAR SURVEY SAMPLING METHODOLOGY
The state certifies that the Synar survey sampling methodology on file with the Center for Substance Abuse Prevention and submitted with the Annual Synar Report for FFY 2014 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 2014 is up-to-date and approved by the Center for Substance Abuse Prevention.
State: Virginia
Name of Chief Executive Officer or Designee: The Honorable William A. Hazel, Jr. M.D.
Signature of CEO or Designee:
Title: Secretary, Health and Human Resources **Date Signed:**
If signed by a designee, a copy of the designation must be attached.

SECTION I: FFY 2013 (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 state law that impact the following?**

Licensing of tobacco vendors	☐ **Yes**	☒ **No**
Penalties for sales to minors	☐ **Yes**	☒ **No**
Vending machines	☐ **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 and the date when the FFY 2014 ASR was posted to this Web address.)* _____
   ☒ Notice published in a newspaper or newsletter
   ☒ Public hearing
   ☐ Announced in a news release, a press conference, or discussed in a media interview
   ☐ Distributed for review as part of the SABG application process
   ☐ Distributed through the public library system
   ☐ Published in an annual register

☐ Other *(Please describe.)* _____

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

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

   Department of Behavioral Health and Developmental 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 Alcoholic Beverage Control

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

   ☐ **Yes** ☒ **No**

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

   Department of Alcoholic Beverage Control

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

   ☐ **Yes** ☒ **No**

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

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

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

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

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

d. **Identify the state agency responsible for enforcing the youth access and advertising restrictions in the Family Smoking Prevention and Tobacco Control Act (the agency that is under contract to the Food and Drug Administration's Center for Tobacco Products (FDA/CTP)).**
Department of Alcoholic Beverage Control

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

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

☐ Are the same
☒ Have a formal written memorandum of agreement
☐ Have an informal partnership
☐ Conduct joint planning activities
☐ Combine resources
☒ Have other collaborative arrangement(s) *(Please describe.)* *Va DBHDS provides data on tobacco outlets for the FDA inspections.*

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

5. **Please answer the following questions regarding the state's activities to enforce the state's youth access to tobacco law(s) in FFY 2013** *(see 42 U.S.C. 300x-26 and 45 C.F.R. 96.130(e)).*

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

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

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

PENALTY	OWNERS	CLERKS	TOTAL
Number of citations issued	UNK	81	UNK
Number of fines assessed	UNK	UNK	UNK
Number of permits/licenses suspended	NA		NA
Number of permits/licenses revoked	NA		NA
Other *(Please describe.)*	UNK	UNK	UNK

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

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

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

☐ **Yes** ☒ **No**

e. What additional activities are conducted in your state to support enforcement and compliance with state youth 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.)* *FDA-supported inspections, Prevention activities described below*

Briefly describe all checked activities:

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:

Annual inspections are randomized and not clustered, so nearby merchants are not typically inspected at the same time

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 2013 (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 <u>right limit</u> of the right-sided 95% confidence interval.

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

Accuracy rate _____

Completion rate _____

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

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

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

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

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

☐ **Yes** ☐ **No** ☐ **No stratification**

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

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

☐ **Yes** ☐ **No**

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

*If **No**, go to Question 7g.*

Were any certainty primary sampling units selected this year?

☐ **Yes** ☐ **No**

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

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

	Sample Size
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:** 2013

b. **Percent coverage from the latest frame coverage study:** 94.3%

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:** 2016

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** 06/19/13 **to** 08/21/13
MM/DD/YY MM/DD/YY

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

23

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.

b. **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 2014 (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 2014. 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.**

   Va DBHDS is pleased to continue to meet the required target of 20 percent noncompliance this year, and will continue to work to further reduce the rate of noncompliance in the upcoming reporting cycle. No changes to the inspection protocol are planned, and no legislative activities or regulatory changes are anticipated. The Department of Alcoholic Beverage Control will continue to conduct the inspections on contract with the Va DBHDS.

   Va DMHMRSAS has developed strong agency partners in ABC and VDH. By instituting a formal contractual relationship with the ABC, it has assured that inspections occurred in a timely fashion.

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
   ☐ Issues regarding the age balance of youth inspectors
   ☒ Issues regarding the gender balance of 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.

A major challenge faced by Virginia in complying with Synar regulations has been the lack of a comprehensive list of tobacco retailers on which to base the sample for compliance inspections. VaDBHDS attempts to address this problem by supplementing the Dunn & Bradstreet listing with a list of retailers provided by Philip Morris. The recent contract between ABC and FDA for tobacco enforcement will provide resources for additional agent time devoted to tobacco enforcement activities.

The percentage of female UABs this year was 61.7%, slightly exceeding the 60% target. VaDBHDS has communicated this to VaABC and expect the target will not b exceed in the future.

SSES Table 1 (Synar Survey Estimates and Sample Sizes)

CSAP-SYNAR REPORT

State	Virginia
Federal Fiscal Year (FFY)	2014
Date	10/21/2013 11:17
Data	SynarResults2014.xlsx
Analysis Option	Stratified SRS with FPC

Estimates

Unweighted Retailer Violation Rate	9.7%
Weighted Retailer Violation Rate	9.7%
Standard Error	0.1%
Is SAMHSA Precision Requirement met?	YES
Right-sided 95% Confidence Interval	[0.0%, 9.9%]
Two-sided 95% Confidence Interval	[9.4%, 9.9%]
Design Effect	1.0
Accuracy Rate (unweighted)	70.7%
Accuracy Rate (weighted)	70.7%
Completion Rate (unweighted)	97.2%

Sample Size for Current Year

Effective Sample Size	488
Target (Minimum) Sample Size	488
Original Sample Size	1,221
Eligible Sample Size	863
Final Sample Size	839
Overall Sampling Rate	98.0%

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

STATE: Virginia
FFY: 2014

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	1,221	863	N/A	N/A	1,221	863	839	81	9.7%	
Total		1,221	863			1,221	863	839	81	9.7%	0.1%
Over the Counter Outlets											
1	1	1,221	863	N/A	N/A	1,221	863	839	81	9.7%	
Total		1,221	863			1,221	863	839	81	9.7%	0.1%
Vending Machines											
1	1	0	0	N/A	N/A	0	0	0	0	0.0%	
Total		0	0			0	0	0	0	0.0%	0.0%

SSES Table 3 (Synar Survey Sample Tally Summary)

STATE: Virginia
FFY: 2014

Disposition Code	Description	Count	Subtotal
EC	Eligible and inspection complete outlet	839	
Total (Eligible Completes)			839
N1	In operation but closed at time of visit	11	
N2	Unsafe to access	7	
N3	Presence of police	0	
N4	Youth inspector knows salesperson	5	
N5	Moved to new location but not inspected	0	
N6	Drive thru only/youth inspector has no drivers license	0	
N7	Tobacco out of stock	0	
N8	Run out of time	0	
N9	Other noncompletion (see below)	1	
Total (Eligible Noncompletes)			24
I1	Out of Business	105	
I2	Does not sell tobacco products	189	
I3	Inaccessible by youth	0	
I4	Private club or private residence	14	
I5	Temporary closure	1	
I6	Can't be located	47	
I7	Wholesale only/Carton sale only	1	
I8	Vending machine broken	0	
I9	Duplicate	0	
I10	Other ineligibility (see below)	1	
Total (Ineligibles)			358
Grand Total			1221

Give reasons and counts for other noncompletion:

Reason	Count
Reachable only by boat or plane (Tangier Island)	1

Give reasons and counts for other ineligibility:

Reason	Count
Military Base	1

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

STATE: Virginia
FFY: 2014

Frequency Distribution

Gender	Age	Number of Inspectors	Attempted Buys	Successful Buys
Male	14	0	0	0
	15	1	1	0
	16	6	349	22
	17	3	71	9
	18	0	0	0
	Subtotal	10	421	31
Female	14	0	0	0
	15	1	56	4
	16	7	220	21
	17	5	142	25
	18	0	0	0
	Subtotal	13	418	50
Other		0	0	0
Grand Total		23	839	81

Buy Rate in Percent by Age and Gender

Age	Male	Female	Total
14	0.0%	0.0%	0.0%
15	0.0%	7.1%	7.0%
16	6.3%	9.5%	7.6%
17	12.7%	17.6%	16.0%
18	0.0%	0.0%	0.0%
Other			0.0%
Total	7.4%	12.0%	9.7%

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 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: Virginia
FFY: 2014

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
iMarket list of Dunn and Bradstreet	1	The purchased list is generated based on the North American Industry Classification System (NAICS formerly SIC) codes of businesses that are likely to sell tobacco over the counter. The NAICS codes are 5411 (grocery stores), 5541 (gasoline stations), 5912 (drug stores), 5812 (restaurants), 5993 (tobacco stores), 5399 (general merchandises), 5994 (news stands), 5999 (miscellaneous retail stores), and 7933 (bowling centers).	Updated Annually
Philip Morris	6	Phillip Morris' STARS list of retailers with whom they have transacted within the prior 12 weeks (this list is maintained by a private company that manages tobacco retail customers lists for several tobacco manufacturers).	Updated Annually

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

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

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

_____%

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

☐ **Yes** ☒ **No**

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

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

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

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

Unstratified statewide sample:

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

Stratified sample:

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

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

An iMarket list based on the NAICS codes listed above in Question 2 will be purchased annually. This list will include information on approximately 25,000 outlets. From this list, two groups will be eliminated:

1-franchises that have a corporate policy against tobacco sales;

2-vendors identified as not selling during previous compliance inspections;

Remaining vendors from the D& B list will be combined with the Philip Morris list of current retailers. This final cleaned list will be de-duplicated to ensure randomness of sampling and avoid systematic bias.

The sample will be drawn from the combined, cleaned list in the following manner: As in prior approved methodology (formula in 9, below), a systematic sample will be selected after sorting the list by zip codes (this results in implicit stratification).

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 multistage clusters are used, give definitions of clusters at each stage.)*

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

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

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

      ☐ **Yes** *(Respond to part b.)*

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

   b. **SSES Sample Size Calculator used?**

      ☐ **State Level** *(Respond to Question 10a.)*

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

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

Effective sample size is determined as follows:
Where

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

N = total population,

p = RVR from the previous year's survey

Z = 1.96 (corresponding to confidence level of 95% for a two-sided interval), and

d = 0.03, which is the SAMHSA precision requirement.

Target sample size (nt) is the same as the effective sample size assuming that the design effect is one.

Using a safety margin of 30 percent, the original sample size was then determined by

$n_o = 1.3 * n_t / (AR * CR)$ where AR = average accuracy rate from the previous four years' surveys and
CR = completion rate from the previous year's survey.

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: 13.5%
Frame Size: 23,804

Input for Target Sample Size:
Design Effect: 1

Inputs for Original Sample Size:
Safety Margin: 30%
Accuracy (Eligibility) Rate: 52.9%
Completion Rate: 98.3%

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

Virginia uses a simple random state-wide sample.

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

N = total population = 23,804

p = RVR from the previous year's survey = 13.5%

Z = 1.96 (corresponding to confidence level of 95% for a two-sided interval), and

d = 0.03, which is the SAMHSA precision requirement.

AR = average accuracy rate from the previous four years' surveys = 52.9%

CR = completion rate from the previous year's survey = 98.3%

Safety margin = 30%

APPENDIX C: SYNAR SURVEY INSPECTION PROTOCOL

State: Virginia
FFY: 2014

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

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

   a. **Consummated buy attempts?**

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

   b. **Youth inspectors to carry ID?**

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

   c. **Adult inspectors to enter the outlet?**

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

   d. **Youth inspectors to be compensated?**

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

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

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

   List the agency name(s): Virginia Department of Alcoholic Beverage Control_____

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

   ☒ Always ☐ Usually ☐ Sometimes ☐ Rarely ☐ Never

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

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

      ☒ Cigarettes
      ☐ Small Cigars/Cigarillos
      ☐ Smokeless Tobacco
      ☐ Other

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

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

   Trained and experienced special agents are responsible for training new agents and minors. Whenever possible, newly recruited minors observe experienced UABs conducting compliance checks prior to participating in actual compliance checks.

   Regional Special Agents in Charge (SAC) at each of the eight regional ABC offices recruit the underage buyers. The SAC assigns a special agent who is experience in undercover operations as the case agent. The case agent is always present and actively supervises all UAB operations, including training the UAB.

   The following topics are covered in training:
   Selection and retention of the UAB
   Basis for selection
   Importance of appearance and proper dress
   - Consistent hairstyling
   - Age appropriate use of make-up
   - Age appropriate clothing

   Entrapment
   Rules of Evidence
   Observation and mental note taking
   Court and Administrative Procedures
   A typical shift
   What to do if the UAB is known to seller
   Purpose and use of body wires if applicable
   Detailed purchase instructions
   Prohibited activities of the UAB

6. **Are there specific legal or procedural requirements instituted by the state to address**

the issue of youth inspectors' immunity when conducting inspections?

a. **Legal**

☒ **Yes** ☐ **No**

*(If **Yes,** please describe.)*

§ 18.2-371.2 . No person less than 18 years of age shall attempt to purchase, purchase or possess any tobacco product, including but not limited to cigarettes, cigars, bidis, and wrappings. The provisions of this subsection shall not be applicable to the possession of tobacco products, including wrappings, by a person less than 18 years of age making a delivery of tobacco products, including wrappings, in pursuance of his employment. This subsection shall not apply to purchase, attempt to purchase or possession by a law-enforcement officer or his agent when the same is necessary in the performance of his duties.

b. **Procedural**

☐ **Yes** ☒ **No**

*(If **Yes,** please describe.)*

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

a. **Legal**

☐ **Yes** ☒ **No**

*(If **Yes,** please describe.)*

b. **Procedural**

☒ **Yes** ☐ **No**

*(If **Yes,** please describe.)*

Two adult ABC special agents accompany one underage buyer (UAB) during compliance checks. One special agent enters the retail establishment just prior to or just after the UAB, in a manner that ensures anonymity of the UAB as well as the safety of the UAB. Providing two agents assures the safety of the UAB ad prevents any improper conduct with the UAB. When the UAB is female, efforts are made to assure that one of the special agents is also a female

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

a. **Legal**

☐ **Yes** ☒ **No**

*(If **Yes,** please describe.)*

b. Procedural

☒ **Yes** ☐ **No**

*(If **Yes,** please describe.)*

UABs are between 15 and 17 years of age.

APPENDIX D: LIST SAMPLING FRAME COVERAGE STUDY

(LIST FRAME ONLY)

State: Virginia
FFY: 2014

1. **Calendar year of the coverage study:** 2013

2. a. **Unweighted percent coverage found:** 94.3%%
   b. **Weighted percent coverage found:** 91.6%
   c. **Number of outlets found through canvassing:** 210
   d. **Number of outlets matched on the list frame:** 198

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

   Starting points (2) were identified within the catchment areas of each of the state's 40 community services boards.the entities of local government that provide community-based substance abuse treatment and prevention services.

   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.**

Within each strata, 2 road sections were randomly selected from the TIGER Census Tract Street Index and a street address randomly selected along that road section.

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

The sample was stratified using the catchment areas of the state's 40 community services boards which, taken in whole, cover the entire state. Two starting points, a primary and secondary, were selected within each catchment area.

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

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

☐ **Yes** ☐ **No**

6. **Were all sampled areas visited by canvassing teams?**

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

a. **Was the subset of areas randomly chosen?**

☐ **Yes** ☐ **No**

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

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

☐ **Yes** ☒ **No**

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

Field observers were given maps showing the locations of 2 randomly selected starting points within each canvassing area and instructions to follow standardized procedure (see below) until they had identified 5 tobacco retailers.

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

☐ **Yes** ☒ **No**

*If **No**, respond to Question 9.*
*If **Yes**, describe any instructions given to the field observers to ensure the entire area was*

canvassed, then go to Question 10.

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

   a. **How many predetermined outlets were to be observed in each area?** 5

   b. **What were the starting points for each area?** Addresses randomly selected from the TIGER Census Tract Street Index

   c. **Were these starting points randomly chosen?**

   ☒ **Yes** ☐ **No**

   d. **Describe the selection of the starting points.**

Selection of starting points was accomplished using the TIGER Census Tract Street Index. Two road sections within the catchment area of each of the states's 40 community services boards were selected and starting points identifies as the lowest listed street number on the selected section. Canvassers were given Google Maps showing the location of the starting points.

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

Canvassers were given the following instructions:
Beginning at this point, your job is to locate 5 eligible outlets that sell tobacco. You should follow the standardized procedure outlined below, investigate any establishment that you consider to be a potential tobacco retailer and record identifying information on any that sell tobacco products.

These instructions provide a standardized procedure to be used in the coverage study. Depending on your location, you may be working on foot, using a vehicle to travel between establishments, or combination of both means of travel. Study activities should be conducted during times that maximize the probability that establishments will be open for business (after 11:00 am). As you leave the starting point, find the most-traveled street. With your back to the starting point, turn to your right and travel in a straight path on this street.

Record only the establishments on the right side of the road (same side of the road as the primary starting point.) In the case of shopping centers or malls, all establishments should be considered. If you come to the end of the road or street, turn right and continue canvassing the establishments on the right side of that road. Again, keep traveling in a straight path. Do not cross the road or street.

If you are unable to proceed for any reason before you have gathered information on 5 tobacco retailers, return to the primary starting point. Repeat the above procedure, but this time turn left from the starting point and make left turns as you come to situations where you cannot proceed in a straight line. As before, investigate all potential tobacco retailers. If you cannot proceed after these 2 starts

and have not yet found 5 tobacco retailers, return to the starting point, cross the street and replicate the above procedure, first turning right and making subsequent right turns then, if necessary, turning left and making subsequent left turns until 5 retailers are identified. If you are not able to locate 5 eligible outlets while following the procedure outlined above, repeat the entire procedure, beginning at the secondary starting point.

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

Field observers were instructed to "investigate any establishment that you consider to be a potential tobacco retailer and record identifying information on any that sell tobacco products… Your assignment is to record information on 5 retail outlets that sell tobacco to which teens would have access."

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).

Primary matching was accomplished based on common street addresses. This was successful in a large majority of cases. A small number of cases were classified as matches based on a match of business name and street addresses within a couple of digits of each other.

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

Suppose that r_i is the number of retailers canvassed from the total number of retailers, R_i for the 'ith stratum. If simple random sampling of a start point was used within the ith strata, and r_i retailers were canvassed then the probability of finding the retailers is r_i / R_i and the sampling weight is R_i / r_i for all areas in the ith stratum.

To Calculate the Weighted Coverage Rate:

1. Count the number of outlets found from the field study but not included in the frame file for each sample area and let it be denoted by b_i for i-th sample area.

2. Let r_i be the number of outlets canvassed in the ith strata. So r is the number of outlets canvassed in the study (i.e., $r = \sum_{i=1}^{40} r_i$).

3. Let $w_i = R_i / r_i$ be the sampling weight (i.e., inverse of the selection probability) for i-th sample area.

4. Then the percent coverage rate (C) is estimated by

$$C = 100\left(1 - \frac{\sum_{i=1}^{k} w_i b_i}{\sum_{i=1}^{k} w_i r_i}\right)$$

$= 100(1-(1992/23804))$

$= 91.6\%$