ANNUAL SYNAR REPORT

42 U.S.C. 300x-26

OMB № 0930-0222

FFY 2013

State: **Oklahoma**

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INTRODUCTION

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

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

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

How the Synar report helps the Center for Substance Abuse Prevention

In accordance with the tobacco regulations, States are required to provide detailed information on progress made in enforcing youth tobacco access laws (FFY 2012 Compliance Progress) and future plans to ensure compliance with the Synar requirements to reduce youth tobacco access rates (FFY 2013 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) 276-2413 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 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, 2012. The ASR must be submitted in the **approved OMB report format.** Use of the approved format will avoid delays in the review and approval process. The chief executive officer (or an authorized designee) of the applicant organization must sign page 1 of the ASR certifying that the State has complied with all reporting requirements.

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

- FFY 2013 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
Office of Program Services
Division of Grants Management
Substance Abuse and Mental Health Services Administration

Regular Mail:	**Overnight Mail:**
1 Choke Cherry Road, Rm.7-1091 Rockville, Maryland 20857	1 Choke Cherry Road, Rm.7-1091 Rockville, Maryland 20850

FFY 2013: 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 2013 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 2013 is up-to-date and approved by the Center for Substance Abuse Prevention.
State: Oklahoma
Name of Chief Executive Officer or Designee: Terri White
Signature of CEO or Designee:
Title: Oklahoma Department of Mental Health and Substance Abuse Services Commissioner **Date Signed:**
If signed by a designee, a copy of the designation must be attached.

FFY: 2013 State: Oklahoma
Date: 12/18/2012

SECTION I: FFY 2012 (Compliance Progress)

YOUTH ACCESS LAWS, ACTIVITIES, AND ENFORCEMENT

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

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

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

   ☐ **Yes** ☒ **No**

   *If **Yes,** current minimum age:* ☐ 19 ☐ 20 ☐ 21

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

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

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

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

   ☐ **Yes** ☐ **No**

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

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

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

   Licensing of tobacco vendors ☐ **Yes** ☒ **No**
   Penalties for sales to minors ☐ **Yes** ☒ **No**

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

   ☐ Placed on file for public review

   ☒ Posted on a State agency Web site *(Please provide exact Web address and the date when the FFY 2013 ASR was posted to this Web address.)*

ok.gov/odmhsas/Prevention_/Prevention_Initiatives/Synar_Compliance/index.html, posted 12.18.2012

☐ 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 *(Please describe.)* Distributed to Oklahoma Regional Prevention Coordinators and Oklahoma State Epidemiological Outcomes Workgroup.

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:***

Oklahoma Department of Mental Health and Substance 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:***

Alcoholic Beverage Laws Enforcement (ABLE) Commission

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):***

Alcoholic Beverage Laws Enforcement (ABLE) Commission

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

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

Oklahoma State Department of Health (OSDH)

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 2012** *(see 42 U.S.C. 300x-26 and 45 C.F.R. 96.130(e)).*

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

   ☐ Enforcement is conducted exclusively by local law enforcement agencies.

   ☐ Enforcement is conducted exclusively by State agency(ies).

   ☒ Enforcement is conducted by both local *and* State agencies.

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

PENALTY	OWNERS	CLERKS	TOTAL
Number of citations issued	NA	38	38
Number of fines assessed	NA	UNK	UNK
Number of permits/licenses suspended	0		0
Number of permits/licenses revoked	0		0
Other *(Please describe.)*			

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

   ☐ Enforcement is conducted only at those outlets randomly selected for the Synar survey.

   ☐ Enforcement is conducted only at a subset of outlets not randomly selected for the Synar survey.

   ☒ Enforcement is conducted at a combination of outlets randomly selected for the Synar survey and outlets not randomly selected for the Synar survey.

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

   ☐ Yes

   ☒ No

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

   ☒ Merchant education and/or training

   ☒ Incentives for merchants who are in compliance (e.g., nonenforcement

compliance checks in which compliant retailers are given positive reinforcement and noncompliant retailers are warned about youth access laws)

☒ Community education regarding youth access laws

☒ Media use to publicize compliance inspection results

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

☐ Other activities *(Please list.)* _____

Briefly describe all checked activities:

Merchant education and/or training: Reward Reminder Visits (RRVs) are conducted locally by Regional Prevention Coordinators (RPCs) and community coalitions throughout the state.

Oklahoma began using RRVs in 2003. RRV are unconsummated tobacco buy operations using local youth, in which outlets are given friendly "reminders" about the legal consequences if a sell is imminent, and given "rewards" for checking identification and not selling to youth. Oklahoma's RPCs are required to conduct RRVs at 50 percent of all eligible licensed tobacco outlets located within their region. These visits are conducted annually and no region is required to complete more than 250 visits. This is accomplished when trained youth and adult community members visit different outlets that sell tobacco in their community. The youth can carry a valid ID and a small amount of money but not enough to actually purchase a tobacco product. The success of the 'buy' determines if the clerk receives a reward or a reminder.

• Successful 'buy' - Retailer receives a 'reminder' of what could have happened had the visit been a compliance check (penalties, etc) and results are publicized

•Unsuccessful 'buy' - Retailer is 'rewarded' for not selling to youth through community wide recognition and results are publicized. The clerk is 'rewarded' by either being entered into a drawing for a large incentive items (i.e. IPad or TV) or receive a smaller instant incentive item (i.e. gift card).

Incentives for merchants who are in compliance: A letter is sent to the outlet commending the owner and clerk for observing the law and protecting youth. Local newspapers also publicize these positive results.

Community education regarding youth access laws: Local RPCs advocate for local policy change, coordinate youth leadership opportunities, participate in coalitions, and provide community trainings that all involve the prevention of youth access and use of tobacco.

Media used to publicize compliance inspection results: Both successful and unsuccessful 'buys' performed through the RRVs are publicized in local newspapers. The results from the Synar inspections are also publicized through an ODMHSAS press release as well as by the local RPCs.

Community mobilization to increase support for retailer compliance with youth access laws: State contracted service providers develop and work with local community-based coalitions to conduct RRVs, merchant education and other environmental prevention approaches as part of a comprehensive community prevention action plan.

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:

The Synar inspections are conducted by the Alcoholic Beverage Laws Enforcement (ABLE) Commission who has no financial interest in the survey results. In addition, ABLE is obligated to issue citations regardless of the situation. Because the outlets are selected through a random process, the chances of a retailer calling another retailer that will be inspected on that particular day are minimized.

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

The ABLE Commission was awarded the U.S. Food and Drug Administrative-funded enforcement program in fall of 2011. The ODMHSAS has an on-going relationship with the ABLE Commission and was pleased to have the FDA Project Coordinator from the ABLE Commission attend the Synar Workshop this year with the State Synar Coordinator. As part of this relationship, the ABLE Commission and the ODMHSAS have been working with the FDA Project Officer seeking a way to share FDA data for Synar since the contracts are housed in two separate State Agencies. In addition, most of the agents that conduct the Synar checks are also involved in the FDA inspections.

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 2012 (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 (Forms1–5). *(Required regardless of the sample design.)*

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

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

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

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

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

f. Was a cluster sample design used? ☐ **Yes** ☐ **No**

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

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

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

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

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

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

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

8. **Did the State's Synar survey use a list frame?** ☐ **Yes** ☐ **No**

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

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

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

c. **Was a new study conducted in this reporting period?** ☐**Yes** ☐ **No**

*If **Yes,** please complete Appendix D (List Sampling Frame Coverage Study) and submit it with the Annual Synar Report.*

d. **The calendar year of the next coverage study planned:** _____

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

☐ **Yes** ☐ **No**

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

a. **Provide the inspection period: From _____ to _____**
MM/DD/YY MM/DD/YY

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

_____

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

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

SECTION II: FFY 2013 (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 2013. 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.**

Oklahoma will continue to make the reduction of youth access to tobacco a priority. The ABLE Commission will continue to conduct Synar inspections and respond to tips about outlets selling to youth and youth using tobacco. With the addition of FDA funds, the ABLE Commission conducts regular, ongoing checks to additional outlets; helping to enusre that all tobacco outlets are visited by ABLE each year. Local coalitions are collaborating with city and county officials to enact municipal ordinances to allow local law enforcement officers to carry out community compliance checks. Cities and towns with ordinances in place provide enforcement of youth access laws and continue to be encouraged in their efforts by the community coalitions.

All Regional Prevention Coordinators (RPCs) will be required to follow the PAXIS Reward & Reminder protocol. In addition, RRVs are conducted on a quarterly basis from a randomized list by local Regional Prevention Coordinators and community coalitions. They will continue to engage youth leadership programs, such as Students Working against Tobacco (SWAT) and in educating merchants and the community about tobacco related problems and youth access issues. The RRV results are being shared with the ABLE Commission to provide tips about outlets selling tobacco products to youth. In addition, the protocol used by all the RPCs is being strengthened to ensure uniformity across the state of Oklahoma. Starting with the SFY2013 contracts, for any RPC that has a RRV rate lower than the State's retailer violator rate (RVR), is required to do an increased number of RRVs in their assigned area.

Synar inspection results are shared with the RPCs to use in conducting merchant education through the RRVs. In addition, notification letters are sent to the tobacco licensees where tobacco was sold during the Synar inspections. These letters are copied to community officials. We will continue using this process in the coming year.

The ABLE Commission and the Oklahoma Tax Commission will continue to suspend tobacco retailer's licenses that have received three citations for selling tobacco to a minor in

the past two years. In addition, the ABLE Commission will continue to ensure previous violators are monitored.

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

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

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

Limited resources for law enforcement of youth access laws: The ABLE Commission has a very small number of agents to conduct tobacco inspections due to limited financial resources. An increase in financial resources is not expected in the upcoming year.

Limited resources for activities to support enforcement and compliance with youth tobacco access laws: Regional Prevention Coordinators (RPCs) and community coalitions have limited resources. An increase in financial resources is not expected in the upcoming year. However, RPCs, community coalitions, and youth groups are conducting RRVs which include merchant education. Local law enforcement is also being encouraged by RPCs, community coalitions and youth groups to increase enforcement in their communities. In addition, the increase in tobacco tax and restricted smoking environments have aided in reducing tobacco use among youth in Oklahoma.

Geographic, demographic, and logistical considerations in conducting inspections: Oklahoma is a rural state with long distances between communities. This distance makes it expensive and logistically difficult for ABLE agents to conduct frequent and/or repeated visits to licensed tobacco outlets.

Issues regarding sources of tobacco under tribal jurisdiction: There are 39 tribes in Oklahoma, 10 are considered sovereign nations and the remaining are under the rule of the federal Bureau of Indian Affairs. Therefore, the ABLE Commission and local law enforcement agencies are unable to enforce state laws at the outlets owned and operated by the tribes. To address this issue, community coalitions are working to educate and encourage tribes and tribal smoke shops to comply with state law and to request identification of youth attempting to purchase tobacco products.

APPENDIX A: FORMS 1–5

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

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

Instructions for Completing Form 1: In the top right-hand corner of the form, provide the State name and reporting Federal fiscal year (FFY 2013). Provide the remaining information by stratum if stratification was used. Make copies of the form if additional rows are needed to list all the strata.

Column 1: *If stratification was used*:

1(a) Sequentially number each row.
1(b) Write in the name of each stratum. All strata in the State must be listed.

If no stratification was used:

1(a) Leave blank.
1(b) Write "State" in the first row (indicates that the whole State is a single stratum).

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

Column 2: 2(a) Report the number of over-the-counter (OTC) outlets in the sampling frame in each stratum.
2(b) Report the number of vending machine (VM) outlets in the sampling frame in each stratum.
2(c) Report the combined total of OTC and VM outlets in the sampling frame in each stratum.

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

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

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

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

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

FORM 1 (Required for all States not using the Synar Survey Estimation System [SSES] to analyze the Synar Survey data.)

Summary of Synar Inspection Results by Stratum

State: _____

FFY: 2013

(1)		(2)			(3)			(4)			(5)		
STRATUM		NUMBER OF OUTLETS IN SAMPLING FRAME			ESTIMATED NUMBER OF ELIGIBLE OUTLETS IN POPULATION			NUMBER OF OUTLETS INSPECTED			NO. OF OUTLETS FOUND IN VIOLATION DURING INSPECTIONS		
(a) Row #	(b) Stratum Name	(a) Over-the-Counter (OTC)	(b) Vending Machines (VM)	(c) Total Outlets (2a+2b)	(a) Over-the-Counter (OTC)	(b) Vending Machines (VM)	(c) Total Outlets (3a+3b)	(a) Over-the-Counter (OTC)	(b) Vending Machines (VM)	(c) Total Outlets (4a+4b)	(a) Over-the-Counter (OTC)	(b) Vending Machines (VM)	(c) Total Outlets (5a+5b)

RECORD COLUMN TOTALS ON LAST LINE (LAST PAGE ONLY IF MULTIPLE PAGES ARE NEEDED).

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

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

Instructions for Completing Form 2: In the top right-hand corner of the form, provide the State name and reporting Federal fiscal year (FFY 2013).

Column 1: Write in the name of each stratum into which the sample was divided. These should match the strata reported in Column 1(b) of Form 1.

Column 2: Report the number of outlets in the sampling frame in each stratum. These numbers should match the numbers reported for the respective strata in Column 2(c) of Form 1.

Column 3: Report the original sample size (the number of outlets originally selected, *including* substitutes or replacements) for each stratum.

Column 4: Report the number of sample outlets in each stratum that were found to be eligible during the inspections. Note that this number must be less than or equal to the number reported in Column 3 for the respective strata.

Column 5: Report the number of eligible outlets in each stratum for which an inspection was completed. Note that this number must be less than or equal to the number reported in Column 4. These numbers should match the numbers reported in Column 4(c) of Form 1 for the respective strata.

Column 6: Report the number of eligible outlets inspected in each stratum that were found in violation. These numbers should match the numbers reported in Column 5(c) of Form 1 for the stratum.

Column 7: Form 2 (in Excel form) will automatically calculate the stratum RVR for each stratum in this column. This is calculated by dividing the number of inspected eligible outlets found in violation (Column 6) by the number of inspected eligible outlets (Column 5). The State unweighted RVR will be shown in the Total row of Column 7.

Column 8: Form 2 (in Excel form) will automatically calculate the estimated number of eligible outlets in the population for each stratum. This calculation is made by multiplying the number of outlets in the sampling frame (Column 2) times the number of eligible outlets (Column 4) divided by the original sample size (Column 3). Note that these numbers will be less than or equal to the numbers in Column 2.

Column 9: Form 2 (in Excel form) will automatically calculate the relative stratum weight by dividing the estimated number of eligible outlets in the population for each stratum in Column 8 by the Total of the values in Column 8.

Column 10: Form 2 (in Excel form) will automatically calculate each stratum's contribution to the State weighted RVR by multiplying the stratum RVR (Column 7) by the relative stratum weight (Column 9). The weighted RVR for the State will be shown in the Total row of Column 10.

Column 11: Form 2 (in Excel form) automatically calculates the standard error of each stratum's RVR (Column 7). The standard error for the State weighted RVR will be shown in the Total row of Column 11.

TOTAL: For Columns 2–6, Form 2 (in Excel form) provides totals for the State as a whole in the last row of the table. For Columns 7–11, it calculates the respective statistic for the State as a whole.

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

Calculation of Weighted Retailer Violation Rate

State:_____

FFY: 2013

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

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

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

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

Instructions for Completing Form 3: In the top right-hand corner of the form, provide the State name and reporting Federal fiscal year (FFY 2013).

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

Column 1: Sequentially number each row.

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

If no stratification was used: Write "State" in the first row to indicate that the whole State constitutes a single stratum.

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

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

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

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

Summary of Clusters Created and Sampled

State: _____

FFY: 2013

(1) Row #	(2) Stratum Name	(3) Number of PSUs Created	(4) Number of PSUs Selected	(5) Number of PSUs in the Final Sample
	Total			

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

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

Instructions for Completing Form 4: In the top right-hand corner of the form, provide the State name and reporting Federal fiscal year (FFY 2013).

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

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

Inspection Tallies by Reason of Ineligibility or Noncompletion

State: _____

FFY: 2013

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

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

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

Instructions for Completing Form 5: In the top right-hand corner of the form, provide the State name and reporting Federal fiscal year (FFY 2013).

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

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

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

Synar Survey Inspector Characteristics **State:** _____ **FFY:** 2013		
	(1) Attempted Buys	(2) Successful Buys
Male		
15 years		
16 years		
17 years		
18 years		
Male Subtotal		
Female		
15 years		
16 years		
17 years		
18 years		
Female Subtotal		
Other		
Total		

APPENDIXES B & C: FORMS

Instructions

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

APPENDIX B: SYNAR SURVEY SAMPLING METHODOLOGY

State: Oklahoma
FFY: 2013

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
Oklahoma Tax Commission	3	List of all business licenses that include a cigarette license and/or tobacco license	Receive a new list each year from the Oklahoma Tax Commission. The list includes all outlets that have purchased a three-year license to cell cigarettes or other tobacco products. After the review to determine if all ineligible outlets from the previous year's sample are still ineligible, they are removed from the new sample. In addition, all questionable outlets are called to verify the type of business and accessiblity to youth.

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

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

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

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

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

   Strata were created by county or a combination of counties if the number of tobacco outlets in a country was too few to draw a sample size greater than 1. Therefore, the strata are individual counties or combined counties.

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

The SYNAR Survey Estimation System (SSES) is used for computing the sample sizes. The formulae that SSES employed are shown below.

Effective sample size:

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

where P is the average RVR from the past 3 years' surveys; and

N is the total number of outlets in the sampling frame; and

s.e. is the desired standard error of the estimate (= 0.0182).

Target sample size:

$$n_t = dn_e \ ,$$

where d = the design effect from the previous year's survey

Original sample size:

$$n_o = (1+s)\frac{n_t}{r_1 r_2},$$

where r_1 = the accuracy rate from the previous year's survey;

r_2 = the completion rate from the previous year's survey; and s is the safety margin.

Note: To eliminate the need for a reserve sample and to address the need for less travel time in the field, a Safety Margin of 50 percent is used. This 50 percent safety margin results in an over sample of 50 percent. Oklahoma has consistently had a high completion rate due to the state requirements that the Alcoholic Beverage Law Enforcement (ABLE) Commission

complete all inspections in the Synar sample. With the increased number of outlets in the sample, the completion rate remains high and, thus, eliminating the need for a reserve sample.

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:
Frame Size:

Input for Target Sample Size:
Design Effect:

Inputs for Original Sample Size:
Safety Margin:
Accuracy (Eligibility) Rate:
Completion Rate:

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

APPENDIX C: SYNAR SURVEY INSPECTION PROTOCOL

State: Oklahoma
FFY: 2013

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

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

   a. **Consummated buy attempts?**

   ☒ Required ☐ Not permitted
   ☐ Permitted under specified circumstances ☐ Not specified in protocol

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

   ☒ Required ☐ Not permitted
   ☐ Permitted under specified circumstances ☐ Not specified in protocol

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

   ☒ Required ☐ Not permitted
   ☐ Permitted under specified circumstances ☐ Not specified in protocol

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

   ☐ Required ☐ Not permitted
   ☒ Permitted under specified circumstances ☐ Not specified in protocol

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

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

   List the agency name(s): Alcoholic Beverage Laws Enforcement (ABLE) Commission

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

   ☒ Always ☐ Usually ☐ Sometimes ☐ Rarely ☐ Never

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

Several of the youth are relatives or friends of the ABLE agents. Some youth come from local youth programs such as SWAT teams, homeschool groups, and, occasionally, recruited through temporary employment services. All youth participate in an age perception test by having ten individuals guess their age. If the average guessed age is 15, 16 or 17, the youth are selected to participate. Parental consent is required and parental participation in the training and debriefing are encouraged. The ABLE agents train the youth inspectors prior to their participation. Training takes approximately one hour.

ABLE agents meet with ODMHSAS staff prior to the beginning of the Synar project to review youth training procedures and any changes in the sampling methodology.

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.)*

   The Prevention of Youth Access to Tobacco Act, § 600.11 allows youth under 18 to be enlisted for compliance checks and enforcement by law enforcement personnel if the inspection is carried out under the direction of the law enforcement staff.

   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.)*

   ABLE agents make safety a primary consideration for the youth inspectors. An ABLE agent is always within close proximity of the youth, provides all transportation, is inside the outlet observing the transaction and assures the youth is safely away from the outlet prior to issuing a citation.

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.)*

The ABLE Commission has a training protocol for agents regarding the use of youth inspectors in testing compliance with tobacco laws. The protocol includes instructions regarding: parental participation in recruitment and briefings; written parental consent; photos to be taken of the youth inspector prior to each day of inspections; age perception tests; use of true identification; appearance of the youth inspectors; and information required for each inspection.

ODMHSAS and the ABLE Commission staff work together each year to train the agents. The training consists of a review of the inspection forms, requirements to assure statistical validity, and discussions regarding the ABLE Commission's procedures and youth safety.

Due to the distances the agents must travel, there are no time requirements for the actual inspections other than the completion of the project by September 30 and many of the inspections take place during the summer months when youth are typically available during the day and not involved in school activities. If not during the summer months, the agents accommodate the youth inspectors by not conducting inspections during school hours or late at night. If an outlet is closed at the time of the inspection, agents return at a later date during the hours the outlet is open.

ABLE agents conduct the Synar inspections with youth who have been recruited and look age 15, 16 or 17 based on the age perception test. Age perception tests are conducted by taking the youth to a public location, such as a shopping mall, and asking ten people to guess the age of the youth. The ten responses are then averaged and if the average age is not 15, 16 or 17 the youth is not used in compliance checks. No age manipulations, such as makeup, clothing or facial hair are allowed. If the youth inspector has an identification card or license, he/she should use that identification when asked for identification. This is to help Oklahoma obtain the most accurate assessment of youth access to tobacco. If asked for identification or for his/her age, the youth must be truthful.

ABLE agents make safety a primary consideration for the youth inspectors. An ABLE agent is always within close proximity of the youth, provides all transportation, is inside the outlet observing the transaction and assures the youth is safely away from the outlet prior to issuing a citation.

Each inspection involves two ABLE agents. The first agent who is the witness enters the outlet before the youth and positions him/herself to observe the attempted buy. The second agent transports the youth to the outlet and waits in the vehicle while the youth enters the outlet and attempts to buy the tobacco product. Following the attempted buy, the youth exits the store and he/she joins the second agent outside at the vehicle. Once the youth is safely outside the outlet, the first agent issues a citation to the clerk if the buy was successful. The first agent then joins the second agent and the youth inspector.

All buys are consummated buys. Agents are encouraged to photocopy the bill that is used in the buy. In addition, if the buy is successful, the youth immediately exits the outlet with the evidence and meets with the second agent outside the outlet. A photo is taken of the tobacco product, to be used as evidence, and then the product is returned to the store. The first agent then retrieves the bill used for the tobacco buy, returns the change that was given to the youth, and issues the administrative

citation to the clerk who sold the tobacco product to the youth. If the buy is unsuccessful, the witness agent exits the outlet without making contact with the clerk. The first agent records the incident, independent of the result, with the assistance of the youth. If the clerk did not sell to the youth, a letter is sent to the outlet commending the owner and clerk for observing the law and protecting youth.

Following the completion of the sample inspections, all the data, including the original reporting forms completed by the agents, are reviewed by ABLE staff and ODMHSAS staff. The data are entered into the SSES data entry screen by ODMHSAS staff. The ODMHSAS Synar evaluator runs the SSES program and compares the results to reports submitted by ABLE. If discrepancies are found, the Synar evaluator contacts ABLE and resolves the discrepancy. The final results are included in the Annual Synar Report.

APPENDIX D: LIST SAMPLING FRAME COVERAGE STUDY

(LIST FRAME ONLY)

State: Oklahoma
FFY: 2013

1. **Calendar year of the coverage study:** 2010

2. a. **Unweighted percent coverage found:** 86.9**%**
   b. **Weighted percent coverage found:** _____**%**
   c. **Number of outlets found through canvassing:** 145
   d. **Number of outlets matched on the list frame:** 126

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

   census tracts, combined census tracts and counties

   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.**

   All areas of the state were put into strata. Fifteen strats were randomly sampled.

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

Thirty-four strata were full counties, 165 strata were combined census tracts with anywhere from 2 to 16 tracts and 88 were single census tracts for a total of 287 strata.

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.*

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.*

Observers were given a map with all roads in their strata labeled. They were instructed to drive all roads, highlighting them on the map as they went. Anytime the observers came to a location that looked open and like they might sell tobacco, they were instructed to enter the outlet and confirm if tobacco was sold within the establishment.

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

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

b. **What were the starting points for each area? _____**

c. **Were these starting points randomly chosen?** ☐ **Yes** ☐ **No**

d. Describe the selection of the starting points.

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

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

Oberservers determined if an outlet sold tobacco either by observing the product in the outlet or by asking a employee if the establishment sold tobacco.

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

Matches were based minimally on address and city, however, the majority of the outlets had matches for the outlet name, address, city, and owner. The remaining outlets were considered unmatched due to no matches of address or name within the city that the outlet was observed These outlets were also checked against the most recent license list and 4 matches were able to be made. Although these matches were made, they were not included in the matched outlets since they were not included on the FY11 Synar Sample List.

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