

ANNUAL SYNAR REPORT

42 U.S.C. 300x-26

OMB No 0930-0222

FFY 2020

State: Oklahoma

Table of Contents

Introduction.....	i
FFY 2020: Funding Agreements/Certifications	1
Section I: FFY 2019 (Compliance Progress).....	2
Section II: FFY 2020 (Intended Use)	11
Appendix A: Forms 1–5 Templates.....	13
Appendixes B & C: Forms.....	20
Appendix B: Synar Survey Sampling Methodology	21
Appendix C: Synar Survey Inspection Protocol Summary.....	25
Appendix D: List Sampling Frame Coverage Study	28

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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 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 2019 Compliance Progress) and future plans to ensure compliance with the Synar requirements to reduce youth tobacco access rates (FFY 2020 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. The information to be reported is public (45 CFR 96.130 (f)) and is not confidential. Part of the mission of the Center for Substance Abuse Prevention (CSAP) is to assist states¹ by supporting Synar activities and providing technical assistance helpful in determining the type of enforcement measures and control strategies that are most effective. This information is helpful to CSAP in improving technical assistance resources and expertise on enforcement efforts and tobacco control program support activities, including state Synar program support services, through an enhanced technical assistance program involving conferences and workshops, development of training materials and guidance documents, and onsite technical assistance consultation.

How the Synar report can help states

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

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

Getting assistance in completing the Synar report

If you have questions about programmatic issues, you may call CSAP's Division of State Programs at (240) 276-2550 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, 2019 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 2020 Synar Survey Results: States that use the Synar Survey Estimation System (SSES) must upload one copy of *SSES Tables 1–8* (in Excel) to WebBGAS. **Please note that, beginning with the FFY 2019 ASR, SSES will generate Tables 6, 7, and 8, which are based on the optional microdata on product type, retail outlet type, and whether identification was requested. If your state does not submit these optional data, Tables 6, 7, and 8 will be blank. Tables 6, 7, and 8 are generated for the convenience of the state, and states are not required to submit completed versions of Tables 6, 7, or 8.** States that do not use SSES must upload one copy of ASR Forms 1, 4, and 5, and Forms 2 and 3, if applicable, (in Excel), as well as a database with the raw inspection data to WebBGAS.
- Synar Inspection Form: States must upload one blank copy of the inspection form used to record the result of each Synar inspection.
- Synar Inspection Protocol: States must upload a copy of the protocol used to train inspection teams on conducting and reporting the results of the Synar inspections. This document should be different than the Appendix C attached to the Annual Synar Report.
- A scanned copy of the signed Funding Agreements/Certifications

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

FFY 2020: 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 2020 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 2020 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: 	
Commissioner, Oklahoma Dept. of Mental Health and Title: Substance Abuse Services	Date Signed: 12-26-19
If signed by a designee, a copy of the designation must be attached.	

SECTION I: FFY 2019 (Compliance Progress)

YOUTH ACCESS LAWS, ACTIVITIES, AND ENFORCEMENT

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

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

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

Yes No

If Yes, current minimum age: 19 20 21 Other (Please specify.)

b. Have there been any changes in state law that impact the state’s protocol for conducting Synar inspections?

Yes No

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

Changed to require that law enforcement conduct inspections of tobacco outlets

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

Changed to require ID to purchase tobacco

Changed definition of tobacco products

Other change(s) (Please describe.) _____

c. Have there been any changes in state law that impact the following?

Licensing of tobacco vendors Yes No

Penalties for sales to minors Yes No

Vending machines Yes No

Added product

categories to youth access law Yes No

2. Describe how the Annual Synar Report (see 45 C.F.R. 96.130(e)) was made public within the state prior to submission of the ASR. (Check all that apply.)

Placed on file for public review

Posted on a state agency Web site (Please provide exact Web address and the date when the FFY 2020 ASR was posted to this Web address.)

Web address:

https://www.ok.gov/odmhsas/Prevention/Prevention_Initiatives/Synar_Compliance/index.html

Date published: 12/26/2019

- 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:**

Oklahoma Dept. 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:**

Oklahoma 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):**

Oklahoma Alcoholic Beverage Laws Enforcement (ABLE) Commission

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).**

Oklahoma State 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.)* _____
- No relationship

d. Does a state agency contract with the Food and Drug Administration's Center for Tobacco Products (FDA/CTP) to enforce the youth access and advertising restrictions in the Family Smoking Prevention and Tobacco Control Act?

- Yes No (if no, go to Question 5)

e. If yes, identify the state agency responsible for enforcing the youth access and advertising restrictions in the Family Smoking Prevention and Tobacco Control Act (the agency that is under contract to the Food and Drug Administration's Center for Tobacco Products (FDA/CTP)).

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

- Yes No

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

- Are the same
- Have a formal written memorandum of agreement
- Have an informal partnership
- Conduct joint planning activities
- Combine resources
- Have other collaborative arrangement(s) *(Please describe.)* _____
- No relationship

h. Does the state use data from the FDA enforcement inspections for Synar survey reporting?

- Yes No

5. Please answer the following questions regarding the state's activities to enforce the state's youth access to tobacco law(s) in FFY 2019 (see 42 U.S.C. 300x-26 and 45 C.F.R. 96.130(e)).

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

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

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

PENALTY	OWNERS	CLERKS	TOTAL
Number of citations issued	3	78	81
Number of fines assessed	3	64	67
Number of permits/licenses suspended	0		0
Number of permits/licenses revoked	0		0
Other (Please describe.) 14 cases are still open and currently being assessed	0	14	14

c. Are citations or warnings issued to retailers or clerks who sell tobacco to minors for inspections that are part of the Synar survey?

- Yes No

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

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

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

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

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

- Yes No

f. What additional activities are conducted in your state to support enforcement and compliance with state youth tobacco access law(s)? *(Check all that apply and briefly describe each activity in the text boxes below each activity.)*

- Merchant education and/or training

The ODMHSAS sent letters of noncompliance to retailers. Copies of the letters were also sent to the representing mayor, city manager, chamber of commerce, and local law enforcement, informing them of the retailer's noncompliance.

The Oklahoma State Dept. of Health, the Oklahoma Dept. of Mental Health and Substance Abuse Services, and the Alcoholic Beverage Laws Enforcement (ABLE) Commission coordinated post-Synar retail education visits in areas with high incidences of illegal tobacco sales to youth. Tobacco retailers were given educational resources by youth and ABLE Commission agents relating to youth access laws and the legal consequences associated with the illegal sale of tobacco products to minors.

Oklahoma's Regional Prevention Coordinators (RPC) were also encouraged to visit local tobacco retailers, educate them on state youth access to tobacco laws and encouraged them to adopt or enhance their establishment's policy regarding youth access to tobacco.

- 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

The RPCs worked with communities and provide trainings that include the prevention of youth access and use of tobacco.

- Media use to publicize compliance inspection results

Media is used to publicize the results from the Synar inspections through an ODMHSAS press release. The RPCs were also required to use the press release and publicize local results with their local media.

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

State-contracted prevention service providers develop and work with local community-based coalitions to conduct environmental prevention approaches as part of a comprehensive community prevention action plan and coordinate youth leadership opportunities to increase support for retailer compliance.

- Other activities (*Please list.*) _____

SYNAR SURVEY METHODS AND RESULTS

The following questions pertain to the survey methodology and results of the Synar survey used by the state to meet the requirements of the Synar Regulation in FFY 2019 (see 42 U.S.C. 300x-26 and 45 C.F.R. 96.130).

6. Has the sampling methodology changed from the previous year?

Yes No

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

a. If yes, describe how and when this change was communicated to SAMHSA

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

a. Did the state use the optional Synar Survey Estimation System (SSES) to analyze the Synar survey data?

Yes No

If Yes, upload a copy of SSES tables 1–8 (in Excel) to WebBGAS. Then go to Question 8. If No, continue to Question 7b.

b. Report the weighted and unweighted Retailer Violation Rate (RVR) estimates, the standard error, accuracy rate (number of eligible outlets divided by the total number of sampled outlets), and completion rate (number of eligible outlets inspected divided by the total number of eligible outlets).

Unweighted RVR _____

Weighted RVR _____

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

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

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

plus (1.645 times Standard Error) equals

Accuracy rate _____

Completion rate _____

c. **Fill out Form 1 (See Appendix A: Forms 1–5 Templates).** *(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) (See Appendix A: Forms 1–5 Templates) *(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 (See Appendix A: Forms 1–5 Templates), 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 (See Appendix A: Forms 1–5 Templates).**

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

Yes No

If Yes, answer the following questions about its coverage.

a. The calendar year of the latest Sampling frame coverage study: 2016

b. Percent coverage from the latest Sampling frame coverage study: 98.31%

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: 2021

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

Yes No

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

a. **If Yes, describe how and when this change was communicated to SAMHSA**

b. Provide the inspection period: From 06/01/19 to 09/30/2019
MM/DD/YY MM/DD/YY

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

9

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

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

SECTION II: FFY 2020 (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 2020. 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 ODMHSAS will continue to conduct Synar inspections with the assistance of other agency partnerships. The RPCs and local coalitions are collaborating with city, county officials, and local law enforcement to carry out community compliance checks. Cities and towns with enabling ordinances in place provide enforcement of youth access laws and continue to be encouraged in their efforts by community coalitions.

Notification letters are sent to tobacco licensees where tobacco was sold during the Synar inspections. Copies of these letters are sent to community officials. The ODMHSAS will continue using this process in the coming year.

The ABLE Commission and the Oklahoma Tax Commission will continue proceedings related to tobacco retailers' licenses that have received three citations for selling tobacco to a minor in the past two years. Additionally, the ABLE Commission will continue to ensure previous violators are monitored.

The ODMHSAS and other agency partners will continue to increase retailer education by sending mailers and making direct contact to Oklahoma's tobacco merchants. Additionally, the ODMHSAS will continue to collaborate with other agency partners on improving program procedures and state guidelines in efforts to strengthen enforcement against underage tobacco sales, reduce youth access to tobacco, and increase community awareness.

3. Describe any challenges the state faces in complying with the Synar regulation. (Check all that apply and describe each challenge in the text box below it.)

- a. 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.

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

The RPCs and community coalitions have limited resources. An increase in financial resources is not expected in the upcoming year. Local law enforcement agencies are also being encouraged by RPCs, community coalitions, and youth groups to increase enforcement in their communities.

- c. Limitations in the state youth tobacco access laws

- d. Limited public support for enforcement of youth tobacco access laws

- e. Limitations on completeness/accuracy of list of tobacco outlets

- f. Limited expertise in survey methodology

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

- h. Difficulties recruiting youth inspectors

Recruitment of youth inspectors is difficult and the availability of youth is limited to serve in rural areas or to travel to rural areas.

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

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

- k. 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 Commission agents to conduct frequent and/or repeated visits to licenses tobacco outlets.

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

m. Issues regarding sources of tobacco under tribal jurisdiction

There are 39 tribes in Oklahoma with 10 being considered sovereign nations and the remaining 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.

n. Other challenges (*Please list.*) Local law enforcement conducting inspections

The ABLE Commission does not have information regarding municipal enforcement efforts related to youth access to tobacco.

APPENDIX A: FORMS 1–5 TEMPLATES

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

Complete Form 1 in Excel 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 Excel form, provide the state name and reporting federal fiscal year (FFY 2020). Provide the remaining information by stratum if stratification was used. Make copies of the form if additional rows are needed to list all the strata.

Column 1: *If stratification was used:*

1(a) Sequentially number each row.

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

If no stratification was used:

1(a) Leave blank.

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

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

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

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

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

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

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

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

FORM 2 (Optional)

Appropriate for stratified simple or systematic random sampling designs.

Complete Form 2 in Excel 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 Excel form, provide the state name and reporting federal fiscal year (FFY 2020).

- 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 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 in **Excel** 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 **Excel** form, provide the state name and reporting federal fiscal year (FFY 2020).

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: 2020				
(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 in **Excel** 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 **Excel** form, provide the state name and reporting federal fiscal year (FFY 2020).

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: 2020	
(1) INELIGIBLE		(2) ELIGIBLE	
Reason for Ineligibility	(a) Counts	Reason for Noncompletion	(a) Counts
Out of business		In operation but closed at time of visit	
Does not sell tobacco products		Unsafe to access	
Inaccessible by youth		Presence of police	
Private club or private residence		Youth inspector knows salesperson	
Temporary closure		Moved to new location	
Unlocatable		Drive-thru only/youth inspector has no driver’s license	
Wholesale only/Carton sale only		Tobacco out of stock	
Vending machine broken		Ran out of time	
Duplicate		Other noncompletion reason(s) <i>(Describe.)</i>	
Other ineligibility reason(s) <i>(Describe.)</i>			
Total		Total	

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

Complete Form 5 in Excel 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 Excel form, provide the state name and reporting federal fiscal year (FFY 2020).

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: 2020
	(1) Attempted Buys	(2) Successful Buys
Male		
15 years		
16 years		
17 years		
18 years		
19 years		
20 years		
Male Subtotal		
Female		
15 years		
16 years		
17 years		
18 years		
19 years		
20 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) and respond to Question #10 of Appendix B to provide the requested information about sample size calculations for the Synar survey conducted in FFY 2019.

APPENDIX B: SYNAR SURVEY SAMPLING METHODOLOGY

State: Oklahoma
 FFY: 2020

1. What type of sampling frame is used?

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

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

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

- 1 – Statewide commercial business list
- 4 – Statewide retail license/permit list
- 2 – Local commercial business list
- 5 – Statewide liquor license/permit list
- 3 – Statewide tobacco license/permit list
- 6 – Other

Name of Frame Source	Type of Source	Description	Updating Method and Cycle
Oklahoma Tax Commission	3	List of all business licenses that include a cigarette 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 sell 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 accessibility 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(s) they are not included in the Synar survey. Please check all that apply.

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

If Yes, please indicate how likely it is that vending machines will be sampled.

- Vending machines are sampled separately to ensure vending machines are included in the sample
- Vending machines are sampled together with over the counter outlets, so it is possible that no vending machines were sampled, however they are included in the sampling frame and have a non-zero probability of selection
- Other reasons (Please describe.) _____

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

Census (STOP HERE: Appendix B is complete.)

Unstratified statewide sample:

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

Stratified sample:

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

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

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

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

Strata were created by a single or combination of counties to represent the service regions of the ODMHSAS' regional prevention providers.

b. Is clustering used within the stratified sample?

Yes (Go to *Question 8.*)

No (Go to *Question 9.*)

8. Provide the following information about clustering.

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

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

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

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

Yes (Respond to part b.)

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

b. SSES Sample Size Calculator used?

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

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

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

10. Provide the following information about sample size calculations for the Synar survey conducted in FFY 2019.

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

Inputs for Effective Sample Size:

RVR: 18.1%

Frame Size: 3,781

Input for Target Sample Size:

Design Effect: 1

Inputs for Original Sample Size:

Safety Margin: 50%

Accuracy (Eligibility) Rate: 95.9%

Completion Rate: 99.6%

- 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:**

Stratum ID	Stratum size	Stratum Sample Size [Proportional]
1	95	16
2	168	28
3	183	30
4	238	39
5	182	30
6	162	27
7	124	21
8	211	35
9	102	17
10	305	51
11	213	35
12	193	32
13	145	24
14	152	25
15	138	23
16	716	119
17	454	75
		<hr/> 627

- 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.**

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APPENDIX C: SYNAR SURVEY INSPECTION PROTOCOL SUMMARY

State: Oklahoma

FFY: 2020

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: While it is not required, the majority of the time youth are compensated for their time while conducting the Synar inspections. However, if a youth needs volunteer hours, the ABLE Commission has the authority to not pay the youth inspectors.)
- 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): Oklahoma Alcoholic 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 type of tobacco products that are requested during Synar inspections.

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

- Cigarettes
 Small Cigars
 Cigarillos
 Smokeless Tobacco
 Electronic Cigarettes/Electronic Nicotine Delivery Systems (ENDS)
 Other

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

Youth inspectors request the tobacco product that is most widely used by youth in the area of the inspection. In general, youth request Marlboro, Camel, Skoal, Pall Mall, Grand Prix, Carnival, Doral, Grizzly, Black & Mild, and Swisher Sweets.

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

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

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

Several of the youth are relatives or friends of the ABLE Commission agents. Some youth come from local youth programs such as Students Working Against Tobacco (SWAT), homeschool groups and occasionally recruited through temporary employment services. At a minimum, youth inspectors must be 16 years of age. Parental consent is required and parental participation in the training and debriefing are encouraged. The ABLE Commission agents and/or its contracted inspectors train the youth inspectors prior to their participation and update on their training throughout the survey administration. Initial training takes approximately one hour.

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.)

The Prevention of Youth Access to Tobacco Act, Title 63 §229.11 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.)

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.)

The ABLE Commission agents/inspectors make safety a primary consideration for the youth inspectors. An ABLE Commission agent/inspector or adult volunteer 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.

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.)

The ABLE Commission has a protocol instructing agents/inspectors 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 at the beginning of each operation; 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/inspectors. 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/inspectors 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/inspectors 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/inspectors return at a later date during the hours the outlet is open. In addition, agents/inspectors will attempt to have equal number of compliance checks conducted by male and female youth.

ABLE agents/inspectors conduct the Synar inspections with youth who have been recruited whose age is 16 to 17 years and 11 months. No age manipulations, such as makeup, clothing or facial hair are allowed. The youth inspector is required to carry a government issued identification card or driver's license and must 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/inspectors make safety a primary consideration for the youth inspectors. An ABLE agent/inspector 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.

Each inspection involves two ABLE agents/inspectors, or one agent/inspector and an approved adult volunteer or chaperone. The first agent/inspector who is the witness enters the outlet before the youth and positions him/herself to observe the attempted buy. The second agent/inspector/adult volunteer 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/inspector/adult volunteer outside at the vehicle. The first agent/inspector then joins the second agent/inspector/adult volunteer and the youth inspector.

All buys are consummated buys. If the buy is successful, the youth immediately exits the outlet with the evidence and meets with the second agent/inspector outside the outlet. If the buy is unsuccessful, the witness agent/inspector exits the outlet without making contact with the clerk. The first agent/inspector records the incident, independent of the result, with the assistance of the youth.

If an outlet that contains a drive-thru appears on the sample list, it is imperative that the ABLE agent(s)/inspector/adult volunteer does not act as an intermediary. Any

identified drive-thru should have a walk-up accessible window or counter that the youth can use.

Following the completion of the sample inspections, all the data, including the inspection forms completed by the agents/inspectors 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: 2020

1. Calendar year of the coverage study: _____

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

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

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.

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

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.

9. If a full canvassing was not conducted:

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

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

c. Were these starting points randomly chosen?

Yes No

d. Describe the selection of the starting points.

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

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

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

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