

ANNUAL SYNAR REPORT

42 U.S.C. 300x-26

OMB No 0930-0222

FFY 2011

State: Delaware



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

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INTRODUCTION

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

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

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

How the Synar report helps the Center for Substance Abuse Prevention

In accordance with the tobacco regulations, States are required to provide detailed information on progress made in enforcing youth tobacco access laws (FFY 2010 Compliance Progress) and future plans to ensure compliance with the Synar requirements to reduce youth tobacco access rates (FFY 2011 Intended Use Plan). These data are required by 42 U.S.C. 300x-26 and will be used by the Secretary to evaluate State compliance with the statute. Part of the mission of the Center for Substance Abuse Prevention (CSAP) is to assist States¹ by supporting Synar activities and providing technical assistance helpful in determining the type of enforcement measures and control strategies that are most effective. This information is helpful to CSAP in improving technical assistance resources and expertise on enforcement efforts and tobacco control program support activities, including State Synar Program support services, through an enhanced technical assistance program involving conferences and workshops, development of training materials and guidance documents, and onsite technical assistance consultation.

How the Synar report can help States

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

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

Getting assistance in completing the Synar report

If you have questions about programmatic issues, you may call CSAP's Division of State Programs at (240) 276-2413 and ask for your respective State Project Officer, or contact your State Project Officer directly by telephone or email using the directory provided in the FY 2011 Uniform Application, Appendix A. If you have questions about fiscal or grants management issues, you may call the Grants Management Officer, Office of Program Services, Division of Grants Management, at (240) 276-1422.

Where and when to submit the Synar report

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

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

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

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

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

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

Regular Mail:

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

Overnight Mail:

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

FFY 2011: FUNDING AGREEMENTS/CERTIFICATIONS

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

PUBLIC HEALTH SERVICES ACT AND SYNAR AMMENDMENT

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

SYNAR SURVEY SAMPLING METHODOLOGY

The State certifies that the Synar survey sampling methodology on file with the Center for Substance Abuse Prevention and submitted with the Annual Synar Report for FFY 2011 is up-to-date and approved by the Center for Substance Abuse Prevention.

SYNAR SURVEY INSPECTION PROTOCOL

The State certifies that the Synar Survey Inspection Protocol on file with the Center for Substance Abuse Prevention and submitted with the Annual Synar Report for FFY 2011 is up-to-date and approved by the Center for Substance Abuse Prevention.

State:

Name of Chief Executive Officer or Designee:

Signature of CEO or Designee:

Title: _____

Date Signed: _____

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

SECTION I: FFY 2010 (Compliance Progress)

YOUTH ACCESS LAWS, ACTIVITIES, AND ENFORCEMENT

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

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

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

Yes No

If Yes, current minimum age: 19 20 21

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

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

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

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

Yes No

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

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

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

Licensing of tobacco vendors Yes No

Penalties for sales to minors Yes No

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

Placed on file for public review

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

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

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

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

Delaware Health and Social Services (DHSS)/Division of Substance Abuse and Mental Health (DSAMH)

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

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

Department of Safety and Homeland Security/Division of Alcohol and Tobacco Enforcement (DATE)

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

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

Department of Safety and Homeland Security/Division of Alcohol and Tobacco Enforcement (DATE)

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).

Delaware Health and Social Services (DHSS)/Division of Public Health (DPH)

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

Yes No

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

- Are the same
- Have a formal written memorandum of agreement
- Have an informal partnership
- Conduct joint planning activities
- Combine resources

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

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

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

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

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

| PENALTY | OWNERS | CLERKS | TOTAL |
|--|--------|--------|-------|
| Number of <u>citations issued</u> | 3 | 31 | 34 |
| Number of <u>finances assessed</u> | 3 | 31 | 34 |
| Number of <u>permits/licenses suspended</u> | 0 | | 0 |
| Number of <u>permits/licenses revoked</u> | 0 | | 0 |
| Other (Please describe.) <i>Failed to Card, Outstanding Warrant</i> | 0 | 13 | 13 |

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 Activities: Delaware continues to support enforcement and compliance efforts through an on-going merchant education process. State-specific merchant education packages are regularly distributed to each of Delaware's licensed tobacco retailers. The packages include copies of the State law, window clings and stickers, tips to prevent sale of tobacco to youth, sample merchant policy and sample employee training materials, sample employee acknowledgement forms, letters from State Officials and FAQs about the state law. The information also includes the compliance data from the previous year showing the number of clerks and owners cited. Materials that are disseminated are available in 6 languages: Arabic, Hindi, Mandarin Chinese, Korean, Spanish and English.

From a list provided by Division of Revenue (DOR) to DATE, agents hand deliver the merchant education packet to the owner or manager of each business licensed by DOR. The personal visit is also provided to every new merchant purchasing a license during the year. On a quarterly basis, DOR provides a list of new licenses to DATE. A direct line of communication between the two divisions ensures all merchants are educated on the law and the consequences. During the visit, the enforcement agent reviews all the material in the packet, discusses the laws in detail, and answers any questions on legal issues or youth access to tobacco sales prevention that arise. The store owner or manager signs a release that he or she received the packet and the training. The store owner or manager trains store employees, as required by statute. The acknowledgement signed by the owner/manager is maintained at DATE's headquarters. Information regarding the merchant education program is entered onsite into the DATE online system. DATE performs a second check within 90 days on any business found noncompliant on the first visit.

Incentives for Merchants: DATE continues to support and experiment with various merchant incentive programs. DATE does send certificates of compliance to Synar inspections to the merchants to provide positive feedback on their success. Merchants who were in compliance received pizza coupons for various local vendors as incentives.

Community Education Activities: The main method to educate the community is provided by the Department of Public Health (DPH) tobacco control prevention program. DPH provides education about Synar regulations and describe how community members can remain in compliance with those regulations on their website. DATE maintains Synar information on their website as well to make it readily accessible to parents, public, and merchants. In addition, DATE conducts community education activities during their

recruitment efforts and outreach to organizations that serve youth and their families.

- 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:

A citation only can be issued after the criminal act, as defined by state laws, as a consummated purchase. Once the clerk sells the tobacco product(s) to the cooperating under age witness and accepts money in exchange for the tobacco product(s) from the under age witness can a citation be issued. The DATE agent who is present and witnesses the consummated purchase during the inspection issues the citation to the clerk or store manager that engaged in the purchase.

Some ways that DATE attempts to reduce this bias is to conduct these inspections in as random approach as possible. The ability to move in a less predictable manner will vary by the size of the zip code area boundaries encompassing the inspection team.

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

There is no relationship between Delaware and the Food and Drug Administration funded enforcement program.

SYNAR SURVEY METHODS AND RESULTS

The following questions pertain to the survey methodology and results of the Synar survey used by the State to meet the requirements of the Synar Regulation in FFY 2010 (see 42 U.S.C. 300x-26 and 45 C.F.R. 96.130).

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

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

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

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

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

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

Unweighted RVR _____

Weighted RVR _____

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

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

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

plus times

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: 2010

b. Percent coverage from the latest frame coverage study: 67%

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: 2011

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

Yes **No**

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

a. Provide the inspection period: From 01/01/2010 to 08/30/2010
MM/DD/YY MM/DD/YY

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

20

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.

There were 10 females and 10 male cooperating underage witnesses.

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

SECTION II: FFY 2011 (Intended Use):

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

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

Synar sampling methodology Yes No

Synar inspection protocol Yes No

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

2. Please describe the State's plans to maintain and/or reduce the target rate for Synar inspections to be completed in FFY 2011. Include a brief description of plans for law enforcement efforts to enforce youth tobacco access laws, activities that support law enforcement efforts to enforce youth tobacco access laws, and any anticipated changes in youth tobacco access legislation or regulation in the State.

Delaware plans to maintain a high compliance rate in FFY 2011 by continuing to improve upon its Synar and other enforcement processes through an interagency agreement. In addition, the sampling methodology and inspection protocols will remain consistent with those employed in prior years.

Evidence that Delaware is witnessing success with Synar is indicated by the on-going reduction in the adult and youth smoking rates. According to Delaware Drug and Alcohol Tracking Alliance (DDATA) Data Gram "cigarette use among Delaware youth has reached an all-time low. This year, the rate is less than half of what it was in the late 1990s". The only draw back is that youth are switching to other forms of tobacco such as cigars and chewing tobacco.

According to the "Behavioral Risk in Delaware 2007 - 2008" report published by the Division of Public Health (DPH) "smoking prevalence decreased by 17.8% among adults in 2008, the lowest prevalence in Delaware since the Behavioral Risk Factor Survey (BRFS) began in 1982. One reason for this decrease is the comprehensive Tobacco Prevention and Control Program initiated by the DPH and it's partners, the Impact Delaware Tobacco Prevention Coalition."

The Impact Delaware Tobacco Prevention Coalition is releasing a new five year comprehensive strategic plan to address tobacco from 2010 - 2015. The group is planning on releasing the document at the end of December 2010 or in January 2011. There are two objectives related to Synar in the plan. They include:

Objective 1: Maintain or exceed the current level of law enforcement on the sale of tobacco to minors through 2015. [As evidenced by the Department of Safety and Homeland Security compliance check data. Current baseline: 97 percent compliance.]

Action Step:

- Consider enforcement of law that requires carding adults aged 27 and younger

Objective 2: Monitor the number of judgments against owners of retail establishments found to be selling tobacco to minors. [As evidenced by review of the Department of Public Safety DELJIS records for arrests since the enactment of HB440; July 1996–December 1998; baseline: 11 judgments at or above minimum penalty.]

Despite successes, Delaware is continuing to refine and improve Synar practices. The Division of Alcohol and Tobacco Enforcement (DATE) is currently in a state of transition heading into 2011. The Division Director recently resigned and the process for appointing her successor has begun. As a result, a few changes in protocol may be proposed to the incoming Director. Changing the method with which incentives are provided to retailers, introducing different products into the protocol for selection of purchase, and the use of identification by Cooperating Underage Witnesses (CUW).

Incentives have been used by DATE in the current protocol, however incentives are provided whether the retailer passes the initial or subsequent inspections. The proposed change would be to only provide incentives to retailers who pass the SYNAR inspection on the initial inspection. The reason behind this proposal is the fact that retailers who receive citations for violations and challenge the case in Court, routinely bring in their certificates of compliance from previous years showing that they have a history of successful inspections. Whether they passed the inspection on the initial inspection, or either of two subsequent inspections until they have successfully passed. Awarding the retailers with certificates for passing inspection on only the initial inspection will truly reward compliance with the laws.

A study recently suggested that introducing different tobacco products may increase the number of violations cited. The proposed change in protocol will suggest to implement a different type of tobacco product every fourth or fifth inspection, thereby reducing the chances that a retailer can predict the type of product that will be requested during an inspection. The study further explained that although citations originally increased during the initiation of different products, the citations eventually decrease and level off through time.

Another aspect of the study suggested that having CUW's present identification will also increase the number of violations. The thought behind this finding is the suggestion that as long as the retail clerk requests identification and they are on surveillance camera doing so, they would not be found liable for any violation. Although the identification will provide actual date of birth of the CUW, this practice will then verify that the retailer is in fact in violation of the law.

DSAMH is currently working in collaboration with the Division of Children Youth and Their Families formerly known as Office of Prevention and Early Intervention (OPEI) currently known as Division of Prevention and Behavioral Health Services (DPBHS) on an alcohol, tobacco, and other drug (ATOD) request for proposal (RFP). DSAMH and DPBHS are seeking applications from qualified community based organizations to provide a broad array of effective primary prevention services for alcohol, tobacco and other drugs (ATOD). Emphasis of services should be focused on preventing and reducing the abuse of the following substances: 1) Alcohol; 2) Marijuana; 3) Prescription Opiates; and 4) Heroin for everyone (all ages) among high risk populations in the state of Delaware.

Delaware's Substance Abuse Prevention Strategic Plan is currently in the approval phase. Delaware will continue to include the prevention of tobacco in prevention efforts with an emphasis on 1) Alcohol; 2) Marijuana; 3) Prescription Opiates; and 4) Heroin for everyone (all ages) among high risk populations in the state of Delaware.

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.

No problems with meeting goals and objectives or technical assistance will be requested from the State of Delaware.

APPENDIX A: FORMS 1–5

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

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

Instructions for Completing Form 1: In the top right-hand corner of the form, provide the State name and reporting Federal fiscal year (FFY 2011). Provide the remaining information by stratum if stratification was used. Make copies of the form if additional rows are needed to list all the strata.

Column 1: *If stratification was used:*

1(a) Sequentially number each row.

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

If no stratification was used:

1(a) Leave blank.

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

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

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

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

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

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

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

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

FORM 2 (Optional)

Appropriate for stratified simple or systematic random sampling designs.

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

Instructions for Completing Form 2: In the top right-hand corner of the form, provide the State name and reporting Federal fiscal year (FFY 2011).

- Column 1: Write in the name of each stratum into which the sample was divided. These should match the strata reported in Column 1(b) of Form 1.
- Column 2: Report the number of outlets in the sampling frame in each stratum. These numbers should match the numbers reported for the respective strata in Column 2(c) of Form 1.
- Column 3: Report the original sample size (the number of outlets originally selected, *including* substitutes or replacements) for each stratum.
- Column 4: Report the number of sample outlets in each stratum that were found to be eligible during the inspections. Note that this number must be less than or equal to the number reported in Column 3 for the respective strata.
- Column 5: Report the number of eligible outlets in each stratum for which an inspection was completed. Note that this number must be less than or equal to the number reported in Column 4. These numbers should match the numbers reported in Column 4(c) of Form 1 for the respective strata.
- Column 6: Report the number of eligible outlets inspected in each stratum that were found in violation. These numbers should match the numbers reported in Column 5(c) of Form 1 for the stratum.
- Column 7: Form 2 (in Excel form) will automatically calculate the stratum RVR for each stratum in this column. This is calculated by dividing the number of inspected eligible outlets found in violation (Column 6) by the number of inspected eligible outlets (Column 5). The State unweighted RVR will be shown in the Total row of Column 7.
- Column 8: Form 2 (in Excel form) will automatically calculate the estimated number of eligible outlets in the population for each stratum. This calculation is made by multiplying the number of outlets in the sampling frame (Column 2) times the number of eligible outlets (Column 4) divided by the original sample size (Column 3). Note that these numbers will be less than or equal to the numbers in Column 2.
- Column 9: Form 2 (in Excel form) will automatically calculate the relative stratum weight by dividing the estimated number of eligible outlets in the population for each stratum in Column 8 by the Total of the values in Column 8.
- Column 10: Form 2 (in Excel form) will automatically calculate each stratum's contribution to the State weighted RVR by multiplying the stratum RVR (Column 7) by the relative stratum weight (Column 9). The weighted RVR for the State will be shown in the Total row of Column 10.
- Column 11: Form 2 (in Excel form) automatically calculates the standard error of each stratum's RVR (Column 7). The standard error for the State weighted RVR will be shown in the Total row of Column 11.
- TOTAL:** For Columns 2–6, Form 2 (in Excel form) provides totals for the State as a whole in the last row of the table. For Columns 7–11, it calculates the respective statistic for the State as a whole.

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

| Calculation of Weighted Retailer Violation Rate | | | | | | | | | | |
|---|--|-------------------------------------|--|--|--|---|---|--|--|---|
| | | | | | | | | | | State: _____ |
| | | | | | | | | | | FFY: 2011 |
| (1) Stratum Name | (2) N Number of Outlets in Sampling Frame | (3) n Original Sample Size | (4) n1 Number of Sample Outlets Found Eligible | (5) n2 Number of Outlets Inspected | (6) x Number of Outlets Found in Violation | (7) p=x/n2 Stratum Retailer Violation Rate | (8) N'=N(n1/n) Estimated Number of Eligible Outlets in Population | (9) w=N'/Total Column 8 Relative Stratum Weight | (10) pw Stratum Contribution to State Weighted RVR | (11) s.e. Standard Error of Stratum RVR |
| | | | | | | | | | | |
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| | | | | | | | | | | |
| Total | | | | | | | | | | |

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

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

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

Instructions for Completing Form 3: In the top right-hand corner of the form, provide the State name and reporting Federal fiscal year (FFY 2011).

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

Column 1: Sequentially number each row.

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

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

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

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

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

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

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

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

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

Instructions for Completing Form 4: In the top right-hand corner of the form, provide the State name and reporting Federal fiscal year (FFY 2011).

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

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

| Inspection Tallies by Reason of Ineligibility or Noncompletion | | | |
|---|---------------|---|---------------|
| | | State: _____ | |
| | | FFY: 2011 | |
| (1) INELIGIBLE | | (2) ELIGIBLE | |
| Reason for Ineligibility | (a) Counts | Reason for Noncompletion | (a) Counts |
| Out of business | | In operation but closed at time of visit | |
| Does not sell tobacco products | | Unsafe to access | |
| Inaccessible by youth | | Presence of police | |
| Private club or private residence | | Youth inspector knows salesperson | |
| Temporary closure | | Moved to new location | |
| Unlocatable | | Drive-thru only/youth inspector has no driver's license | |
| Wholesale only/Carton sale only | | Tobacco out of stock | |
| Vending machine broken | | Ran out of time | |
| Duplicate | | Other noncompletion reason(s) (<i>Describe.</i>) | |
| Other ineligibility reason(s) (<i>Describe.</i>) | | | |
| Total | | Total | |

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

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

Instructions for Completing Form 5: In the top right-hand corner of the form, provide the State name and reporting Federal fiscal year (FFY 2011).

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

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

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

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

APPENDIXES B & C: FORMS

Instructions

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

APPENDIX B: SYNAR SURVEY SAMPLING METHODOLOGY

State: Delaware
 FFY: 2011

1. What type of sampling frame is used?

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

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

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

- 1 – Statewide commercial business list 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 |
|---|----------------|---|---|
| Department of Finance/Division of Revenue | 3 | The list contains retail tobacco licenses | The list is updated quarterly by the Department of Finance/Division of Revenue. The accuracy of the sampling data is checked by: (1) tobacco enforcement officers during regular Synar or State checks; (2) tobacco enforcement officers during routine checks for other businesses, (3) the Division of Substance Abuse and Mental Health during annual coverage studies. Any updates by Division of Alcohol and Tobacco Enforcement are forwarded to the Division of Revenue for the annual update. |
| | | | |
| | | | |
| | | | |

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.

- 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 State of Delaware utilized the SESS Sample Size Calculator to estimate the minimum adequate sample size. The Synar planner opened the finalized approved Tables I-V in the SESS program. The planner used the “Read File” function of SESS to populate the data in the SESS Sample Size Calculator. Below is the formula calculating a sample size using a 1-tail test:

Effective sample size:

.

where P is previous year’s RVR,
 $s.e = 0.0183$, the standard error of the estimate for 3% margin of error for one-sided confidence interval

N is the total number of outlets in the sampling frame.

The target sample size (nt) is the same as the effective sample size for simple random sampling. The original sample size is determined by:

,

where s is a safety margin (0), rl is the expected eligibility rate (eligibility rate from the previous year’s survey), and rc is the expected completion rate (completion rate from the previous year’s survey).

If the calculated planned original sample size is less than 140, the planned original sample size is further inflated to equal at least 140.

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: 2.22

Frame Size: 1090

Input for Target Sample Size:

Design Effect: 1

Inputs for Original Sample Size:

Safety Margin:

0

Accuracy (Eligibility) Rate: 96.43

Completion Rate: 100

- 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: Delaware
FFY: 2011

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): Department of Safety and Homeland Security/Division of Alcohol and Tobacco Enforcement (DATE)

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.

The Division of Alcohol & Tobacco Enforcement has adopted an official training program for Cooperating Underage Witnesses. This training program must be attended by all CUW's in order for them to be considered active and thereby available for use.

Training Outline for new agents:

- An agent or other Divisional staff who completed the Division's Tobacco Training Program will conduct the training
- The training will begin with an overview of the Division's involvement in the State of Delaware's efforts to reduce youth access to tobacco products.
- This Directive will be used as the course material and the information contained herein will be the trainer's guide.
- The trainer will ensure that they have completely discussed this directive with the agent being trained and that they understand its content and intent
- Additionally the trainer will discuss the following:
 - Results of Past Investigations.
 - Enforcement Strategies.
 - The proper conduct when dealing with retailers.
 - Conducting the Check
 - Conducting Follow-up Checks
 - Compliance Check Forms
 - Evidence Handling
 - Enforcement Actions
 - The Role of the Minor
- The training must end with a Question & Answer Session.

Training Outline for New Cooperative Underage Witnesses:

- An Agent III will conduct the training.
- The Training will begin with an overview of the Division's involvement in the State of Delaware's efforts to reduce youth access to tobacco products and includes subjects such as the following:
 - o The importance and role of the CUW.
 - o The proper conduct when making a purchase.
 - o How the check will be conducted.
 - o What type of tobacco products they are to attempt to purchase
 - o What to do if they are out of what the CUW asks for.
 - o What to do if they do not feel safe.
 - o How to fill out their forms and paperwork.
 - o A discussion of the Division's pay and meal policies for CUW's

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.)*

Delaware State Law grants immunity to youth inspectors

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

Delaware State Law grants immunity to youth inspectors

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.)*

Agent's discretion is used for outlets that appear unsafe for youth inspectors to enter.

1. The safety and welfare of the CUW will be of utmost importance to all agency personnel participating in this program. CUW's will not be exposed to any unusual, unnecessary, or unreasonable risk of harm or personal injury.
2. CUW's shall be closely supervised at all times and the agent in charge of the operation must be on-site at all times.
3. CUW's are not permitted under any circumstance to carry, possess, conceal or use any weapon.
4. CUW's will not wear, exhibit, or carry any DATE or law enforcement identification at any time, and will not falsely represent themselves as employees of the DATE or any other law enforcement unit while participating as CUW's.
5. The agent shall ensure that the parents of the CUW are aware of the times and locations that the CUW is to be picked up and dropped off at their homes.
6. No CUW shall be picked up or dropped off at a location or a time that the CUW's parent/guardian has not personally given the agent their approval

7. At no time when a CUW is in the vehicle shall an agent take any type of police action unless the agent is convinced that the CUW will not be put at risk and that the action is being taken as the only means of preventing the CUW, agent or some other person from injury or death.

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.)*

Informational packets are provided to each prospective Cooperating Underage Witness. The procedural forms are completed and signed by the appropriate persons. They must then be returned to the Administrative Assistant. The

Administrative Assistant will then present the packet to the Director or his designee for approval. The perspective CUW may not be utilized until approval of the Director or his designee has been granted and the CUW has completed a training program.

The Administrative Assistant is responsible for assigning to each agent an equal number of locations to conduct unannounced tobacco compliance inspections. The Administrative Assistant shall attempt to insure that the inspections assigned to each agent are inspections, which are within the agent's primary geographical area of responsibility.

APPENDIX D: LIST SAMPLING FRAME COVERAGE STUDY

(LIST FRAME ONLY)

State: Delaware
FFY: _____

1. Calendar year of the coverage study: 2010
2. a. Unweighted percent coverage found: 67%
b. Weighted percent coverage found: _____%
c. Number of outlets found through canvassing: 22
d. Number of outlets matched on the list frame: 67%
3. a. Describe how areas were defined. (e.g., census tracts, counties, etc.)

The State of Delaware has several practices to ensure both the accuracy and reliability of the list frame of tobacco retailers accessible to minors. The outline below highlights our practices to ensure coverage of all potential retail tobacco outlets:

1. Inspection protocols:
 - a. Agents physically canvass the areas around the retail establishment to monitor for new establishments that are not on the list annually.
 - b. New establishments, defunct establishments, and establishments that have changed their address are noted during the inspections.
 - i. Inspectors compare these establishments to those on the list frame.
 - ii. Inspector update data on the lists and forward data to the Division of Revenue (DOR) who produce the lists based on a tobacco retail license database.
 - c. Non-scientific Coverage Procedures:
 - i. Prevention Coordinator and SAPT planner choose different areas in each county each year and canvass for all establishments likely to be accessible to minors. This process also assists in assessing the accuracy of the list frame.
2. Annual census of Synar Sample and State Synar compliance inspections:
 - a. Division of Alcohol and Tobacco Enforcement (DATE) conducts a census of the entire list frame annually in Delaware. The census includes both the Synar Sample related inspections and the State Synar related inspections.
 - i. A comparison of rates for the Synar Sample inspections and the State Synar inspections results in a census-based RVR. DATE tracks both rates, and chronologically, the respective RVR closely mirror each other every year.
1. Note: DATE reported a State RVR of 97.1% and Synar of 96.9% for calendar year 2010/FFY 2011. The SESS Sample RVR was 96.9% weighted and un-weighted for the same time frame.
2. Another indicator of List Frame accuracy is DATE's annual census of all tobacco merchants retail violation rate for the state and Synar outlets.
3. Technology improves data reliability and validity:
 - a. DATE utilizes a computerized database to capture all Synar and Non-Synar inspection data. The system provides improved data collection and management reports. It improves the

ability to maintain accurate list frame information as well.

4. Delaware System Review Report May 18 to 20, 2009:
 - a. Delaware recently received a report in the findings of a 2009 site visit assessing Prevention and Synar performance.
 - i. “Unique and Notable Successes: Delaware updates its sampling frame, the tobacco license list, on a monthly basis. This practice ensures that the frame maintains a high level of accuracy over time.”
 - ii. “Strengths: DATE agents make significant effort to complete inspections for all tobacco outlets in the State”.
 - b. The small geographic size of Delaware, laws, policies and procedures, and ability to conduct a census of all tobacco retailers annually improve the likelihood that our list frames exceed the SAMHSA/CSAP coverage analysis requirements of a minimum of 80% coverage.

How 20 locations are selected each year:

1. Protocol: Non-Random Sampling Analysis
 - a. Analysis conducted on an annual basis between the months of June 1st to August 31st of the calendar year.
2. Identifying Sites to Survey for Coverage:
 - a. DSAMH staff reviews an electronic map of the State with information clustered by County:
 - i. Staffs identify the number of geographic locations to ensure proportional ratios among the local population in the boundary of the cluster and likelihood of existence of retail tobacco establishments.
 - ii. Each location is approximately a 1 square mile area for canvassing
 1. If few or no establishments are located, the area is increased to ensure the identification of at least 4 or greater outlets are inspected.
 - iii. New Castle County contains approximately 60% of the state population.
 - a. 12 locations are identified in NCC.
 - iv. Kent County contains approximately 20% of the state population.
 - a. 4 locations are identified in KC.
 - v. Sussex County contains approximately 20% of the state population
 - a. 4 locations are identified in SC.
3. Parties Involved:
 - i. Prevention Coordinator and SAPT Planner only with no assistance from DATE (Division of Alcohol and Tobacco Enforcement).
4. Procedures:
 - a. Prevention Coordinator and SAPT Planner drive to the identified locations.
 - i. Prior to canvassing, there is no review of the current list frame.
 - ii. Staff stop at any outlets that may potentially sell tobacco products that are accessible to minors located within the 1 square mile radius.
 - iii. One person enters the establishment without providing identification.
 1. Review all signage in the store and the placement of tobacco products to ensure signs are correctly displayed and tobacco products are displayed in a manner to reduce accessibility.
 - iv. One person records the name, address, county, and other relevant information of the establishment, whether it sold tobacco, the existence of signage, and location of products.
 - v. After completion of inspection, a report is provided to DATE and DOR to report any related

issues.

1. For sites on the list, there is no follow-up event.
2. For sites not on the list, the excluded establishment's information from the inspection is forwarded to DATE and DOR for inclusion in the list frame.

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.

There are 12 areas that are canvassed in New Castle County, 4 areas that are canvassed in Kent County, and 4 areas canvassed in Sussex County for a total of 20 areas. The Synar Coordinator maintains a list of all of the cities, towns, and municipalities throughout the state. The Coordinator uses a random numbering function in Excel to randomize the list of towns for each county to canvass each year. The Synar Coordinator utilizes this list during the coverage survey. As each town is visited, it is marked as complete on the list. If the municipality does not contain any tobacco locations, then zero outlets are reported for that jurisdiction.

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.

The observers were looking for any outlet that was accessible to minors that may sell tobacco products.

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? 4

b. What were the starting points for each area? City Boundaries

c. Were these starting points randomly chosen? Yes No

d. Describe the selection of the starting points.

The observers started at the legal boundary of the town, city, or municipality.

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

The instructions were to stop at all outlets that were accessible to minors that may sell tobacco products.

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

The observer entered the outlet to determine if it sold tobacco products. The observers would inquire with store staff if the tobacco products were difficult to find. The observers also confirmed with store staff if they did sell tobacco products.

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 are defined as having the same address as listed on the list frame and selling tobacco products.

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

SSES Table 1 (Synar Survey Estimates and Sample Sizes)

CSAP-SYNAR REPORT

| | |
|---------------------------|---|
| State | DE |
| Federal Fiscal Year (FFY) | 2011 |
| Date | 10/19/2010 13:47 |
| Data | FFY 2011 Synar Data Entry Template.xls |
| Analysis Option | Stratified SRS with FPC |

Estimates

| | |
|--------------------------------------|--------------|
| Unweighted Retailer Violation Rate | 3.1% |
| Weighted Retailer Violation Rate | 3.1% |
| Standard Error | 1.4% |
| Is SAMHSA Precision Requirement met? | YES |
| Right-sided 95% Confidence Interval | [0.0%, 5.4%] |
| Two-sided 95% Confidence Interval | [0.3%, 5.9%] |
| Design Effect | 1.0 |
| Accuracy Rate (unweighted) | 94.2% |
| Accuracy Rate (weighted) | 94.2% |
| Completion Rate (unweighted) | 100.0% |

Sample Size for Current Year

| | |
|------------------------------|-------|
| Effective Sample Size | 62 |
| Target (Minimum) Sample Size | 65 |
| Original Sample Size | 138 |
| Eligible Sample Size | 130 |
| Final Sample Size | 130 |
| Overall Sampling Rate | 12.7% |

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

STATE: DE
FFY: 2011

| Samp. Stratum | Var. Stratum | Outlet Frame Size | Estimated Outlet Population Size | Number of PSU Clusters Created | Number of PSU Clusters in Sample | Outlet Sample Size | Number of Eligible Outlets in Sample | Number of Sample Outlets Inspected | Number of Sample Outlets in Violation | Retailer Violation Rate(%) | Standard Error(%) |
|---------------------------------|--------------|-------------------|----------------------------------|--------------------------------|----------------------------------|--------------------|--------------------------------------|------------------------------------|---------------------------------------|----------------------------|-------------------|
| All Outlets | | | | | | | | | | | |
| 1 | 1 | 1,090 | 1,027 | N/A | N/A | 138 | 130 | 130 | 4 | 3.1% | |
| Total | | 1,090 | 1,027 | | | 138 | 130 | 130 | 4 | 3.1% | 1.4% |
| Over the Counter Outlets | | | | | | | | | | | |
| 1 | 1 | 1,084 | 1,027 | N/A | N/A | 138 | 130 | 130 | 4 | 3.1% | |
| Total | | 1,084 | 1,027 | | | 138 | 130 | 130 | 4 | 3.1% | 1.4% |
| Vending Machines | | | | | | | | | | | |
| 1 | 1 | 6 | 0 | N/A | N/A | 0 | 0 | 0 | 0 | 0.0% | |
| Total | | 6 | 0 | | | 0 | 0 | 0 | 0 | 0.0% | 0.0% |

SSES Table 3 (Synar Survey Sample Tally Summary)

STATE: DE
FFY: 2011

| Disposition Code | Description | Count | Subtotal |
|-------------------------------|--|-------|----------|
| EC | Eligible and inspection complete outlet | 130 | |
| Total (Eligible Completes) | | | 130 |
| N1 | In operation but closed at time of visit | 0 | |
| N2 | Unsafe to access | 0 | |
| N3 | Presence of police | 0 | |
| N4 | Youth inspector knows salesperson | 0 | |
| N5 | Moved to new location but not inspected | 0 | |
| N6 | Drive thru only/youth inspector has no drivers license | 0 | |
| N7 | Tobacco out of stock | 0 | |
| N8 | Run out of time | 0 | |
| N9 | Other noncompletion | 0 | |
| Total (Eligible Noncompletes) | | | 0 |
| I1 | Out of Business | 5 | |
| I2 | Does not sell tobacco products | 1 | |
| I3 | Inaccessible by youth | 0 | |
| I4 | Private club or private residence | 2 | |
| I5 | Temporary closure | 0 | |
| I6 | Unlocatable | 0 | |
| I7 | Wholesale only/Carton sale only | 0 | |
| I8 | Vending machine broken | 0 | |
| I9 | Duplicate | 0 | |
| I10 | Other ineligibility | 0 | |
| Total (Ineligibles) | | | 8 |
| Grand Total | | | 138 |

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

STATE: DE
FFY: 2011

Frequency Distribution

| Gender | Age | Number of Inspectors | Attempted Buys | Successful Buys |
|-------------|----------|----------------------|----------------|-----------------|
| Male | 14 | 0 | 0 | 0 |
| | 15 | 3 | 17 | 1 |
| | 16 | 2 | 8 | 0 |
| | 17 | 5 | 44 | 2 |
| | 18 | 0 | 0 | 0 |
| | Subtotal | | 10 | 69 |
| Female | 14 | 0 | 0 | 0 |
| | 15 | 4 | 24 | 0 |
| | 16 | 5 | 35 | 1 |
| | 17 | 1 | 2 | 0 |
| | 18 | 0 | 0 | 0 |
| | Subtotal | | 10 | 61 |
| Other | | 0 | 0 | 0 |
| Grand Total | | 20 | 130 | 4 |

Buy Rate in Percent by Age and Gender

| Age | Male | Female | Total |
|-------|------|--------|-------|
| 14 | 0.0% | 0.0% | 0.0% |
| 15 | 5.9% | 0.0% | 2.4% |
| 16 | 0.0% | 2.9% | 2.3% |
| 17 | 4.5% | 0.0% | 4.3% |
| 18 | 0.0% | 0.0% | 0.0% |
| Other | | | 0.0% |
| Total | 4.3% | 1.6% | 3.1% |