

ANNUAL SYNAR REPORT

42 U.S.C. 300x-26

OMB № 0930-0222

FFY 2014

State: Illinois

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Public Burden Statement: An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number. The OMB control number for this project is 0930-0222. Public reporting burden for this collection of information is estimated to average 18 hours per respondent, per year, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to SAMHSA Reports Clearance Officer, 1 Choke Cherry Road, Room 2-1057, Rockville, Maryland, 20857.

INTRODUCTION

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

How the Synar report helps the Center for Substance Abuse Prevention

In accordance with the tobacco regulations, states are required to provide detailed information on progress made in enforcing youth tobacco access laws (FFY 2013 Compliance Progress) and future plans to ensure compliance with the Synar requirements to reduce youth tobacco access rates (FFY 2014 Intended Use Plan). These data are required by 42 U.S.C. 300x-26 and will be used by the Secretary to evaluate state compliance with the statute. Part of the mission of the Center for Substance Abuse Prevention (CSAP) is to assist 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, 2013 and must be submitted in the format specified by these instructions. Use of the approved format will avoid delays in the review and approval process. The chief executive officer (or an authorized designee) of the applicant organization must sign page one of the ASR certifying that the state has complied with all reporting requirements.

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

- FFY 2014 Synar Survey Results: States that use the Synar Survey Estimation System (SSES) must upload one copy of SSES Tables 1–5 (in Excel) to WebBGAS. States that do not use SSES must upload one copy of ASR Forms 1, 4, and 5, and Forms 2 and 3, if applicable, (in Excel) to WebBGAS.
- Synar Inspection Form: States must upload one blank copy of the inspection form used to record the result of each Synar inspection.
- Synar Inspection Protocol: States must upload a copy of the protocol used to train inspection teams on conducting and reporting the results of the Synar inspections.

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

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

Grants Management Officer
Division of Grants Management
Office of Financial Resources
Substance Abuse and Mental Health Services Administration

Regular Mail:

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

Overnight Mail:

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

FFY 2014: FUNDING AGREEMENTS/CERTIFICATIONS

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

PUBLIC HEALTH SERVICES ACT AND SYNAR AMENDMENT	
42 U.S.C. 300x-26 requires each state to submit an annual report of its progress in meeting the requirements of the Synar Amendment and its implementing regulation (45 C.F.R. 96.130) to the Secretary of the Department of Health and Human Services. By signing below, the chief executive officer (or an authorized designee) of the applicant organization certifies that the state has complied with these reporting requirements and the certifications as set forth below.	
SYNAR SURVEY SAMPLING METHODOLOGY	
The state certifies that the Synar survey sampling methodology on file with the Center for Substance Abuse Prevention and submitted with the Annual Synar Report for FFY 2014 is up-to-date and approved by the Center for Substance Abuse Prevention.	
SYNAR SURVEY INSPECTION PROTOCOL	
The state certifies that the Synar Survey Inspection Protocol on file with the Center for Substance Abuse Prevention and submitted with the Annual Synar Report for FFY 2014 is up-to-date and approved by the Center for Substance Abuse Prevention.	
State: Illinois	
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 2013 (Compliance Progress)

YOUTH ACCESS LAWS, ACTIVITIES, AND ENFORCEMENT

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

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

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

Yes No

If Yes, current minimum age: 19 20 21

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

Yes No

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

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

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

Licensing of tobacco vendors Yes No

Penalties for sales to minors Yes No

Vending machines Yes No

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

Placed on file for public review

Posted on a state agency Web site *(Please provide exact Web address and the date when the FFY 2014 ASR was posted to this Web address.)*

<http://www.dhs.state.il.us/page.aspx?item=46136> and

<http://www.state.il.us/lcc/tobacco/synar.htm> - The ASR was posted on November 20, 2013 for public comment; it is considered draft until it is finalized by CSAP/SAMHSA.

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:

Designated by the State of Illinois' General Assembly, the Illinois Liquor Control Commission is responsible for implementing the requirements specified by Synar Regulations.

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

- Yes No

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

Illinois Liquor Control Commission (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):

Illinois does not have a statewide enforcement agency with authority over minimum-age tobacco laws. Only local enforcement agencies have the authority to enforce minimum-age tobacco laws.

However, the Commission administers the Tobacco Enforcement Program (TEP), a statewide grant program providing enforcement. The FY 2013 TEP awarded \$1 million through 242 grants to 330 communities to conduct retail education and enforcement compliance checks.

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).

Illinois Department of Public 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.)*

The agency responsible for the implementation of the Synar Regulations (the Commission) and the agency providing substance abuse prevention program funding through the SAPT Block Grant (the Illinois Department of Human Services' Division of Family and Community Services (DFCS)/Substance Abuse Prevention Program (SAPP), by state law and gubernatorial executive order, have specific roles and responsibilities resulting in a relationship that is less formal with emphasis on collaborative support. Generally, planning activities are conducted as needed. However, IDHS' DFCS/SAPP and Division of Alcoholism and Substance Abuse (DASA) designees participate in all Synar-related discussions that CSAP conducts with the Commission including those regarding sampling frames, inspection methodologies and Attachment G of the SAPT Block Grant. However, it should also be noted that a more formal agreement, specifically a Memorandum of Understanding (MOU), is currently being developed between the Commission and DFCS/SAPP. The purpose of the MOU is to clearly define responsibilities and timelines.

In terms of coordination and collaboration between the IDPH and DFCS/SAPP, the IDPH is comprised of County Health Departments (CHD) throughout the state. Each CHD must develop an IPLAN (a strategic plan) which includes stakeholder involvement from the community. IPLAN goals may address tobacco related initiatives. IDPH requests that DFCS/SAPP review IPLAN with a substance abuse focus. It is an opportunity to connect local providers and assist them with gaining access to local Illinois Youth Survey data. In addition, IDPH staff participate in the DFCS/Partnerships for Success' State Epidemiological Outcomes Work Group.

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

Illinois Liquor Control Commission

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

Yes No

f. Describe the coordination and collaboration that occur between the agency

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

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

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

- Yes No

Note: Not knowing how much information would be available from the FDA due to confidentiality and what specific data would be collected, the Commission tracked and entered information into the SSES in the manner it has traditionally done. This manner is outside the parameters of data collection within the FDA’s program.

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

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

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

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

PENALTY	OWNERS	CLERKS	TOTAL
Number of <u>citations issued</u>	NA	1,419	UNK
Number of <u>fin es assessed</u>	NA	998	UNK
Number of <u>permits/licenses suspended</u>	NA		NA
Number of <u>permits/licenses revoked</u>	NA		NA
Other <i>(Please describe.)</i> <i>Signage</i>	9	NA	NA

c. Which one of the following best describes the level of enforcement of state

youth access to tobacco laws carried out in your state? (*Check one category only.*)

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

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

- Yes No

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

- Merchant education and/or training
- Incentives for merchants who are in compliance (e.g., nonenforcement compliance checks in which compliant retailers are given positive reinforcement and noncompliant retailers are warned about youth access laws)
- Community education regarding youth access laws
- Media use to publicize compliance inspection results
- Community mobilization to increase support for retailer compliance with youth access laws
- Other activities (*Please list.*) Tobacco Enforcement Program

Briefly describe all checked activities:

Merchant education and/or training: The Tobacco Retailer Kit contains: a review of minimum-age tobacco laws (state and some federal), state required signs, and various in-store signs. The kit is free of charge and over 10,000 kits are distributed annually. Kits are available through the Commission's website at <http://www.state.il.us/lcc/tobacco/>. To support kit materials, the Commission developed a one-hour training class to review kit material and age-verification techniques. Interested communities can utilize the PowerPoint format and conduct their own training classes.

Incentives for merchants who are in compliance (e.g., Reward and Reminder): Local incentives from TEP participants include: luncheons for tobacco retailers to generate awareness to minimum-age tobacco laws; publication of compliant/noncompliant retailers in local media outlets; and monetary awards.

Community education regarding youth access laws: State and county agencies promote Commission programs and materials and/or incorporate them into their overall tobacco programs. These agencies typically fall within the jurisdiction of state and county health departments as well as the Substance Abuse Prevention Program Sub-grants.

Media use to publicize compliance inspection results: TEP participants are encouraged to solicit local media for coverage of their grant award and compliance

check results. To support their efforts, the TEP Manual includes various press release templates that can be easily adapted to their agency needs. The manual also contains frequently asked questions received by the Commission with suggested responses. Consequently, many communities do receive positive media coverage.

Community mobilization to increase support for retailer compliance with youth access laws: Service providers receiving SAPT Block Grant funds from the Illinois Department of Human Services' DCHP/SAPP deliver programs with an emphasis on evidence based prevention practices. One program option available to providers is to build coalitions to promote the Strategic Prevention Framework (strategic planning) and policy/enforcement work which may include the adoption and enforcement of local minimum-age tobacco laws.

In addition, a key indicator to community support for retailer compliance to youth access laws is the increasing participation in the Commission's TEP. It should also be noted that enforcement activities do take place in communities not participating in the TEP. However, the Commission does not monitor these activities.

Other activities: Tobacco Enforcement Program: In 2000, with funding made available through the 1998 Master Settlement Agreement, the Commission developed and implemented the Tobacco Enforcement Program (TEP). This statewide program is designed to increase existing retail education and enforcement efforts through grants made available from a \$1 million appropriation. Specifically, TEP participants are required to provide retail education prior to conducting three compliance checks on each tobacco retailer within their jurisdiction. Beginning in FY 2007, funding was no longer provided through the Master Settlement Agreement but by the Commission's Dram Shop Fund. TEP has grown from its inception from 120 grants issued to 145 communities to an approximate average of 240 grants and 330 communities. Approximately 17,000 compliance checks are completed within this program annually.

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:

Beginning with the FFY 2012 ASR, the Commission utilized its contract with the U.S. Food and Drug Administration (FDA) to conduct Synar inspections. If a sale to a minor occurs during the inspection, inspection data is processed and provided to the FDA for enforcement. There are no enforcement actions taken by the Inspector and/or the state as a result of the inspection. Regardless of what type of tobacco product was sold to the minor, there is no interaction between the Inspector(s) and the retailer. Notification of the violation occurs at a later date.

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SYNAR SURVEY METHODS AND RESULTS

The following questions pertain to the survey methodology and results of the Synar survey used by the state to meet the requirements of the Synar Regulation in FFY 2013 (see 42 U.S.C. 300x-26 and 45 C.F.R. 96.130).

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

Yes No

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

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

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

Yes No

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

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

Unweighted RVR _____

Weighted RVR _____

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

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

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

Accuracy rate _____

Completion rate _____

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

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

- Form 2 (Optional) in Appendix A (Forms 1–5) (*Attach completed Form 2.*)
 Other (*Please specify. Provide formulas and calculations or attach and explain the program code and output with description of all variable names.*)

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

- Yes No No stratification

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

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

- Yes No

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

If No, go to Question 7g.

Were any certainty primary sampling units selected this year?

- Yes No

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

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

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

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

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

Yes No

If Yes, answer the following questions about its coverage.

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

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

c. Was a new study conducted in this reporting period?

Yes No

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

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

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

Yes No

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

a. Provide the inspection period: From 10/30/12 to 09/12/13
MM/DD/YY MM/DD/YY

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

44

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.

<p>It should be noted that of the 48 minors identified by the minor's ID in SSES Table 4, there were actually only 44 minors utilized. On three occasions, the minor experienced a date of birth anniversary and as a result a new ID was issued to the minor. On one occasion, the minor's ID was a space creating the appearance there was an additional minor.</p>

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

SECTION II: FFY 2014 (Intended Use):

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

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

Synar sampling methodology Yes No

Synar inspection protocol Yes No

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

2. Please describe the state's plans to maintain and/or reduce the target rate for Synar inspections to be completed in FFY 2014. Include a brief description of plans for law enforcement efforts to enforce youth tobacco access laws, activities that support law enforcement efforts to enforce youth tobacco access laws, and any anticipated changes in youth tobacco access legislation or regulation in the state.

Illinois has consistently achieved the required RVR. The Commission feels this success is due in large part to the Tobacco Enforcement Program (TEP) which provides retail education, enforcement and awareness to minimum-age tobacco laws to large populations of the state. However, through analysis of Synar inspection data it is apparent that RVRs for communities not participating in TEP are approximately double to those who were participating.

The Commission applied for and received a contract from the FDA to conduct inspections on tobacco retailers. These inspections include sale to minor inspections. By obtaining the FDA contract, it was felt that retail education, enforcement and awareness to minimum- age tobacco laws could be brought to populations of the state not participating in the TEP. In addition, the contract would also provide a mechanism for staffing to conduct Synar Inspections.

Upon commencement of the FDA Inspection Program, the Commission did expect the state's RVR to increase due to changes to the state's Synar inspection protocol as required by the FDA contract. Specifically, we increased the age of minor utilized for inspections to include 17 year olds and all minors now show IDs when asked. We did not anticipate a significant increase due to the increase in minor's age, but did anticipate an increase due to the use of IDs. It was estimated an increase of 5 - 10 percent would occur over the FFY 2011 RVR of 4 percent. The actual increases resulted in RVRs of 15.6%, 11.5% and 16.0% for FFY 2012 – FFY 2014. At this time the Commission feels the primary contributor to the increase in RVR from FFY 2011 is a result of clerks improperly determining the age of minors when visually reviewing the minor's ID. Therefore, the Commission will focus its attention on educating retailers on how to properly verify the age of customer.

There are no anticipated changes to youth tobacco access legislation.

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

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

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

Limited resources for law enforcement of youth access laws: The most common complaint voiced by local authorities is that of limited funding and manpower which prevents their departments from conducting compliance checks. However, with the addition of the Commission's contract with the FDA, enforcement resources can now be brought to areas of the state that do not conduct compliance checks. While resources are provided for law enforcement of youth access laws in the form of the Commission's Tobacco Enforcement Program (TEP), recent changes to state law in how grants are administered have created reluctance by some previous TEP participants to remain in the program. In addition, since the state does not license tobacco retailers at the state level there is no state agency with regulatory authority with regards to sales to minors.

Limited public support for enforcement of youth tobacco access laws: Considering the number of communities and population served in the TEP, this participation can be viewed as significant support of enforcement since participation is voluntary. However, many communities elect not to participate in the program because of what can be perceived as negative public relations to the compliance checks process. Collaborative initiatives continue to be investigated between the Commission and BCPP/SAPP.

Geographic, demographic and logistical considerations in conducting inspections: Geographically, Illinois is a large state. Demographically, Illinois possesses extremes in terms of urban and rural populations when comparing the City of Chicago and its surrounding counties to rural counties with populations of less than 5,000. Urban areas can be difficult to inspect when matching the ethnicity of the minor to the numerous ethnic communities; traffic congestion and parking; and general safety within impoverished neighborhoods. Rural areas can be difficult to inspect while maintaining

the covert nature of the inspection where "everybody knows everybody" and for locations are isolated yet the inspection team (adult and minor) are not together. These factors combined with the fact that Illinois does not license its tobacco retailers and subsequently does not know who sells tobacco products creates challenges to communicate and monitor tobacco retailers. With the addition of the FDA contract, the Commission believes its ability to impact additional areas of the state will be greatly enhanced. However, it should also be noted that the inaccuracy of the list of retailers utilized in FDA inspections is problematic. Specifically, a large amount of resources are spent traveling to locations that ultimately are not inspected because they do not sell tobacco products or are out of business. Inversely, numerous locations are found that are not on the list and have to be added before inspection.

Cultural factors (e.g., language barriers, young people purchasing for their elders): The Commission's change to area sampling exposed the compliance check process to occurrences not before realized with list-frame sampling. During list-frame sampling, retailers were typically not in close proximity to one another. This resulted in the Tobacco Compliance Specialists never getting a sense of the community's knowledge level of minimum-age tobacco laws and its RVR.

However, in area sampling the Tobacco Compliance Specialists do get a sense of the community. Specifically, why does a small town in rural Illinois have a 100 percent RVR during its 8 inspections? Why is the violation rate higher in certain ethnic communities than others? Why do some retail chains always request an ID and others do not? The Commission continues to explore and implement targeted retail education efforts to communities which are more likely to sell.

Other challenges (*Please list.*) Meeting the SAMSHA Precision Requirement: For the FFY 2013, Illinois changed and received approval to create and utilize a Reserve Sample of inspections if it was felt the goal of 800 inspections would not be achieved. In addition, Completion Rates were decreased and Safety Margins were increased in the methodology.

For FFY 2014, a total of 895 ECs were completed and therefore a Reserve Sample was not utilized. Despite exceeding the goal of 800 with a Final Sample Size of 895 the SAMSHA Precision Requirement was still not met.

Contributing factors to this situation may include but is not limited to the varying average number of retailers found in Census Tracts from year to year which can be caused by: significant increases in tobacco taxes resulting in less tobacco retailers and increases in the number of Census Tracts randomly selected for inspection are not inspected due to safety concerns. It is the understanding of the Commission that the only "fix" to the SAMSHA Precision Requirement is to increase the number of inspections. However, this creates logistical and financial concerns.

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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 2014). 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 2014).

- 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: 2014
(1) Stratum Name	(2) N Number of Outlets in Sampling Frame	(3) n Original Sample Size	(4) n1 Number of Sample Outlets Found Eligible	(5) n2 Number of Outlets Inspected	(6) x Number of Outlets Found in Violation	(7) p=x/n2 Stratum Retailer Violation Rate	(8) N'=N(n1/n) Estimated Number of Eligible Outlets in Population	(9) w=N'/Total Column 8 Relative Stratum Weight	(10) pw Stratum Contribution to State Weighted RVR	(11) s.e. Standard Error of Stratum RVR
Total										

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

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

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

Instructions for Completing Form 3: In the top right-hand corner of the form, provide the state name and reporting federal fiscal year (FFY 2014).

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: 2014				
(1) Row #	(2) Stratum Name	(3) Number of PSUs Created	(4) Number of PSUs Selected	(5) Number of PSUs in the Final Sample
Total				

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

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

Instructions for Completing Form 4: In the top right-hand corner of the form, provide the state name and reporting federal fiscal year (FFY 2014).

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: 2014	
(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 2014).

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: 2014
	(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: Illinois
 FFY: 2014

1. What type of sampling frame is used?

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

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

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

- | | |
|---|--|
| 1 – Statewide commercial business list | 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

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

Census Tracts from the U.S. Census Bureau define and form the area sampling units from which eligible tobacco retailers are identified and inspected.

a. Is any area left out in the formation of the area frame?

- Yes No

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

_____ %

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

- Yes No

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

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

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

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

Unstratified statewide sample:

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

Stratified sample:

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

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

7. Provide the following information about stratification.

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

Illinois utilizes a stratified two-stage cluster sampling design. The sampling design includes stratification on the basis of resident county populations from the U.S. Census 2010. Resident populations are utilized with the assumption that outlets within the stratum will be similar. There are no geographic areas of the state that are deliberately omitted. Stratification by resident populations occurs on the basis of most to least populous counties. Due to the significant size of the first nine counties (over 70% of the state's population) each individual county will serve as a Certainty Stratum.

To establish the tenth and final strata, the remaining 93 counties are ordered from the most to least populous. When the U.S. Census data is updated every 10 years, stratification will be revised utilizing the same processes.

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.)

First Stage Clustering: In Strata 1 – 9 the populations of the counties are relatively large. Therefore, for the first stage of clustering the county will form its cluster and will act as a Certainty Cluster. In Strata 10, the number of counties is 93. Equal probability sample selection is utilized to form a cluster of 15 counties. To determine the Sampling Interval (SI), the cumulative total of 93 counties is divided by 15 and rounded to one decimal place. This produces a SI of 6.2 ($93 / 15 = 6.2$). Let the first county be associated with an interval (0.0 – 0.9), the second county be associated with an interval (1.0 – 1.9), etc. To determine the Random Start (RS) point, a number to one decimal point is randomly generated inclusively between 0 and the SI and in this example the value is 5.3. Therefore, the RS is the 6th county and every 6.2th county will be selected for inclusion.

Second Stage Clustering: The second stage of clustering consists of Census Tracts selected by equal probability sample selection from each selected county. Census Tracts will be ordered from most to least populous. The number of Census Tracts selected for each Stratum is determined by dividing the number of outlets allocated to the Stratum by the estimated number of retailers per Stratum Census Tract. In Stratum 10 where multiple counties exist within the first stage cluster, the selected Census Tracts are dispersed between the sampled counties. Selected Census Tracts will be inspected in their entirety. Second Stage Clustering will change annually to provide new randomly selected Census Tracts.

If a selected Census Tract is determined to be completely unsafe for inspection it will be duly documented. Data from unsafe Census Tracts will be included in SSES calculations as follows: the average number of retailers per Census Tract for that Stratum will be assigned to the unsafe Census Tract. This will result in an equal number of “dummy” retailers entered into the SSES database with a Response Disposition Code of N9.

- 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.**

Strata 1 - 9: For the first stage of clustering, the single county within each stratum will act as a Certainty Cluster. For the second stage of clustering, Census Tracts are ordered from most to least populous prior to selection. To determine the number of Census Tracts to select, the number of outlets allocated to the Stratum is divided by the estimated number of retailers per Census Tract. Equal probability sample selection (systematic) utilizing sampling intervals and random starting points complete the sampling process within each stratum.

Strata 10: For the first stage of clustering, equal probability sample selection (systematic) is utilized to form the cluster by dividing the total number of counties within the stratum (93) by the desired number of counties (15). This produced a sampling interval and then a random start point was generated to complete the sampling. Once the counties were selected, equal probability sample selection (systematic) sampling was utilized to select Census Tracts in like fashion to Strata 1 – 9.

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

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

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

b. SSES Sample Size Calculator used?

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

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

Effective Sample Size:

$$N_e = 1/((s.e.)^2/(P(1-P)) + (1/N))$$

Where P is the expected retailer violation rate and is a fixed 10%; and

N is the total number of outlets in the sampling frame based on the average number of retailers found per census tract from the previous year; and

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

Target sample size:

$$N_t = dn_e,$$

where d is an assumed design effect of 2.0

Original sample size:

$$N_o = (1+s) (n_t/(r_1r_2))$$

where

r_1 is the expected accuracy rate from the previous year;
 r_2 is the expected completion rate is a fixed 75%; and
 s the safety margin is a fixed 35%.

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 SSES Sample Size Calculator to calculate the state level sample size, please provide the following information:**

Inputs for Effective Sample Size:

RVR: 10%

Frame Size: 10,150

Input for Target Sample Size:

Design Effect: 2.0

Inputs for Original Sample Size:

Safety Margin: 35%

Accuracy (Eligibility) Rate: 99.4%

Completion Rate: 75%

Note: For FFY 2014 calculations of tables Version 4.0 was used. Version 5.1 was used last year, but this year the following error message occurred, "This message is given when the user tries to run the Cluster option with data file for the SRS option. The system recognizes the data file as for the SRS option if the column title in Column M and Row 1 is empty." Column M was empty last year as well, but this error message did not occur. The error message did not occur with Version 4.0.

- 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:**

- 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.**

APPENDIX C: SYNAR SURVEY INSPECTION PROTOCOL

State: Illinois

FFY: 2014

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

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

a. Consummated buy attempts?

- Required
 Permitted under specified circumstances (Describe: _____)
 Not permitted

b. Youth inspectors to carry ID?

- Required
 Permitted under specified circumstances (Describe: _____)
 Not permitted

c. Adult inspectors to enter the outlet?

- Required
 Permitted under specified circumstances (Describe: _____)
 Not permitted

d. Youth inspectors to be compensated?

- Required
 Permitted under specified circumstances (Describe: _____)
 Not permitted

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

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

List the agency name(s): Illinois Liquor Control 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
- Other: Hookah and/or Cigars

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

Illinois utilizes area sampling as a result not having a reliable list of retailers. Each Census Tract is prescreened before inspection to identify all tobacco retailers and gather pertinent information such as business name, address and type of product sold. During this prescreening process if a retailer limits the tobacco products sold to something other than cigarettes it is noted and that product will be included in the purchase attempt.

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

Youth Participants are recruited through the Substance Abuse Prevention Program's Four Sub-grant Programs, Fraternal Order of Police Lodges or the Commission's Tobacco Enforcement Program. Tobacco Compliance Specialists (TSCs) are Commission personnel or its contracted employees.

Tobacco Compliance Specialists conduct the training of all youth participants. The audience for these training sessions includes the youth participant and at least one of their parents. The purpose of parental attendance is two-fold. First, parental consent is required prior to participation. Second, many parents have questions and/or concerns regarding the compliance check process including safety, the level of adult supervision and the potential for involvement in the judicial process. Training sessions are conducted via PowerPoint presentation and include a history of Synar Regulations, the Commission's role in Synar Regulations, photographic slides illustrating step-by-step procedures of compliance checks and the completion of indoctrination paperwork. Training sessions end with role-playing exercises to better prepare the youth participant.

To supplement this formal training session, procedures are reviewed prior to the start of each day's assignment. The review provides a second opportunity to reinforce procedures that may have been forgotten. In addition, each day is concluded with a review of the day's events including suggestions to improve the individual's performance.

Regardless of past experience, Tobacco Compliance Specialists are required to attend a one-day training workshop on Illinois' inspection methodology. The Commission's Tobacco Program Manager facilitates this training session. The training session includes the

following: a review of the previous year's State Annual Survey including strengths and opportunities to incorporate in the current year, a review of pertinent state laws and regulations, Illinois' sampling methodology, procedures for conducting pre-screening phone calls which determine eligibility of outlets, youth recruitment policies and procedures, youth participant training guidelines, inspection protocols, survey forms, data collection procedures, reporting procedures, inspection assignments and safety procedures.

In addition to the Commission's training, each Tobacco Compliance Specialist is required to attend the state certified class from the Illinois Law Enforcement Training and Standards Board entitled, "Conducting Police Liquor and Tobacco Compliance Testing."

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.)

On August 10, 2009, a statewide ban on possession of tobacco in any form was enacted. However, an exception was included for those minors participating in an authorized compliance check operations.

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 state's inspection procedures entail safety related protocols.

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.)

Public Act 92-0503 amends the Liquor Control Act of 1934 by requiring the Illinois Law Enforcement Training and Standards Board (ILETSB) to establish recommended policies and procedures for enforcement agencies that conduct alcohol and tobacco compliance checks. In addition, it requires the ILETSB to establish a minimum training curriculum that enforcement officers must complete before supervising compliance checks. The Commission is not required to adhere to the Public Act since the compliance checks completed for Synar do not result in enforcement action. However, all Commission staff performing Synar compliance checks do attend the required training.

In addition, Synar inspections also adhere to U.S. Food & Drug Administration procedural requirements in terms of documentation and evidence handling.

b. Procedural

Yes **No**

(If Yes, please describe.)

Public Act 92-0503 also requires that any agency conducting enforcement compliance checks of age-restrictive products must have written procedures for their protocol.

APPENDIX D: LIST SAMPLING FRAME COVERAGE STUDY

(LIST FRAME ONLY)

State: _____
FFY: 2014 _____

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? (i.e., address, business name, business license number, etc).

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