

# Pennsylvania Synar Survey



## Instructions 2014

Last Revised: June 6, 2014

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# Pennsylvania Synar Survey 2014

## I. Introduction

### Synar Survey History

In July 1992 when Congress enacted the Alcohol, Drug Abuse and Mental Health Administration (ADAMHA) Reorganization Act (P.L. 103-321), which included the Synar amendment (named for its sponsor, former congressman Mike Synar of Oklahoma).

The purpose of the Synar Amendment (Section 1926) of the Public Health Service Act of 1992 is to reduce the sale of tobacco products to persons under the age of 18.

The core requirements of the law include the following:

1. A State law prohibiting the sale or distribution of tobacco products to persons under 18 years of age;
2. Random, unannounced inspections of both over-the-counter and vending machine outlets for tobacco products to produce credible annual estimates of the statewide sale rate of tobacco products to minors;
3. A report from the State to the Secretary of Health and Human Services demonstrating progress toward the goal of no more than 20 percent of purchase attempts by youth resulting in obtaining tobacco products.

The Synar survey was designed to fulfill the second core requirement. Using minors (i.e., youth under the age of 18) to attempt to purchase tobacco products is recommended as a reliable method for states to estimate retailer compliance levels with the tobacco access law.

The U.S. Department of Health and Human Services clarified the Synar Amendment by issuing the Synar Regulation in January of 1996. The Substance Abuse and Mental Health Services Administration (SAMHSA), an agency of the U.S. Department of Health and Human Services, was chosen to implement the regulation. The Center for Substance Abuse Prevention (CSAP) is an agency of SAMHSA in charge of the Synar regulation. According to the “Synar Regulation Implementation Report” and the “Synar Regulation: Sample Design Guidance (May 2003)”, each state must:

- Have in effect a law prohibiting any manufacturer, retailer, or distributor of tobacco products from selling or distributing such products to any individual under the age of 18.
- Enforce such laws in a manner that can reasonably be expected to reduce the illegal sales of tobacco products to individuals under the age of 18.

- Conduct annual, random, unannounced inspections to ensure compliance with the law. These inspections are to be conducted in such a way as to provide a valid probability sample of outlets accessible to youth.
  - ◆ Develop a sampling frame that includes, at a minimum, 80 percent of the tobacco outlets in the State.
  - ◆ Select a sample of outlets to inspect that is representative of the geographic distribution of all tobacco outlets accessible to youth in the State.
  - ◆ Design a sampling methodology and implementation plan that are based on sound survey sampling methodology.
  - ◆ Estimate the original sample size based on the results of calculations used to meet SAMHSA's precision requirements (one-sided 95% confidence interval within 3 percentage points from the violation rate estimate, standard error less than or equal to 1.82). Calculations must also take into account extra sample needed to account for the expected completion rate and the expected accuracy rate.
  - ◆ Determine a method of selecting additional outlets to inspect should it not be possible to reach the required minimum number of completed inspections due to sample attrition.
  - ◆ Obtain a completion rate of 90 percent or better.
  - ◆ Record the actual steps of the survey process in the field.
  - ◆ Incorporate the complexity of the sample design as a factor when analyzing the survey results.
  - ◆ Weight the results of the Synar survey to account for unequal probabilities of selection, differences in percentages of eligible outlets between strata or clusters, and other deviations from the intended design.
  - ◆ Meet Synar Regulation reporting requirements for the survey sampling methodology when completing the Annual Synar Report.
  
- Develop a strategy and negotiate with SAMHSA a timeframe for achieving an inspection failure rate of less than 20 percent of outlets accessible to youth.
  
- Submit an annual report describing in detail the State's activities to enforce its law including:
  - ◆ The overall success the State has achieved during the previous Federal Fiscal Year in reducing tobacco availability to youth,
  - ◆ methods used to identify outlets,
  - ◆ inspection procedures, and
  - ◆ plans for enforcing the law in the coming fiscal year.

Failure to meet the requirements of the Synar Regulation could result in graduated penalties against a State's Substance Abuse Prevention and Treatment Block Grant (SAPT), as specified in the statute.

## **Pennsylvania Partnerships**

The first Pennsylvania Synar survey was conducted in 1996 and has been conducted every year thereafter. The Department of Health has been charged with the responsibility of all phases of the Synar Survey. The responsibilities are divided as follows:

### **Division of Statistical Support (Statistical Services and Survey Analysis Section):**

- Designs a sampling method and survey design based on sound statistical methodologies.
- Negotiates with the Department of Revenue for the Cigarette License File (CLF). Understands the CLF variables, collection procedures and stays current with changes.
- Develops and maintains the sampling frame database.
- Determines the sample size needed to maintain the precision criteria set by CSAP.
- Creates manual and survey forms.
- Prepares the sample.
- Trains field staff
- Maintains survey integrity by monitoring and supporting field staff.
- Creates and implements supplemental sample system
- Creates and maintains a database for collected data.
- Reviews, cleans, edits and scans the information into the database
- Weights the results to account for unequal probabilities of selections, deviations from an equal probability design, non-completion and ineligible outlets.
- Analyzes data while incorporating the complexity of the sample design.
- Prepares the survey portions of the Annual Synar Report
- Prepares a Synar Report for the Department website
- Rates field staff
- Responds to CSAP questions.

### **Division of Tobacco Prevention and Control:**

- Organizes field operations,
- Reviews the instruction manual and forms.
- Trains staff.
- Monitors fieldwork and survey integrity.
- Completes the enforcement portions of the Annual Synar Report.

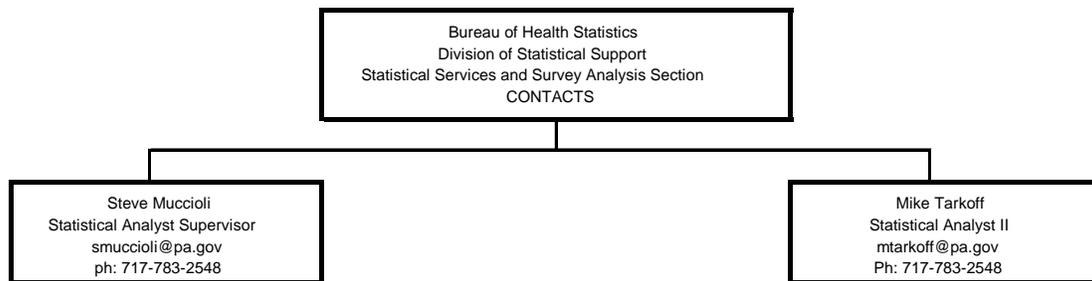
### **Regional Primary Contractors:**

- Conducts survey field work.
- Supervises and monitors contractors.
- Reviews, organizes and submits the survey collection forms.

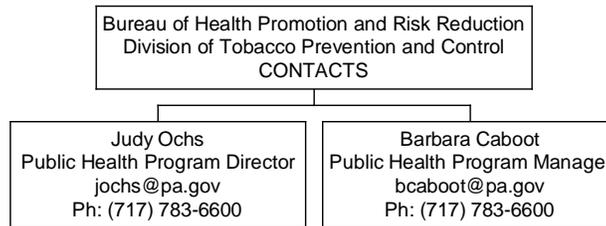
### **Department of Drug and Alcohol Programs**

- Collects individual pieces of the Annual Synar Report from Division of Statistical Support and Division of Tobacco Prevention and Control.
- Edits and Finalizes the Annual Synar Report.
- Submits the final report to SAMHSA.

**Figure 1.** Division of Statistical Support (DSS) Contacts



**Figure 1a.** Division of Tobacco Prevention and Control Contacts



## **Pennsylvania Law (Act 112)**

In 2002, Pennsylvania’s legislature passed Act 112, which amended Titles 18 (Crimes and Offenses) and 53 (Municipalities Generally). This act clarified Pennsylvania’s underage tobacco laws. The following is only a summary of the portions of the act pertaining to the Synar survey which is an authorized compliance check. This summary is for information only and it does not have the force of law or regulation. The complete version of the Act can be viewed at the Legislative Reference Bureau’s (an agency of the Pennsylvania General Assembly) website located at [www.palrb.us/](http://www.palrb.us/)

### **Sale of Tobacco**

- It is a summary offense to sell or furnish a tobacco product to any minor (under the age of 18 years).
- It is a summary offense to place a tobacco vending machine containing a tobacco product in a location accessible to minors.

### **Purchase of Tobacco**

- It is a summary offense for a minor to purchase or attempt to purchase a tobacco product **except** when all of the following apply:
  - A.) The minor is at least 14 years of age.
  - B.) The minor is an employee, volunteer or an intern with:
    - 1.) a State or local law enforcement agency;
    - 2.) the Department of Health or a primary contractor pursuant to Chapter 7 of the act of June 26, 2001 (P.L. 755, No. 77), known as the Tobacco Settlement Act;
    - 3.) a county or municipal health department; or
    - 4.) a retailer.
  - C.) The minor is acting within the scope of assigned duties as part of an authorized compliance check (the Synar survey is an authorized check).

## II. Survey Planning

### Survey Field Work

The Regional Primary Contractors (RPCs) coordinate and lead the fieldwork for their district. The RPCs conduct the survey but they keep Harrisburg (Division of Tobacco Prevention & Control and Division of Statistical Support) informed of their activities with regular reports.

Prior to the start of the survey, each RPC is issued an electronic list containing the outlets sampled within their area of responsibility. **Review the sample list as soon as it is received.** Locate the sample outlets on a street map and confirm that all outlets are in your survey area. If the outlet is not in your area or there is another problem with the sample list, contact DSS (*see* **Figure 1**), immediately.

It may be necessary for the RPC to obtain information from local sources or to contact the outlet to determine location information or its hours of operation. Phone numbers can be found by using the internet. Outlets should only be called for location information or to determine the hours of operation. The Synar survey should never be mentioned. The survey is required by law to be “unannounced” so survey participants should never disclose any information about the survey to anyone, especially a business that sells cigarettes.

Occasionally, the location of an outlet is not in the county listed on the sample list. This occurs because the outlets are sampled according to zipcodes and zipcodes do not always conform to county boundaries. The outlet must still be completed.

In some instances, the sample list may contain incorrect information. For example, a retail outlet may not be located at the listed address, the address may be incomplete or the location may not be open to the public. Using experience, knowledge of the area or a search tool such as the internet, review the list to determine which compliance checks cannot be completed. The internet can be a useful tool to verify addresses or to find outlet phone numbers. If it is determined that the list has 5 or more locations that cannot be completed, the RPC should contact DSS (*see* **Figure 1**) for additional sample, called supplemental sample (*see* **Appendix 6**). **Never substitute other outlets for locations on the list.**

Outlet locations previously determined to be out-of-business or no longer selling cigarettes must be rechecked and visited during the current year if they have not been checked within the last 6 months. These locations may have begun to sell cigarettes since they were last checked and they must not be excluded from the survey.

## Mapping

Before the survey begins, locate every eligible sample outlet on a street map and determine the most efficient order to visit the outlets. Routes are mapped so that the total distance traveled is minimal. Do not visit the outlets in the order they were sampled, i.e. from sample number 1 to 17. The visit order of the outlets is determined using travel distances. Assume the letters in **Figure 2** are sampled outlets and the order they were sampled correspond to the letter. For example, outlet A was sampled first and its sample number is 001, outlet B was sampled second and its sample number is 002, and so on. A proper mapping order (order to be visited) is as follows:

1. J
2. H
3. I
4. C
5. D
6. E
7. A
8. B
9. G
10. F

**Figure 2** reveals that it is very inefficient to visit the outlets in the order they were sampled. By visiting A first, then crossing Route 83 to visit B second, then crossing Route 83 again to return to the original area to visit C, many unnecessary miles and minutes are added to the survey process. Smart mapping dictates completing all outlets in the same area consecutively.

**Figure 2. Mapping Example**



Normal business hours of the outlet are also taken into consideration when mapping. For example, don't schedule to visit a pizza shop at 9:00AM because they probably won't be open. Timing of the inspection is also considered. Inspections are not conducted during school hours, as this may mislead the clerk into assuming that the youth participant is older or it may tip off the clerk that an inspection is taking place. Finally, according to Synar protocol, inspections are limited to daylight hours, i.e., 6:00AM to 8:30PM.

## Survey Participants

The RPC recruits team leaders, adult supervisors, adult drivers and youth participants who are within traveling distance of the survey areas. The RPC provides instructions and arranges for training of the adult and youth participants. The RPC will provide a recording of the training by DSS to adult supervisors. The RPC or survey team leader provides directions and street maps to the driver.

### Adult Supervisors

Each survey team is recommended to have two adults (along with the youth buyers). One adult should navigate while the other drives. Both adults will manage the youth surveyors and maintain their security and safety. An adult supervisor should be the first to enter the outlet to assess safety and collect survey information such as gender of clerk and visibility of warning signs. The adult supervisors are also responsible for maintaining the morale of the youth during the survey.

The other adult on the survey team is designated as a driver. Use the following guidelines to select a safe driver.

- Non-smoker
- Good driving record (ask this of each potential driver)
- Agrees to drive defensively and wear seat belts
- Current driver's license and evidence of current insurance for the vehicle and occupants, as required by law
- Comfortable with young people, able to set appropriate limits (e.g., requiring use of seat belts), and provide support by encouraging discussion of each outlet experience

### Youth Participants

The goal of the Synar *program* is to reduce the number of outlets selling to youth and the goal of the Synar *survey* is to accurately measure the progress toward that goal. Keep the *program* goal in mind when recruiting youth participants for the *survey*. Use the following criteria to select the youth participants.

- Non-users at least 15 years old. No tobacco use within the last three months with intention to remain tobacco-free.
- An understanding of why the use of tobacco is a serious health problem and addictive for youth participants and designated adult supervisors.
- Understanding that selling tobacco to youth under the age of 18 is illegal in PA.
- **Recruit approximately equal number of male and female youth participants and give them equal workloads.** An equal number of inspections must be conducted by each gender of youth inspectors. Even distribution of outlets to the youth inspectors by age and gender is important because gender can have an effect on the buy rate. Females may be able to purchase tobacco products easier than males. It is also important that the same distribution is maintained from year to year to make valid year to year comparison. Unless an equal number of male and female youth participants are maintained over the state and year to year, any differences between this survey and the next one may be attributable to a change

- in the gender composition of the youth participants.
- Use minors between the ages of 15 and 17 years old. **CAN NOT USE MINORS UNDER THE AGE OF 15.**
- Assign youth participants to neighborhoods that match their racial and ethnical characteristics. For example, if the area is predominantly white, send a white participant to do the checks or if the area is predominantly Puerto Rican, send a Puerto Rican youth to do the checks. The compliance checks should appear like normal purchases from the usual type of customers. If a sample area is one in which a team feels conspicuous or uncomfortable because of the racial and/or ethnic makeup of the neighborhood, recruit a team more closely matched to the area.

## Survey Training

The training of participants and other partners should include but not be limited to the following:

- 1) An explanation of the purpose of the statewide Synar survey (*Section I “Introduction”*).
- 2) A brief explanation of the history of the Synar survey in Pennsylvania and the laws that govern the sale and purchase of cigarettes as it pertains to minors. (*Section I “Introduction”*).
- 3) A thorough explanation of the survey procedures (*Section III. “Survey Procedures”*) and a demonstration of how to complete an inspection. Remind the participants and other partners to act naturally, be confident, and dress normally. Stress that they should not try to influence the outcome.
- 4) Prepare the youth for the variety of circumstances they will encounter during the inspections. Cover subjects such as, the outlet environment, possible signs, placement of tobacco products, and questions that might be asked by the clerk. A prepared youth is a better surveyor.
- 5) An explanation to the adult supervisors about their responsibilities in ensuring the safety of youth participants.
- 6) A review of the script that each youth participant should use when attempting to purchase cigarettes.
- 7) A few minutes of **role-playing** for the youth participants. Going through the motions and saying the words (i.e., role-playing) will build confidence. Some situations to cover are:
  - (a) Cigarettes are sold without comment.
  - (b) Clerk gets angry with buyer.
  - (c) Buyer is asked age and the sale is refused.
  - (d) Another customer tells the clerk not to sell to buyer.
  - (e) Someone the buyer knows, walks in during the attempt.

# III. Survey Procedures

## Conducting a Valid Survey

Probability theory allows the use of well-defined segments (sample) of a population to estimate characteristics describing that population. Pennsylvania’s Synar survey uses probability theory and a small sample of cigarette outlets to estimate the proportion of cigarette outlets which sell cigarettes to youth under the age of 18. Since a small sample is used to make inferences about the entire population, any errors or biases are magnified many times. To prevent inaccurate results and ensure the integrity and validity of the survey, surveyors must employ the following characteristics or follow the “SCRIPT”.

**S**ecret **C**onsistent **R**igorous **I**mpartial **P**atient **T**enacious

**Secret.** Keep the survey a secret. The survey is "unannounced" and cannot be mentioned to the public for the entire survey period. Participants should not initiate conversations about their participation in this survey with persons outside the survey team, except for their parents. If asked about the survey, it is acceptable to explain that a yearly survey is conducted to estimate the rate that retailers sell cigarettes to minors, but do not give specifics of the sampled outlets or the timeframe of the survey.

**Consistent.** The same survey procedures must be followed throughout the state. Any variation in procedures will bias the survey results. Every store must be attempted in exactly the same manner. Strictly comply with the survey rules and procedures. An approximately equal number of inspections must be conducted by male and females throughout the state and a consistent distribution of male and female inspectors must be maintained from year to year to make valid year to year comparison.

**Rigorous.** Rigorously complete the Survey Report Form and all accompanying forms. The Survey Report form is the primary tool for the Synar survey. Properly complete all forms. The survey results are meaningless if the data on the form is inaccurate. Consult the manual or contact DSS (see **Figure 1**). Give detailed explanations, when they are required. The more information given, the easier it is to identify and correct problems.

**Impartial.** Remain impartial to the inspection outcome. Do not bias the outcome with your actions. A successful inspection is NOT achieved by enticing a sale or a refusal. A successful inspection is defined as one where the surveyor follows survey procedures and documents exactly what happened. Even though a high “Refusal” rate is desired, as surveyors it is your responsibility to be indifferent to the outcome of the inspection. Any actions taken to lower the violation rate are done before or after the entire survey period, not during the survey.

**Patient.** Remain patient throughout the entire survey process. Surveys rely on many different people with many different personalities. Unexpected delays should be expected.

**Tenacious.** Don't quit until all eligible outlets on the list are inspected. If the outlet is eligible and safe, complete the inspection. The completion rate or the percent of completed eligible outlets is very important to survey validity. A low completion rate negatively affects the validity of the survey.

## Procedures for Attempting to Purchase Tobacco

### Checklist before Departure

- A list of outlets, directions and maps
- A Letter of Verification
- Cash for purchases
- Forms for recording the results of each compliance check
- Black ink pens (*no markers or pencils*)
- A plastic bag to hold the cigarettes purchased
- Parental permission slips for the youth participants

### Prior to Inspection (before entering the outlet)

#### *Adult supervisor:*

- Ensure the vehicle is parked out of site of outlet personnel.
- Evaluate the outlet for safety from the outside.
- Evaluate the outlet for eligibility. Although the outlet may be included on the sample list, locations inaccessible to the public (e.g., private clubs, prisons, and private homes) are not part of the survey, but must be accounted for on the Report Form and accounting forms. If there is a sign on the entrance stating that no one under the age of 21 or 18 is permitted, do not allow the minor to enter that outlet.

#### *Youth Participant:*

- Decide which brand of cigarettes will be attempted before entering the outlet.
- Decide on a similar back-up brand in the event that the first choice is not in stock.
- Carry more than enough money to cover the cost of the cigarettes.

### During Inspection

#### *Adult supervisor:*

- Enter the outlet before the youth.
- Evaluate the outlet for safety from the inside. If it is deemed unsafe, leave immediately and stop the youth from entering.
- Locate where cigarettes are located and look for warning signs.
- Observe the gender of the clerk.

- Determine whether the outlet sells alcohol for on-site consumption.
- If the outlet sells alcohol, determine whether the cigarettes are sold from behind the bar.
- If the outlet is a non-completion, gather enough information to satisfy the collection forms.
- If budgeted, the adult can purchase a small item to appear inconspicuous.
- In some cases, the outlet may be too small for the adult to enter without tipping off the clerk. If the supervisor does not enter the outlet, an explanation is given on the Survey Report Form and Compliance Sheet.

*Youth Participant:*

- Enter the outlet after the adult supervisor had enough time to establish that the inside of the outlet is safe.
- Attempt to purchase cigarettes.

Both the adult supervisor and the youth participant should appear as inconspicuous as possible in the outlet and not wear or carry anything that will make them stand out. Do not take the data collection forms or note pads into the outlet.

**Post Inspection (After leaving the outlet)**

*Adult supervisor:*

- Immediately after exiting the outlet, complete the Survey Report Form with the youth. Instructions for completing the form are located in Appendix 1 of this manual.
- After each sale, attach a label to the cigarettes purchased, with the name and address of the outlet and the date on it. Place the purchase in a plastic bag.
- Discuss the experience with the youth.

*Youth Participant:*

- Assist the adult with the Survey Report Form.
- Discuss your experience with the adult and voice any concerns.

**General Survey Procedures**

- ◆ Synar survey uses “**Address Based Sampling.**” When an address is visited and the business name is different than what is listed on the sample list, inspect the outlet at the address, regardless of the name.
- ◆ If the youth participant enters a sampled outlet that is accessible to minors and finds that it only sells cigarettes through a **vending machine**, the youth participant **must** attempt to buy cigarettes from the vending machine.
- ◆ Make only **one attempt** to purchase per outlet.
- ◆ Adult supervisors will not wear **uniforms** or visible forms of **identification**.
- ◆

Youth participants will not wear clothing that could be perceived as "gang related".

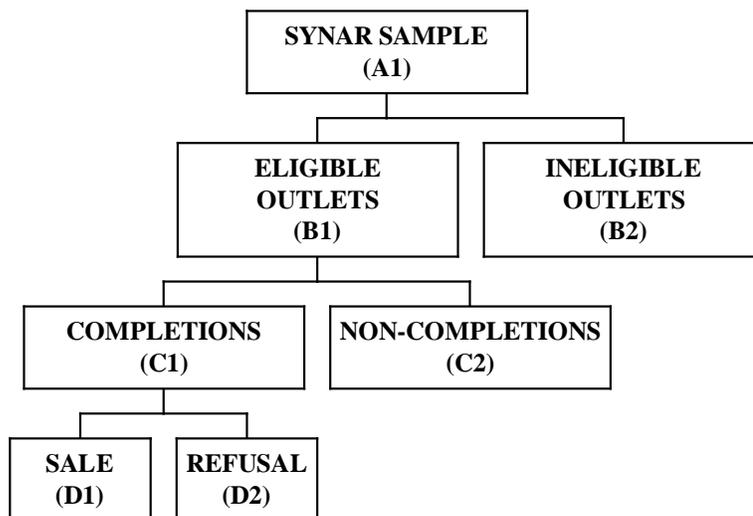
- ◆ Youth participants will **not** take their **IDs** into the outlets.
- ◆ Serving **alcohol** is NOT a valid non-completion reason. An outlet is NOT inaccessible just because it serves alcohol.
- ◆ Youth participants will **not** attempt to purchase cigarettes if someone in the outlet **knows them**. The outlet must be revisited at another time.
- ◆ **Survey procedures** must be the same for every outlet. A **script** should be followed when attempting to purchase cigarettes to avoid biasing survey results.
- ◆ Youth participants will **answer all questions honestly**. If the clerk asks for whom the cigarettes are being purchased, the youth is to respond "me".
- ◆ The youth participant will give his/her **age** accurately, if asked by the clerk. It is against the law to knowingly and falsely represent oneself to be 18 years of age or older to purchase cigarettes.
- ◆ **Do not argue with the clerk**. If the clerk refuses to sell to the youth participant, leave the outlet quietly and do not argue or try to persuade the clerk to sell.
- ◆ **Complete the entire sample list**. It is very important to attempt every outlet on the sample list. The completion rate is an important aspect of any survey.
- ◆ **NEVER use youth under the age of 15**.
- ◆ The definition of a "**Sale**" is when money changes hands and the youth leaves the counter with cigarettes OR the youth obtains cigarettes from a vending machine, the transaction is considered a "sale", even if the employee follows the youth outside and demands that they return the cigarettes.
- ◆ A **refusal** is when the youth asks for cigarettes and is refused by the clerk.
- ◆ A **non-completion** is when the youth does not have the chance to attempt to buy cigarettes because of one of the non-completion reasons described in Appendix 2.

## Completion Rate

The completion rate is the ratio of the number of completions to the number of eligible outlets in the original sample. When eligible outlets aren't completed, the integrity of the survey is compromised. The survey results can be severely biased if eligible outlets are not completed and they have different characteristics than the outlets that were completed. It is impossible to know the level of bias introduced by non-completions so the best practice is to avoid them altogether. Additionally, CSAP requires a low non-completion rate, i.e., a high completion rate.

The completion rate is calculated using the sample data. Every sampled outlet is classified as either eligible or ineligible by examining the non-completion reasons (*see Appendix 2*) and Survey Report Form notes. Only eligible outlets are used in the survey analysis. An outlet is defined as eligible when it is accessible to youth, open to the public and it sells cigarettes. Eligible outlets are classified as either completions or non-completions. A completion is an outlet where an attempt to purchase cigarettes was made. The completion rate is calculated by dividing the total number of eligible outlets completed by the total number of eligible outlets sampled. Using **Figure 3**, Completion Rate = C1/B1. Every surveyor should strive to keep non-completions to a minimum.

**Figure 3.** Classifying the Synar Survey Sample



## Revisits

If an accessible outlet cannot be completed during the time of the visit then it must be revisited at a time when the inspection can be completed. Make a note of what happened during the first attempt to visit in the notes section of the Report Form. Scenarios for a revisit may include: 1) the buyer knows someone in the outlet, 2) the outlet is closed at the time of the visit or 3) there is a dangerous situation at the establishment. All of these situations require a revisit. Please review the instructions given in Appendix 1 on how to complete the Report Form when an outlet has to be revisited.

In addition to the automatic revisits mentioned above, other sample locations may require revisits if the statistician determines it to be necessary. The most common circumstances are outlets classified as Unlocatable (UNL), which can be located, and other non-completions which are misclassified. Avoid revisits by providing detailed explanations on the Survey Form and checking with DSS (*see* **Figure 1**) if there are any doubts.

## Vending Machines

Since Act 112 prohibits the placement of vending machines in locations accessible to youth, vending machines are no longer sampled for the Synar survey. However, some vendors illegally place vending machines in locations accessible to minors. If a location containing only a vending machine is sampled, **the youth must attempt to purchase cigarettes.**

 *If an outlet on the sample list only sells through a vending machine, THE YOUTH MUST ATTEMPT TO PURCHASE CIGARETTES FROM IT.*

## Alcohol

Outlets that sell over-the-counter cigarettes can also serve alcohol for on-site consumption. E.g. delicatessen, cafes, pizza shops, sub shops, bars and taverns. These types of outlets present a unique problem for the Synar survey.

 *Serving alcohol is NOT a valid non-completion reason. An outlet is NOT inaccessible just because it serves alcohol.*

When an alcohol-serving outlet is encountered, the first thing to check for is whether there is a sign posted that prohibits minors from entering. If that is the case, mark it as a “BNA” and do not enter. If there is a bouncer watching the door, mark it as a “BNA” and do not enter.

 *Check for a sign prohibiting minors. This is always the first step when any outlet is encountered that is suspected of serving alcohol.*

The accessibility of alcohol serving outlets must be determined and documented by the adult supervisor. The following definitions are provided to guide the adult supervisor in determining the outlets accessibility.

***Inaccessible Alcohol-Serving Outlet*** The fact that an outlet serves alcohol does not affect whether it is ineligible or inaccessible. Alcohol serving outlets are part of the survey but may be ineligible for other reasons. If an outlet is suspected or known to serve alcohol and it is open to the public, the adult must do the following:

(1) Look for a sign or a bouncer prohibiting the youth from entering. If there is a sign or a bouncer, the outlet is inaccessible, do not enter and categorize the non-completions BNA.

(2) If there is neither a sign nor a bouncer, the adult enters the outlet to determine where the cigarettes are sold. If they are sold from behind the bar counter, categorize the non-completions as CBB. (*see Appendix 9* for a definition of bar counter)

If reason (2) is used, the adult must enter the outlet. It must be noted on the Report Form that they entered the outlet. Reason (2) cannot be used without entering the outlet.

## IV. Survey Forms

The Synar survey contains many important forms designed to collect data, limit errors and fulfill legal obligations. A successful survey demands that each form is accurately completed in its entirety. When the survey package arrives, use the checklist included to verify that all of the forms were included.

### Legal Forms

When persons who are not employees of the Pennsylvania Department of Health volunteer their assistance, it is necessary to obtain signatures on consent forms. Appendix 10 contains copies of these forms:

- 1) *Statewide Tobacco Outlet Survey Inspection Underage Buyer Form* must be signed by both the youth participant and the youth participant's parent/guardian.
- 2) *Statewide Tobacco Outlet Survey Inspection Parent/Guardian Permission Form* must be signed by the youth participant's parent/guardian.
- 3) *Statewide Tobacco Outlet Survey Inspection Designated Adult Supervisor Form* must be signed by adult drivers and supervisors who are NOT employees of the Pennsylvania Department of Health.
- 4) Each adult supervisor should carry a *Letter of Verification* from the survey organization or state agency verifying the legitimacy of the inspection activities. This Letter includes the names of two staff persons who can be reached in case of an emergency.

### Data Collection Forms

The following are the lists and forms that are in the Statewide Synar survey package. See the appendices for complete instructions on how to complete these forms.

- 1) *Sample List* – List of outlets sampled within a district. The list is sent in electronic and paper form.
- 2) *Survey Report Form* - The Survey Report Form is the data collection form for the survey. One Survey Report Form is issued for each sample location. (*see Appendix 1*)

- 3) **Compliance Sheet** - The Compliance Sheets contain a list of sampled outlets separated by area. It is used as a quality control measure. (see **Appendix 4**)
- 4) **Batch Control Sheet** - The Batch Control Sheet is a tool used by the team leaders and the regional primary contractors (RPCs) to monitor form completion. In addition, the statistician uses the control sheet to compare it to the Survey Report Forms and Compliance Sheets to identify discrepancies. (see **Appendix 3**)
- 5) **Area Accounting Form** - The Area Accounting Form is an additional form used to account for non-completions in a cluster or random sample area. (see **Appendix 5**)

**Table 1.** District Quantity of Forms

<i>Survey Forms</i>	<i>Quantity</i>
Batch Control Sheet	1 per cluster
Batch Control Sheet (blank form)	1 per district
Area Accounting Form	1 per cluster
Area Accounting Form (blank Form)	1 per district
Sample List	1 per district
Compliance Sheets	2 per cluster
Report Forms	1 per outlet

## V. Finishing the Day's Work

*The following activities need to be completed by the survey team leader or regional primary contractor (RPC) at the end of each day's work:*

- Review each Report Form for completeness and accuracy.
- Verify that there is one form for each location on the list, including any supplemental locations.
- Verify that each outlet is identified on the Report Form the same way it appears on the list of sample outlets.
- Complete the Area Accounting Form for non-completed locations.
- Complete the Batch Control Sheet.
- Package the forms in accordance with this manual.
- Copy all survey forms, file and **retain the copies until July 1<sup>st</sup> of the following year.**

# VI. Mailing Completed Forms

The RPCs or survey team leaders are responsible for collecting all forms for the areas they surveyed. When all the forms for an entire area (cluster or random area) have been collected and checked, the RPC checks that the forms are correctly completed, verifies that they are correctly packaged and mails them to the Division of Statistical Support when an entire cluster or random area is complete. **ONLY SEND COMPLETE CLUSTERS OR RANDOM AREAS. Each district must submit their forms to the Division of Statistical Support on a flow basis.** The following is a guide for the RPCs.

- 5% - 15% should be mailed by the end of the 2<sup>nd</sup> week of the survey.
- 16% - 40% should be mailed by the end of the 3<sup>rd</sup> week of the survey.
- 41% - 70% should be mailed by the end of the 4<sup>th</sup> week of the survey.
- 71% - 90% should be mailed by the end of the 5<sup>th</sup> week of the survey.
- 100% should be mailed by the end of the 6<sup>th</sup> week of the survey.

**Example:** Assume a district has 204 sampled outlets (12 clusters). That district is expected to complete the required forms for at least 1 to 2 clusters (10 to 31 outlets) and mail them to Harrisburg by the end of the second week. Remember, only submit completed clusters. Table 2 shows what is expected week by week. The 10 and 31 was calculated with the following equations:

Lower Limit: (total sampled outlets) x (minimum percent expected)= 204 x .05 = 10  
 Upper Limit: (total sampled outlets) x (maximum percent expected)=204 x .15 = 30

**Table 2.** Example – Expected Outlets by Week (Area 204)

<i>Survey Week</i>	<i>Expected Outlet Forms</i>	<i>Clusters</i>
2	10 to 31	1 to 2
3	33 to 82	2 to 5
4	84 to 143	5 to 8
5	145 to 184	9 to 11
6	204	12

Do not hold forms. When a cluster or random area is completed and edited, mail it. Please contact DSS (*see Figure 1*) if there are deviations from this schedule.

### Packaging procedure for collection forms

- Staple (top left corner) all Compliance Sheets of the same area (see above for area explanation) together and in numerical order.
- Place all Report Forms in numerical order according sample number within each area.

 ***Do not staple Report Forms together!***

- Staple (top left corner) the Area Accounting form behind the Batch Control Sheet.
- ***Do not fold any forms.***
- For each area, place the Batch Control sheet on top followed by the Area Accounting Form (which is stapled to the Batch Control Sheet), then the Compliance Sheets, finally the Report Forms.
- Place all forms in a large envelope so they do not bend.

The RPC must mail all ***original*** data collection forms to:

**Michael Tarkoff  
Division of Statistical Support  
555 Walnut St., 6<sup>th</sup> Floor  
Harrisburg, PA 17101**

The RPC should mail forms directly to the above address, unless a prior agreement was reached among the following parties: the RPC, the independent contractor, the Division of Tobacco Prevention & Control and the Division of Statistical Support

## **VII. Final Details**

- The regional primary contractor (RPC) is responsible for providing the list of outlets, maps and directions to the Adult Supervisor.
- The RPC should know each survey team's schedule and should be available by telephone on the survey day until all teams have completed their work for the day.
- Because the statewide Synar survey fulfills a requirement of a funding source, RPCs will document how they kept and used the sample with dates and names of the volunteers to whom the sample was issued.
- Questions about survey procedures, data collection forms, classifying non-completions, survey quality, conducting a valid survey, survey design, supplemental sample or anything contained in this manual should be directed to DSS (*see* **Figure 1**)



- ⚠ *Blank Report Forms will not be contained within the survey packages due to bad photo copies that won't scan. To obtain a new Report Form when one is damaged or has too many mistakes, contact DSS (see **Figure 1**) and someone will email a new Report Form.*
- ⚠ *All black squares must be completely visible and unfaded on the Report Form (see **Figure 4**)*
- ⚠ *If Question #3 is marked EMP, LOT, PVR or UNL then Question #2 MUST be marked EMP-LOT-PVR-UNL...No exceptions.*

Forms will be returned for the following reasons:

1. Pencil used to complete some/all questions.
2. White-out used on forms.
3. Stickers/labels on the forms.
4. Copy of the form submitted instead of original.
5. Form is damaged.
6. Too many errors on a batch of forms.

Complete one Report Form for every outlet listed, no matter what the outcome. When the result of an inspection is either a sale or a refusal then it is classified as a **completion**. When the result is not a sale or a refusal then it is classified as a **Non-completion**. Report Forms are completed for both completions and non-completions.

There are four types of fields used to capture data on the report form: constrained print, image zone, comb and choice field (see **Figure 5**). Some of the constrained print fields are pre-filled and others aren't. In some instances, the surveyor may have to complete a field that is normally pre-filled. Whenever entering data in the constrained print field, image zone field or comb field, use leading zeroes when necessary and always enter legible characters or numbers that do not touch the lines of the boxes.

The fourth type of field, which captures data for the computer, is the choice field (see **Figure 5**). The choice field consists of little circles that must be shaded in front of the correct answer. Completely shade the circle and do not use an "X" or check mark (see **Figure 6**). The scanner does not detect the selected answer when a circle is not completely shaded.

Don't create a new form for one mistake. ***If the wrong circle is shaded, place an "X" over the wrong answer with a black pen and shade the correct circle (maximum of 1 mistake per question).*** If more than one mistake is made on any particular question, a new form has to be requested. Only one mistake per question is permitted.

- ⚠ *A new Report Form must be requested if there is more than 1 mistake for any question.*

**Figure 5.** Field type examples

<p><b>(Constrained Print)</b></p> <p>Area</p> <table border="1"> <tr> <td style="width: 20px; height: 20px;"></td> </tr> </table>					<p><b>(Image Zone)</b></p> <p>14. Brand</p> <div style="border: 1px solid black; width: 150px; height: 30px;"></div>		
<p><b>(Comb)</b></p> <p>15. Cost</p> <table border="1"> <tr> <td style="width: 20px; height: 20px;"></td> </tr> </table>							<p><b>(Choice Field)</b></p> <p>1. What was the outcome?</p> <p> <input type="radio"/> Sale              <input type="radio"/> Refusal              <input type="radio"/> Non-Completion       </p>

**Figure 6.** Proper Shading Technique for Choice Field Answers



Every question is important and should be completed but some questions are mandatory. The information obtained from these questions is required for the block grant application. Expect a call from the statistician if any of the mandatory questions are incomplete. The mandatory questions are enclosed by thick black borders so they stand out on the form. Use the following checklist as a way to verify that all mandatory questions are complete. ***Never mail a form without completing the mandatory questions listed below.***

*If the inspection was a completion (either a Sale or Refusal), questions 1, 2, 4, 5, 6, 7, 8, 9, 10, 11, 12, 13 and 14 must be answered but the form CANNOT be submitted without at least completing the following questions:*

- 1. What was the outcome?
- 2. Type of retail outlet (Select one)
- 4. Gender of buyer
- 5. Age of buyer
- 6. Hispanic, Latino or Spanish origin
- 7. Race of buyer

*If the inspection was a Non-Completion, the following 4 questions must be completed:*

- 1. What was the outcome?
- 2. Type of retail outlet (Select one)
- 3. Non-completion type (Select one)

**Revisit:** If an accessible outlet cannot be completed during the time of the visit then it must be revisited at a time when the inspection can be completed. Some possible reasons for a revisit are that the buyer knows someone in the outlet or the outlet is closed at the time of the visit.

**The Survey Report Form is only completed after the FINAL visit.** If an outlet isn't completed during the first visit and needs revisited, do not complete any questions on the Report Form for the first visit. Make a note (e.g., "1<sup>st</sup> visit – knew clerk") of what happened during the first visit in the notes section of the Report Form but do not complete anything else on the form for that first visit. Only one answer is marked for question 3 and it is determined by the outcome of the final visit to the outlet. Never mark the category ACC (Accessible-Other) unless the RPC has spoken to the statistician in Harrisburg and he agreed.

Surveyors complete the Survey Report Form immediately after leaving the outlet. The surveyor checks the forms and delivers the originals to the regional primary contractor (RPC). The RPC checks the forms for completeness and accuracy and mails the original forms to the Division of Statistical Support for scanning and analysis.

 **Important:**

- 1. Use only a black ballpoint pen. Do NOT use pencils, markers, felt tipped pens, blue ink, red ink, etc.**
- 2. Do not use white-out, liquid paper or any other correction fluid.**
- 3. Do not place stickers or labels on the form.**
- 4. Completely shade all circles.**
- 5. Do not use an "x" or a checkmark to fill in the circles.**
- 6. Make all characters and numbers legible.**
- 7. Complete one form for every outlet listed (both completions and non-completions).**
- 8. On each form, verify that the necessary questions are completed.**
- 9. Mail original Report Forms to the Division of Statistical Support (never fax them).**
- 10. The 4 black boxes on the corners of the form must be completely visible.**

# Question-by-Question Explanation of the Report Form

Figure 7. Survey Report Form



**SURVEY REPORT FORM (Synar 2014)**  
Pennsylvania Department of Health

Draft

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<b>Area</b>	<b>Sample</b>	<b>License</b>	<b>Date of visit</b>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/> / <input type="text"/> / <input type="text"/> <input type="text"/>

**Outlet Location**

**4. Gender of buyer**

Male     Female

**5. Age of buyer**

15     16     17

**6. Is the buyer of Hispanic, Latino, or Spanish origin?**

Yes     No

**7. Race of buyer**

White     Asian

Black     Other

**1. What was the outcome?**

Sale     Refusal     Non-completion

**2. Type of retail outlet (select one)**

<input type="radio"/> Bar/tavern (1)	<input type="radio"/> News outlet (7)
<input type="radio"/> Beer distributor (2)	<input type="radio"/> Restaurant/deli (8)
<input type="radio"/> Convenience-gas (3)	<input type="radio"/> Supermarket (9)
<input type="radio"/> Convenience-grocery-no gas (4)	<input type="radio"/> Tobacco (10)
<input type="radio"/> Dollar Store (5)	<input type="radio"/> (EMP-LOT-PVR-UNL)
<input type="radio"/> Pharmacy/drug store (6)	<input type="radio"/> Other _____

**3. Non-completion type (select one)**

<input type="radio"/> (CBB) Cigarettes Behind Bar (1)	<input type="radio"/> (OCN) Outlet Closed/Not Access. (8)
<input type="radio"/> (BNA) Bar Not Accessible (2)	<input type="radio"/> (ONA) Other/Not Accessible (9)
<input type="radio"/> (DNS) Does Not Sell (3)	<input type="radio"/> (PCL) Private Club (10)
<input type="radio"/> (DUP) Duplicate (4)	<input type="radio"/> (PVR) Private Residence (11)
<input type="radio"/> (EMP) Empty Building (5)	<input type="radio"/> (UNL) Unlocatable (12)
<input type="radio"/> (TV) Itinerant Vendor (6)	<input checked="" type="radio"/> (ACC) Accessible-Other (13)
<input type="radio"/> (LOT) Empty Lot (7)	<input type="radio"/> (ODG) Outlet Dangerous (14)

**8. Does the outlet serve alcohol for on-site consumption?**

Yes     No     Unknown

**9. Was a adult supervisor in the outlet?**

Yes     No

**10. Was buyer asked to show ID?**

Yes     No

**11. Was buyer asked his/her age?**

Yes     No

**12. Were warning signs visible?**

Yes     No

**13. Gender of clerk**

Male     Female

**14. Location fields are accurate**

Yes     No

**15. Time of visit (military)**

**Notes:**

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Questions? Contact Division of Statistical Support (717-783-2548)

**Area** – The Area number identifies the cluster. It will be pre-printed on the form unless a blank form is used and the surveyor has to input the number by hand. Leading zeroes must be used when appropriate. This is an essential field that must be completed on every form. (Completions and Non-Completions)

**Sample** – The Sample number identifies the outlet within a particular cluster. It will be pre-printed on the form unless a blank form is used and the surveyor has to input the number by hand. Leading zeroes must be used when appropriate. This is an essential field that must be completed on every form. (Completions and Non-Completions)

**License** - The unique license number is given to every outlet that purchases a license to sell cigarettes. This number is created by the Department of Revenue and pre-printed on the Report Form. If a blank Report Form is used, leave the space provided on the Report Form for the License number blank.

**Date of visit** - Fill the month and day of the compliance check (MMDDYY). “YY” will be pre-printed. (Completions only)

**Outlet Location** - Outlet names and addresses information are pre-printed on the form. The fields are: Name1, Name2, Address 1, Address 2, City, Zip and County. If it is not pre-printed, copy this information from the Compliance Sheet or the Excel sample list. These fields are not scanned into the computer, but they are used to track the paper forms to account for the sample. This is an essential field that must be completed on every form. (Completions and Non-Completions)

**1. What was the outcome?** - If the youth participant purchased cigarettes, shade the circle labeled "Sale". If the clerk refused to sell cigarettes to the youth participant, shade the circle labeled "Refusal". In all other circumstances, shade the circle labeled "Non-Completion". This is an essential field that must be completed on every form. (Completions and Non-Completions)

 *If money changes hands and the youth participant leaves the counter with cigarettes OR the youth obtains cigarettes from a vending machine, the transaction is considered a “sale”, even if the employee follows the youth outside and demands that they return the cigarettes.*

Do not confuse a non-completion with a refusal. A refusal is when the youth participant asks for cigarettes and is refused by the clerk. The youth has to ask for cigarettes or try to use a vending machine before it can be considered a refusal. A non-completion is when the youth participant does not have the chance to attempt to buy cigarettes because of one of the non-completion reasons described in Appendix 2. This is a critical distinction. If there any doubts or questions, contact DSS (see **Figure 1**).

**2. Type of retail outlet** - Fill in the circle associated with the type of vendor. (Completions and Non-Completions)  **Shade only one circle.**

## Outlet Type Definitions

- Bar/Tavern – These establishments serve alcoholic drinks (beer, wine, liquor, and cocktails) for consumption on the premises. A bar/tavern is required to have a bar counter with at least one beer tap behind it. In many establishments, it is difficult to distinguish between a bar/tavern and a restaurant. For the Synar, if the cigarettes are sold near the bar counter, categorize it as a bar/tavern. If the cigarettes are sold in the restaurant area, categorize it as a restaurant.
- Beer Distributor – A beer distributor sells beer by the case and is primarily engaged in the merchant wholesale distribution of alcoholic beverages. It may provide either walk-in or drive-thru service or both. It does not allow on-site consumption and it may also sell other items such as soda or snacks.
- Convenience-gas – These establishments are engaged in retailing a limited line of goods that generally includes milk, bread, soda, and snacks AND must be selling gasoline or diesel fuel at the location. These establishments may be part of a regional or national chain of stores with multiple outlets in Pennsylvania. These establishments can be a local gas station unique to the city or independently owned. The store is usually open long hours for the convenience of customers. It may sell over-the-counter drugs or provide take-out foods. Here are a list of the more popular outlets that should be placed in this category:

Turkey Hill, Sheetz, Rutters, Wawa, Sunocco A-Plus, Hess, BP, Exxon, Citgo, Valero, Shell, Getty, 7-Eleven, Giant Gas Kiosk, Lehigh Gas, CoGo's, Kwik Fill, Pit Stop, Uni Marts, Circle K, GetGo
- Convenience-grocery-no gas – These establishments are engaged in retailing a limited line of goods that generally includes milk, bread, soda, and snacks but do not sell gasoline at the location. These establishments can be independently owned or belong to a regional or national chain. These outlets can be referred to as country stores, corner stores, general stores, local markets, mini markets, convenience stores, grocery stores or “Mom & Pop” establishments. These outlets may or may not be open for long hours.
- Dollar store – These establishments are variety stores that sell a wide range of inexpensive household goods. These establishments often sell all goods at a single price. Product lines at these establishments may include: food and drink, personal hygiene products, small home and garden tools, office supplies, decorations, electronics, garden plants, toys, pet supplies, motor and bike consumables. Larger stores may sell frozen foods and fresh produce.
- Pharmacy/drug store – These establishments can be retail stores centrally featuring a pharmacy selling prescription and over-the-counter medications. These establishments may sell not only medicines, but also miscellaneous items such as: candy, cosmetics, cleaning supplies, magazines, and paperback books. These stores may sell light refreshments, milk, bread and frozen food. They may be part of a national or regional chain of outlets or owned and operated by an independent pharmacist. Their major image is as a pharmacy.

- News outlet – News outlets sell newspapers and magazines. They usually sell other items like candy, but their main purpose is selling newspapers and magazines. Include outdoor news stands in this category.
- Restaurant/deli – These establishments are primarily engaged in providing food services to patrons who order. They can be served in the following scenarios: while seated (i.e. waiter/waitress service) and pay after eating, or where patrons generally order or select items and pay before eating. For the Synar, if the cigarettes are sold near the bar counter, categorize it as a bar/tavern. If the cigarettes are sold in the restaurant area, categorize it as a restaurant. These establishments may provide carry out services. A list of establishments that may fall under this category are: diner, pizza shop, sub shop, Chinese take-out, café, coffee shop, or delicatessen.
- Supermarket – Supermarkets sell food and household items in a large facility. It is a departmentalized self-service store offering a wide variety of food and household merchandise. It is larger in size and has a wider selection than a traditional grocery store. The supermarket typically has meat, produce, dairy and baked goods departments. Along with the items for sale in the various departments, additional items for sale may include canned and packaged goods as well as various nonfood items such as household cleaners, pharmacy products, and pet supplies. This category will include the major chains such as: Weis, Giant, Walmart, Kmart, ACME, Clemens, Food Lion, Giant Eagle, Karns, Save-A-Lot, Shop 'n Save.
- Tobacco – The tobacco category covers all tobacco outlets, cigarette outlets and cigar shops. These outlets sell tobacco (cigarettes, cigars and/or smokeless tobacco) as their main product.
- EMP-LOT-PVR-UNL –This category is reserved for those outlets that meet both of the following criteria:
  1. The outcome of the check is a non-completion
  2. The non-completion type is UNL, PVR EMP or LOT.

**This category must be used for all outlets marked as one of the above non-completion types, even if it is possible to place them into another category.**
- Other - ***This is a last resort category.*** Use this category for locations that do not fit in any of the above categories. Describe the type of outlet in the space provided next to the other category. Category examples: check cashing outlets, Laundromats, golf pro shops, hotels, motels, record outlets, clothing outlets, book stores, hardware stores, video stores, campgrounds, prisons, bowling lanes (not in the bar), fire halls, Gateway clipper (boat), train stations, auto auctions, bait shops, car dealerships, etc.

**3. Non-Completion type** –  **Before answering this question, review Appendix 2.** Place the non-completion outlet into the correct category. Only answered if the outcome is a non-completion. Only select ONE category. A detailed explanation is required in the “Notes” section. Do not repeat the category name in the notes section by writing explanations such as, "too dangerous" or "bar not accessible". Examples of acceptable explanations are “Q3-sign prohibiting minors”, “Q3-looked up phone number and called” or “Q3 -known drug traffic and high crime area”. (Non-Completion only)

**4. Gender of buyer** – Record the gender of the youth participant who surveyed the outlet. (Completions only)

**5. Age of buyer** – Record the age of the youth participant who surveyed the outlet. **Buyer age can NOT be less than 15.** (Completions only)

**6. Is the buyer of Hispanic, Latino or Spanish origin?** – Ask the youth buyer if they are of Hispanic, Latino, or Spanish origin. (Completions only)

**7. Race of buyer** – Ask the youth buyer which race that they most identify with. Select one option. If the youth identifies with more than one race, select other. (Completions only)

**8. Does the outlet serve alcohol for on-site consumption?** – This item applies to outlets that serve alcohol that can be consumed on-site, such as, bars, taverns, restaurants, etc. Use the “Unknown” category when it cannot be determined.

 *Beer distributors do not serve alcohol to be consumed on site. Therefore, they are marked “no” for question 8.*

**9. Was the adult supervisor in the outlet?** - If the adult supervisor was in the outlet when the attempt to purchase cigarettes was made, mark "Yes", otherwise mark "No". Note any unusual situations in the “Notes:” section. (Completions only)

**10. Was the buyer asked to show ID?** - If the clerk asked the youth participant to show some kind of proof of age, fill the circle for "Yes". If the youth participant was not asked for proof of age, fill the circle for "No". (Completions only)

 *Youth participants should NOT carry IDs into the outlet.*

**11. Was buyer asked his/her age?** - If the clerk asked the youth participant his/her age, fill the circle for "Yes". If the clerk did not ask the youth participant his/her age, fill the circle for "No". (Completions only)

**12. Were warning signs visible?** - If the outlet displays signs indicating that it does not sell tobacco to persons under the age of 18 or under the age of 21, fill the circle for "Yes". If display-warning signs were not visible, fill the circle for "No". (Completions only)

**13. Gender of clerk** – Gender of the clerk who waited on the youth participant. (Completions only)

**14. Location fields are accurate** – Check the Outlet Location section of the report form and verify that all information accurately represents the present outlet. If the information is incorrect then select “No”, if all information is valid, select “Yes”. Provide the updated information in the notes section by writing Q14: Business name is incorrect, business name should be Dollar General. This question along with your input in the notes section will be used to improve the quality of the sampling list. This is not a valid non-completion reason.

**15. Time of visit (military time)** - Fill the time the outlet was visited in military time (see **Table 3**). For example, 1:00 PM is 1300, 2:00 PM is 1400, and 8:00 AM is 0800. Between hour times use the same principle as Civilian times. For example, 1:30 PM is 1330, 2:15 PM is 1415 and 8:42 AM is 0842. (Completions only)

**Table 3.** Civilian to Military Time Conversion Table

Military Time		Military Time	
Civilian Time	Equivalent	Civilian Time	Equivalent
12:00 AM	0000	12:00 PM	1200
1:00 AM	0100	1:00 PM	1300
2:00 AM	0200	2:00 PM	1400
3:00 AM	0300	3:00 PM	1500
4:00 AM	0400	4:00 PM	1600
5:00 AM	0500	5:00 PM	1700
6:00 AM	0600	6:00 PM	1800
7:00 AM	0700	7:00 PM	1900
8:00 AM	0800	8:00 PM	2000
9:00 AM	0900	9:00 PM	2100
10:00 AM	1000	10:00 PM	2200
11:00 AM	1100	11:00 PM	2300

**Notes:** - Enter any noteworthy aspects of the surveyed outlet. Let the statistician know which question is being referred to by placing the letter “Q” and the question number in front of the note. For example, when referring to question 4, write “Q4” in the notes. These notes are necessary to verify that the outlet is correctly classified and to provide information to CSAP when they audit the PA survey. All non-completions must be explained in the notes section. If BNA was selected for the question 3, either “Q3-bouncer” OR “Q3-sign” + exact wording of the sign must be placed in the notes section. For example, “Q3-sign- No one under 21 permitted”. If an outlet was determined to be ineligible during the last 12 months while conducting FDA enforcement, write an explanation along with the date of the FDA compliance check. If more room is needed, make note of it on the front and continue on the back of the form in PENCIL ONLY. Do not write on the back of the form in pen because this will interfere with scanning. See **Figure 8** for real examples of proper notes.

Questions should be directed to the Division of Statistical Support (*see Figure 1*).

**Figure 8. Non-completion example notes**

**BNA**

Notes: Q3 - Sign on door. "No one under 18 permitted in bar."

**EMP**

Notes: Q3 - "Closed/For Sale sign posted in window. ALL doors (two) Locked, When Looked inside windows, building was empty"

**LOT**

Notes: Q3 Fire destroyed building February 2010; building demolished; now empty lot; verified by site visit.

**ONA**

Notes: Q3 Apartment building; no public entrance; verified by site visit.

**DNS**

Notes: Q3 The owner said he doesn't sell tobacco - "Go to Koch's" he said.

**EMP**

Notes: Q3 - Sign that says "Out of business - For Sale" - Door Locked, windows boarded, Looked empty.

**DUP**

Notes: Duplicate to sample 010

## Appendix 2

# DOCUMENTING OUTLETS NOT INSPECTED (NON-COMPLETIONS)

Every valid survey utilizes methods to ensure survey quality. The Synar survey uses many methods such as monitoring the completion rate and documenting non-completions. A key component of survey quality is the completion rate, which is divided into the categories: 1) outlet completion rate and 2) item (question) completion rate. This appendix is concerned with outlet completion rate, which is defined as the number of outlets where inspections were completed, divided by the total number of eligible outlets. Survey quality is directly proportional to survey completion rate. The higher the completion rate, the higher the survey quality. Conversely, the lower the completion rate, the lower the survey quality. The goal for the Synar survey is to have the highest number of outlets inspected and the lowest number of non-completions.

Not every non-completion affects the quality of the survey. Some outlets are considered ineligible locations or locations that, under normal conditions, are not accessible by youth under 18. For this reason, it is important to accurately categorize and document why the inspection was not completed. The statistician analyzes the non-completions and decides whether they must be completed (an eligible outlet) or if they are inaccessible (an ineligible outlet). In addition, CSAP requires explanations for all non-completions.

A non-completion classification system was devised to simplify the processes of determining eligibility. It is the surveyor's responsibility to correctly classify the non-completed outlet in question 3 on the Report Form (*see* **Figure 9**).

 **Non-completion classification is extremely important. The team leader should review this appendix very carefully.**

The surveyor must explain the reason(s) an attempt was not made in the "Notes" section of the Report Form (see Appendix 1). More detailed explanations than writing "Bar" or "Not accessible" must be provided in the notes section. Some examples may be: "Q3-sign prohibiting minors", "Q3-looked up phone number and called", "Q3-known drug traffic and high crime area", etc. If BNA is marked, put either "Q3-bouncer" or "Q3-sign- No one under 21 permitted" in the notes. The sign must specifically prohibit minors from entering. The explanation allows the statistician to classify the sample locations correctly. In addition to the Report Form documentation, every non-completion location must also be recorded and accounted for on the Area Accounting Form (*see* **Appendix 5**).

Correctly categorizing the outcome of the inspection is one of the most important aspects of your duty as a surveyor. A definition for the difference between refusals and non-completions has been provided below but if there are any questions, contact DSS (*see* **Figure 1**).

 **Refusal vs. Non-Completion** – A refusal is when the youth participant asks for cigarettes but is refused by the clerk. The youth has to ask for cigarettes before it can be considered a refusal. A non-completion is when the youth participant does not have the chance to attempt to buy cigarettes because of one of the non-completion reasons below.

Completion rate is vital to the survey’s validity so every eligible outlet must be inspected. When eligible outlets are not inspected, vital information is lost and the survey results are weakened. Additionally, CSAP requires a high completion rate.

**Figure 9. Report Form - Question 3**

**3. Non-completion type (Select one)**

<input type="radio"/> (CBB) Cigarettes Behind Bar (1)	<input type="radio"/> (OCN) Outlet Closed/NotAccess. (8)
<input type="radio"/> (BNA) Bar Not Accessible (2)	<input type="radio"/> (ONA) Other/Not Accessible (9)
<input type="radio"/> (DNS) Does Not Sell (3)	<input type="radio"/> (PCL) Private Club (10)
<input type="radio"/> (DUP) Duplicate (4)	<input type="radio"/> (PVR) Private Residence (11)
<input type="radio"/> (EMP) Empty Building (5)	<input type="radio"/> (UNL) Unlocatable (12)
<input type="radio"/> (ITV) Itinerant Vendor (6)	<input type="radio"/> (ACC) Accessible-Other (13)
<input type="radio"/> (LOT) Empty Lot (7)	<input type="radio"/> (ODG) Outlet Dangerous (14)

## Non-Completion Classifications

A three letter code is provided to relate these categories to the summary sheet. The three-letter code should always be accompanied by an explanation.

**(CBB) Cigarettes Behind Bar** - Use this category if the outlet serves alcohol for on-site consumption AND the cigarettes are sold from behind the bar counter. A bar counter is defined as: the serving area for alcoholic beverages where drinks are mixed by a bartender and the location where the beer taps are located. Many steps must be followed and details explained to use this category. The following requirements must be met before categorizing an outlet as a CBB.

***Explanation required.***

1. **The adult supervisor has to enter the establishment.**
2. **The following questions MUST be answered on the Report Form in the notes section:**
  - (1) Does outlet serve alcohol?
  - (2) Was there a sign prohibiting minors from entering?
  - (3) Was there a bouncer at the door?
  - (4) Did the adult enter?
    -  If (1) & (2) are answered “Yes”, then mark outlet as BNA, do not use CBB
    -  If (1) & (3) are answered “Yes”, then mark outlet as BNA, do not use CBB.

**(BNA) Bar-Not Accessible** - Use this category if the bar has a sign or a bouncer prohibiting minors from entering. **There must be a sign prohibiting minors OR a bouncer AND the outlet type must be a bar/tavern.** The sign must explicitly prohibit minors from entering. For example, “No one under 21 permitted”, “You must be 18 or older to enter”, “Minors Prohibited”, etc. A “Smoking Permitted” sign does NOT qualify. **It is mandatory to place the exact wording of the sign in the notes section of the Report Form.** For example, “Q3-sign-No one under 21 permitted”, “Q3-sign-Minors not Allowed”, etc. If there is not a sign prohibiting neither minors nor a bouncer, this code cannot be used. A sign specifying the location as an alcohol serving establishment does not indicate the establishment is inaccessible. *Explanation required.*

- ⚠ If BNA is used, the notes section must have either “Q3-Bouncer” OR the exact wording of the sign. For example “Q3-sign- No one under 21 permitted”.
- ⚠ A “Smoking Permitted” sign does NOT qualify
- ⚠ If a picture of the sign is taken, write the exact wording of the sign in the notes section and specify that a picture was taken.
- ⚠ If a beer distributor has a sign prohibiting minors from entering, mark as ONA, do not mark as BNA.

**(DNS) Does Not Sell** – The outlet does NOT sell tobacco. Explain how it was determined that the outlet does not sell tobacco. *Explanation required.*

**(DUP) Duplicate** – Use this code if the outlet is a duplicate listing. Duplicate listings are two outlets that have the exact same address. Only one of the duplicates can be marked DUP, the other outlet has to be completed. *Explanation required.*

- ⚠ The AREA and SAMPLE numbers of the duplicate outlet must be placed in the Notes section.

**(EMP) Empty Building** - Use this code or description if there is an empty building at the location. There isn't any business operating at the address but there is still a building there. Describe the location in the notes section. *Explanation required.*

**(ITV) Itinerant Vendors** - Mobile vendors. Itinerant vendors have the capability to move from place to place. These vendors are not part of our survey since they do not have a permanent address and our survey samples addresses. Do not try to find these vendors. Examples include food carts along sidewalks and the little trucks at sporting events or locations where crowds gather for some reason.

**(LOT) Empty Lot** - Use this code or description if there is an empty lot at the location. There isn't any business operating at the address AND there is not a building present. There probably was a building at one time but it was torn down. Describe the location in the notes section. *Explanation required.*

**(OCN) Outlet Closed, Not Accessible** – Use this code if the outlet is closed during the entire survey period but is not permanently out of business OR if the outlet is not open during surveying hours. Find a phone number for the establishment to determine hours of operation. This category is used to establish time sensitivity. For example, the normal Synar survey period is July 1<sup>st</sup> to mid-August. If a seasonal outlet such as, a ski lodge, is visited during the survey period, it is likely the lodge will be closed during the entire survey period because a ski lodge is usually only open in winter months. In this situation, mark the outlet as OCN because it is not out-of-business but is closed during the entire survey period.

Also use OCN if the outlet isn't open during daylight hours (surveying hours). The Synar survey should not be conducted before sunrise or after sunset. Surveying hours are from 6 AM to 8:30 PM. If an outlet opens at 9:00 PM and closes at 2 AM, then it is a non-attempt and should be classified as OCN. *Explanation required.*

**(ONA) Other, Not Accessible** – A variety of locations are not accessible to youth but don't fit in another category, such as stadiums, concert venues, lunchrooms in a factory, adult bookstores, state prisons, office buildings, airports, apartment buildings and warehouses. Use this category if any of the following conditions apply:

1. The building is inaccessible to the general public and doesn't fit into another category.
2. The establishment is NOT a bar/tavern but has a sign prohibiting minors from entering.
3. The establishment requires money to enter (e.g., arenas, racetracks, airports, stadiums,...)
4. The establishment only sells cigarettes by the carton (no individual packs).
6. The establishment is a beer distributor with a sign prohibiting minors from entering.

**(PCL) Private Club** - Membership only locations. This category includes but is not limited to volunteer fire companies, veterans' organizations, fraternal organizations and motorcycle clubs. *Explanation required.*

**(PVR) Private Residence** - Use this category when the address is a private home or private residence. Before classifying as a PVR, make sure the surveyor is at the exact address on the Report Form. There have been incidences when the surveyor marked it as PVR but they were at the wrong address. *Explanation required.*

**(UNL) Unlocatable** - Use this category when an address was not found after exhausting all resources. An outlet should rarely be marked as an Unlocatable. There are many resources available for locating establishments. We recommend: 1) use the surveyors knowledge of the area 2) a GPS system 3) an extensive internet search. Use all the information provided on the report form to acquire an outlet's phone number. A company's store locator web site is a valuable resource for address, business name and telephone information. We recommend using "The USA Explorer" [www.theusaexplorer.com](http://www.theusaexplorer.com). A google search is also an effective method. Exhaust all resources. If a phone number is found, call the outlet to get directions without revealing the purpose of the visit. If all resources have been exhausted and the outlet still can't be found, categorize the outlet as UNL. In the notes section of the Report Form, write "UNL" along with an explanation of the steps that were taken to find the outlet. *Explanation required.*

**(ACC) Accessible-Other – THIS IS A TEMPORARY DISPOSITION CODE.** If an accessible outlet cannot be completed during the time of the visit and it must be revisited at another time, write this code in the notes section of the Report Form to let the statistician know that the outlet was visited but not inspected. Also put the date of the ACC visit in the notes section. This is not a permanent category. This category is only provided so the outlet isn't forced into another category where it doesn't belong. This code can never be used as a final disposition. This code should only be placed in the notes section of the Report Form. If a form is mailed with question 3 of the Report Form marked as ACC, the form will be returned and the outlet will have to be revisited.

 This outlet must be revisited.

 Example when to use: If the youth knows the clerk or someone in the store, the youth will leave the outlet to return at another time. The adult will write “mm/dd/yy - first visit ACC, youth knew someone in the store” in the notes section of the Report Form.

**(ODG) Outlet Dangerous**  **Do not enter the outlet!** The safety of the survey participants is the most important consideration during the survey. Use this category if a survey team member thinks there may be risk involved in conducting an inspection AND it can't be classified into any other non-completion category. CSAP does not accept ODG as a valid non-completion reason so it must be verified that the outlet cannot be classified as other non-completion category. ***Explanation required.***

 **The following questions MUST be answered on the Report Form in the notes section:**

- (1) Was there a sign prohibiting minors from entering?
- (2) Was there a bouncer at the door?
- (3) Did the adult enter?
- (4) If outlet is a bar, were the cigarettes sold from behind the bar area?
- (5) Were cigarettes sold through a vending machine?
- (6) How was it determined that the outlet sells cigarettes?

## Appendix 3

# Batch Control Sheet Instructions

The Batch Control Sheet is a vital piece of the Synar survey. The information collected from this form is required by CSAP and is reported in the Annual Synar Report. This form assists the team leaders and the Regional Primary Contractors (RPCs) to assemble materials that are mailed to Harrisburg. Before mailing the Batch Control Sheets, edit them carefully for accuracy and completeness. **Complete one form for each cluster or random area.** Some of the forms have pre-printed information. Do not write over the printed information.

### 1. Health District

If blank, enter the appropriate health district or random area [(Northcentral (NC), Northeast (NE), Northwest (NW), Southcentral (SC), Southeast (SE), Southwest (SW), Allegheny (AL), Delaware (DE), Erie (ER) or Philadelphia (PH)].

Health District:	
------------------	--

### 2. Area Surveyed

If blank, describe the area surveyed, such as "Juniata County, entire county" or "York City area".

Area Surveyed:	
----------------	--

### 3. Area Number (from sample)

If not pre-filled, place the area number (3- digit code given to each area or cluster) of the batch of forms being monitored on the provided line.

Area Number:	
--------------	--

### 4. Batch Start & End Dates

Enter the date the survey team began its fieldwork and the date work ended for the outlets in the area monitored by the batch control sheet.

Batch Start Date:	
-------------------	--

Batch End Date:	
-----------------	--

**5. Designated Adult Supervisors**

Enter the name of each adult who accompanied the youth participants, their organizational affiliation, whether they attended the conference call and their email address (e.g., "John Doe, Philadelphia Dept. of Health, jdoe@pa.gov")

NAME	ORGANIZATION	Attended June 3 conference call (Yes or No)	Email

**6. Complete List of Youth Participants used for this Cluster**

This section of the batch control sheet is required by CSAP. Enter the name, age, gender and the number of outlets each youth participant visited. Each youth participant should only be listed once. Please print clearly. Add up the "Outlets Visited" column and write the total in the space provided. The total outlets visited must equal the "Total Completions" cell. If more than 6 different youth were involved in the sample area, write the information for the remaining youth on the back of the form and make a note on the front that the back of the sheet was used.

	NAME	AGE	GENDER	Outlets Visited
1				
2				
3				
4				
5				
6				
<b>Total Outlets Visited:</b>				

**7. Survey Report Forms Accountability**

Tally the number of forms that resulted in a sale, refusal or non-completion. "TOTAL COMPLETIONS + NON-COMPLETIONS" must equal the total number of outlets issued, including both the original sample and supplemental sample. There should be as many forms returned as the number in the "TOTAL COMPLETIONS + NON-COMPLETIONS" cell.

OUTCOME	COUNT	TOTALS	COUNT
SALE		TOTAL COMPLETIONS (Sale + Refusal)	
REFUSAL		TOTAL COMPLETIONS + NON-COMPLETIONS	
NON-COMPLETION			

## Appendix 4

# Compliance Sheet Instructions

The Compliance Sheet contains a list of the sample sorted by cluster (or random area) within each district, Area Number, county name, outlet name and address information are pre-printed on the Compliance Sheet. There are up to 9 outlets listed on each Compliance Sheet page. Record the outcome of the outlet compliance check by placing an "X" on one of the lines provided ("Sale", "Refusal" or "Non-Completion"). If the outcome is a non-completion, *put the 3-letter code (see Table 4) for the non-completion reason on the line provided.*

**Figure 10.** Compliance Sheet Sample

Synar 2008 Compliance Sheet		Centre			
North Central					
Area Number 101					
		Sale	Refusal	Non-Com	Non-Completion Type (3 Letter Code)
1	Ta Operating LLC Travel Centers Of American 875 N Eagle Valley Road  Milesburg            16853	_____	_____	_____	_____
2	Puff Discount Cigarette Inc Puff Discount Cigarette Inc 2255 N Eagle Valley Roa  Howard                16841	_____	_____	_____	_____

**Table 4.** Non-completion codes

<u>Code</u>	<u>Non-Completion Reason</u>
CBB	Cigarettes Behind Bar
BNA	Bar Not Accessible
DNS	Does Not Sell
DUP	Duplicate
EMP	Empty Building
ITV	Itinerant Vendor
LOT	Empty Lot
OCN	Outlet Closed/Not Accessible
ONA	Other/Not Accessible
PCL	Private Club
PVR	Private Residence
UNL	Unlocatable
<b>ACC</b>	<b>Accessible-Other</b>
<b>ODG</b>	<b>Outlet Dangerous</b>

## Appendix 5

# Area Accounting Form Instructions

Every non-completion location is recorded on the Area Accounting Form. One Area Accounting Form is completed for each cluster or random area (e.g., Allegheny, Delaware, Erie and Philadelphia counties).

In the space provided for Health District, enter the appropriate code (NC, NE, NW, SC, SE, SW, AL, DE, ER or PH). In the space provided for Area Number, enter the Area number. In the space provided for the Area Description, describe the area (e.g., Centre, Allegheny, Erie, etc.). In the unshaded portion of the first row of the table under the title Sample Number Not Attempted, enter the sample number of each outlet that was not attempted. Enter an "X" in the appropriate row, depending on the reason an attempt was not made. Once all non-attempt data is recorded, sum each non-attempt reason in the far right column titled Total. Sum the Total column in the far right cell of the *Total* row. (This number should equal the number of non-completion Report Forms for that cluster or area).

**Figure 11.** Area Accounting Form Sample

### AREA ACCOUNTING FORM

NON-COMPLETIONS  
(Synar 2011)

Health District: \_\_\_\_\_ Area Description: \_\_\_\_\_

Area Number: \_\_\_\_\_

	SAMPLE NUMBER										
REASON											TOTAL
(CBB) Cigarettes Behind Bar											
(BNA) Bar Not Accessible											
(DNS) Does Not Sell											
(DUP) Duplicate											
(EMP) Empty Building											
(ITV) Itinerant Vendor											
(LOT) Empty Lot											
(OCN) Outlet Closed / Not Accessible											
(ONA) Other/Not Accessible											
(PCL) Private Club											
(PVR) Private Residence											
(UNL) Unlocatable											
(ACC) Accessible-Other											
(ODG) Outlet Dangerous											
TOTAL											

## Appendix 6

# Supplemental Sample

### Overview

Supplemental sample is defined as additional sample issued in clustered areas when the minimum number of completions is not achieved. A completion is when the result of an inspection is a “sale” or a “refusal” and the minimum number required per cluster is 13. Supplemental sample is necessary to ensure a sufficient final sample size in the clustered areas only. The randomly sampled areas (i.e., Allegheny, Delaware, Erie and Philadelphia counties) are also issued supplemental sample in the case they do not achieve their minimum. The minimum for Allegheny County is 55. The minimum for Delaware County is 80. The minimum for Erie County is 60. The minimum for Philadelphia County is 170.

Immediately review the sample list to determine which outlets are non-completions. If an outlet was visited for enforcement (FDA or Act 112) during the past 12 months and found to be ineligible, the outlet can be marked as ineligible. Categorize the outlet in the correct Synar non-completion category. The date of the enforcement check and the person who verified the establishment’s ineligibility must be recorded in the notes section of the Report Form. Do NOT visit EVERY outlet BEFORE the survey begins. However, outlets suspected to be ineligible should be verified before the survey. Verifying suspected outlets before the survey is beneficial because the youth’s time isn’t wasted. If 5 or more outlets in a cluster are non-completions (12 or fewer completions) then request supplemental sample for that cluster before the survey begins. There are five situations when an outlet can be marked as a non-completion BEFORE it is visited.

1. The outlet was visited within the last 12 months AND the non-completion type was either BNA, DNS, OCN, EMP, or PCL.
2. The outlet has a duplicate address on the sample list.
3. The non-completion type was LOT, PVR or ITV during an enforcement visit in the past 12 months.
4. The address is a corporate office or private building.

All other non-completions are determined after they are visited. If an outlet is marked as a non-completion before the survey, according to appendix 2, the date it was last visited and the name of the person who determined the non-completion status must be placed in the notes section of the Report Form.

### Requesting Supplemental Sample Procedures

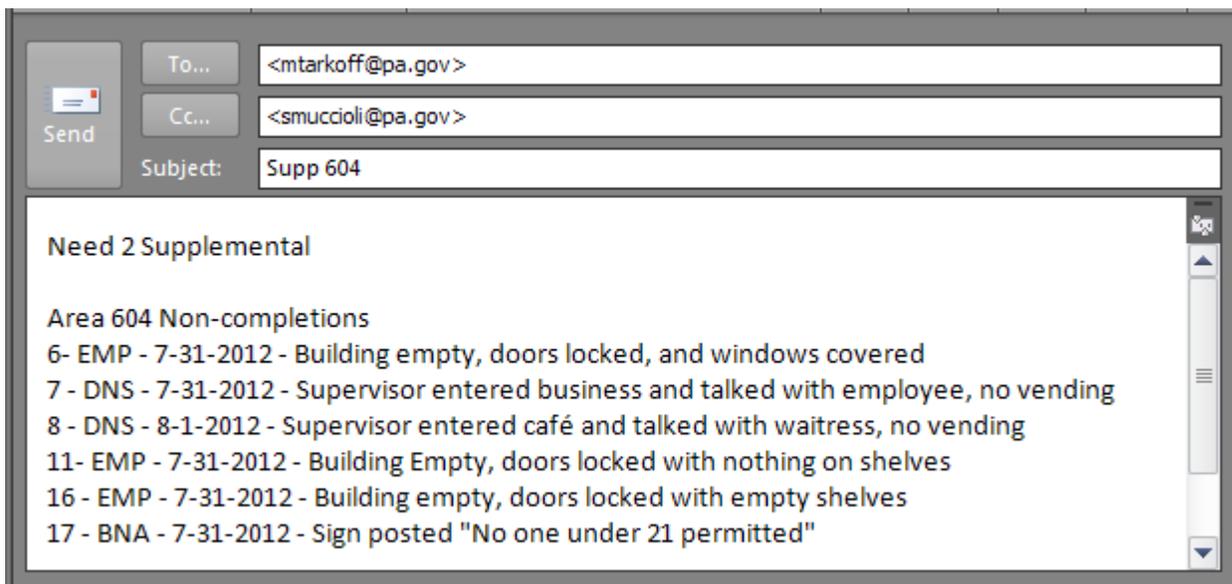
In the clustered areas: if 13 completions have not been achieved for any one cluster, contact DSS (*see Figure 1*) to request supplemental sample. For Allegheny county, if 50 completions have not been achieved contact DSS to request supplemental sample. For Delaware county, if 80 completions have not been achieved, contact DSS to request supplemental sample. For Erie county, if 60 completions have not been achieved, contact DSS to request supplemental sample. For Philadelphia County, if 170 completions have not been achieved, contact DSS to request supplemental sample.

Every supplemental outlet must be attempted and every supplemental outlet that is eligible must be completed. Do not over-estimate the number of supplemental sample needed. If 10 supplemental outlets are requested then 10 attempts are made and 10 forms are completed. All issued supplemental sample must be completed.

**Figure 12** demonstrates how a Supplemental Sample email request should look. Whether the request is by email or phone, every request must contain the following information:

- The subject line should read “Supp 604” – if 604 is the ANUM being requested.
- The total number of supplemental outlets requested is the first line in the body of the email.
- Complete list of every outlet that cannot be completed in the ANUM with the following information included for each one:
  - Sample number (SNUM)
  - Non-completion 3 letter abbreviation
  - Date last visited
  - Detailed explanation of the Non-Completion

**Figure 12.** Supplemental Request - Email layout



Every non-completed outlet must be listed for every request. If this is the second request for Supplemental sample, do not forward a previous request by adding new outlets. All non-completions must be listed together in the same message for every request. Create a comprehensive list of Non-Completions per cluster when requesting Supplemental Sample.

For each ANUM a separate request must be made. Do not request different ANUMS in the same email. For example, area 604 and 605 must be in separate email requests.

All information must be contained within the body of the email. Do not send attachments containing the information.

## Appendix 7

### Pennsylvania's Historical Results

Pennsylvania has been conducting the Synar survey since 1996. The survey results indicate to State and Federal officials whether the overall level and type of statewide effort to reduce the sale of tobacco to youth is adequate. The results provide a basis for negotiations between the state and the federal government about strategy for the coming year. **Table 5** shows Pennsylvania's statewide survey results and the maximum rates allowed by CSAP since 1996.

**Table 5.** Pennsylvania Maximum Rates allowed and Actual Survey Rates

<b>Year</b>	<b>Original Max Rate</b>	<b>Revised * Max Rate</b>	<b>Survey Rate</b>	<b>Survey Error</b>
1996	Baseline	n/a	50%	± 12%
1997	42%	n/a	30%	± 6%
1998	31%	n/a	31%	± 5%
1999	25%	30%	41%	± 5%
2000	20%	29%	27%	± 4%
2001	20%	25%	28%	3%
2002	20%	20%	15%	3%
2003	20%	20%	11%	2%
2004	20%	20%	7%	2%
2005	20%	20%	8%	2%
2006	20%	20%	7%	2%
2007	20%	20%	7%	2%
2008	20%	20%	5%	2%
2009	20%	20%	6%	2%
2010	20%	20%	6%	2%
2011	20%	20%	10%	2%
2012	20%	20%	9%	2%
2013	20%	20%	11%	2%

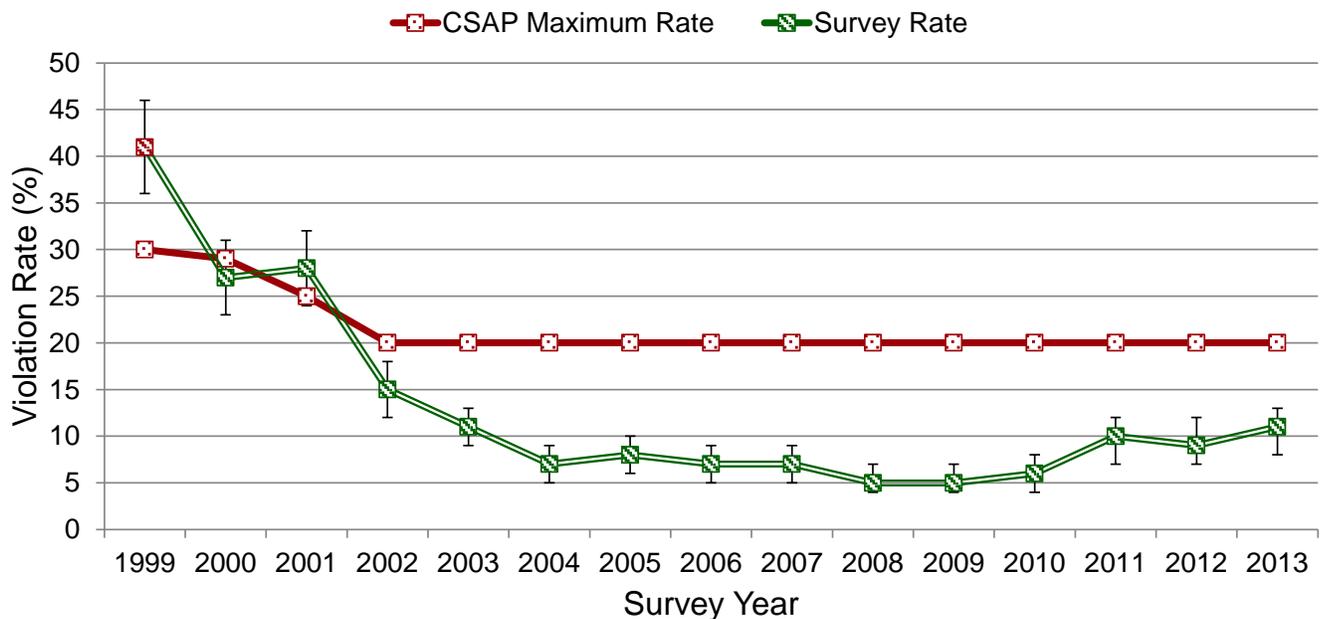
\*Revised 3/8/00

Note1: Since 2001, CSAP has required a one-sided 95 percent C.I.

Note2: All rates and errors are rounded to the nearest percent.

Pennsylvania was penalized for exceeding the 1999 maximum allowable rate set by CSAP. The penalty prompted a massive statewide campaign of enforcement, public awareness and education that still continues today. According to the data obtained from the Synar survey, Pennsylvania’s prevention efforts appear to be successful. The estimated violation rate dropped significantly after the first few years of the campaign and eventually leveled off well below federal maximum rates. Since 2002, the violation rate has been significantly lower than the Federal maximum rate of 20%. Graph 1 provides possible evidence for the success of the enforcement, awareness and education campaigns.

**Graph 1. Synar Violation Rates 1996-2013 with 95% C.I.**



**Note1:** Weighted violation rates are displayed along with their 95 percent confidence limits.

## Appendix 8

# Pennsylvania's Synar Survey Design

The purpose of most surveys is to make an inference about an entire population by only examining a small sample of the population. The Synar survey estimates the rate that outlets sell cigarettes to minors and uses a confidence interval to make an inference about the population of cigarette selling outlets. The sample used for this inference is a probability sample where every outlet in the population has a non-zero probability of being selected into the sample. By adhering to this condition, statistical inference techniques can be used to make inferences about the population.

The survey was developed using a stratified and clustered design with the primary purpose to limit the amount of error at the state level. Other levels of estimates can be obtained but they will have much larger amounts of error. For example, valid statistics can be obtained for the Health Districts, Allegheny County, Delaware County, Erie County and Philadelphia County but there will be a large amount of error. Estimates are not valid at the county level (other than the four counties mentioned above). There is a common misconception that the data collected for a particular county (other than Allegheny, Delaware, Erie or Philadelphia) can be used to obtain a “rough” estimate of the county’s violation rate. This is not true unless the entire county is a cluster. In fact, county level statistics are more misleading than making up numbers based on an educated guess. Please do not use the data in this way.

 *Important: Due to survey design, results CANNOT be calculated for individual counties other than Allegheny, Delaware, Erie and Philadelphia.*

 *Enforcement activities are not combined with the survey. The survey is used for measurement purposes only.*

The SAMHSA Synar guidelines allow vending machines to be eliminated from the survey if they are not located in places accessible to youth. Act 112 validates the removal of vending machines from the survey but if a sampled outlet is selling only through a vending machine, it must be attempted.

## Sampling Frame

A sampling frame is used to identify every element in a population. Two popular types of frames are the area frame and the list frame. An area frame contains information for geographical areas while the list frame contains identification information for the actual population elements. The Synar survey uses a list frame.

The Synar population is defined as “every outlet in Pennsylvania that sells cigarettes and is accessible to minors”, therefore the sampling frame must contain the name and address of every outlet that sells cigarettes and is accessible to minors. Most of this information can be obtained from the Department of Revenue’s “Cigarette License File” (CLF) which contains the name and address of every outlet that purchased a license to sell cigarettes in PA. The sampling frame is created from the CLF. According to Pennsylvania law, each retailer must purchase a license and provide the

name and address of the location before they can sell cigarettes from that location. The only deficiency of using the CLF is that it won't capture an outlet that never bought a license. If the outlet bought at least one license, it will be in the CLF database. Outlets selling cigarettes without a license are part of the Synar target population. Outlets could sell cigarettes without a license or they could purchase a license after the frame is created. There are two methods used to counteract these problems. First, the Department of Revenue actively identifies and prosecutes outlets that sell cigarettes without a license and therefore limits the number of outlets willing to sell illegally. Secondly, viable locations are left on the file even after they claim to be out-of-business or no longer selling in case they decide to start selling illegally or after the frame is created.

 *The Synar sampling frame is used to identify outlets that sell cigarettes, NOT outlets that purchased a license.*

The quality of the sampling frame is important to the survey processes. There are two main types of deficiencies to measure when assessing the quality of a list based sampling frame like the Synar sampling frame; over-coverage and under-coverage. Over-coverage occurs when the frame contains ineligible outlets such as outlets that are not accessible to youth, duplicate addresses, private clubs or private residences. Over-coverage is not a serious threat to the validity of the survey and there are ways to prevent it before the frame is created. For example, a series of computer programs are used to identify and eliminate duplicates, unusable records and ineligible outlets (e.g., VFW's, Elk clubs, etc.) before the frame is created. The sample frame review procedure (discussed later) is another way that identifies ineligible outlets on the Synar frame.

Although many steps are taken to prevent over-coverage, there will always be some instances of over-coverage to be dealt with during the field work. Field representatives should expect over-coverage. Some outlets are kept on the list even though they seem to be ineligible. It is better to keep an ineligible outlet on the list than to remove an eligible one by accident. To protect the validity of the survey, outlets that haven't sold cigarettes or have been out-of-business cannot be automatically taken off the current list unless they have been visited in the last 12 months. It may seem like an inconvenience but we are trying to produce the best results possible. With few exceptions, if the dwelling of the outlet remains in workable condition then it is kept on the list to prevent against the purchase of a cigarette license after the frame is created or selling without a license. To maintain survey integrity, these outlets cannot be taken off the list because our population is not defined as those outlets that buy a license but rather those outlets that sell cigarettes, either legally or illegally. It is much more harmful to the survey to eliminate outlets that should be on the list than to have outlets on the list that no longer sell cigarettes or out-of-business.

Under-coverage, on the other hand, is a serious quality problem and can be difficult to handle. Under-coverage is a term used to describe a frame that is missing eligible outlets. The Department of Revenue minimizes under-coverage by enforcing the law that every outlet selling cigarettes must purchase a license. By actively enforcing the license law, the number of outlets selling cigarettes without a license and not on the frame will be at a minimum, but there will always be those that choose to operate outside of the law. There are many reasons why an eligible outlet may not appear on the list. Reasons for not being on the list can range from the outlet is selling cigarettes without a license to the address was incorrectly entered into the database. All of these are under-coverage issues and can bias the survey results. If an outlet is eligible and not on the list, it doesn't have a

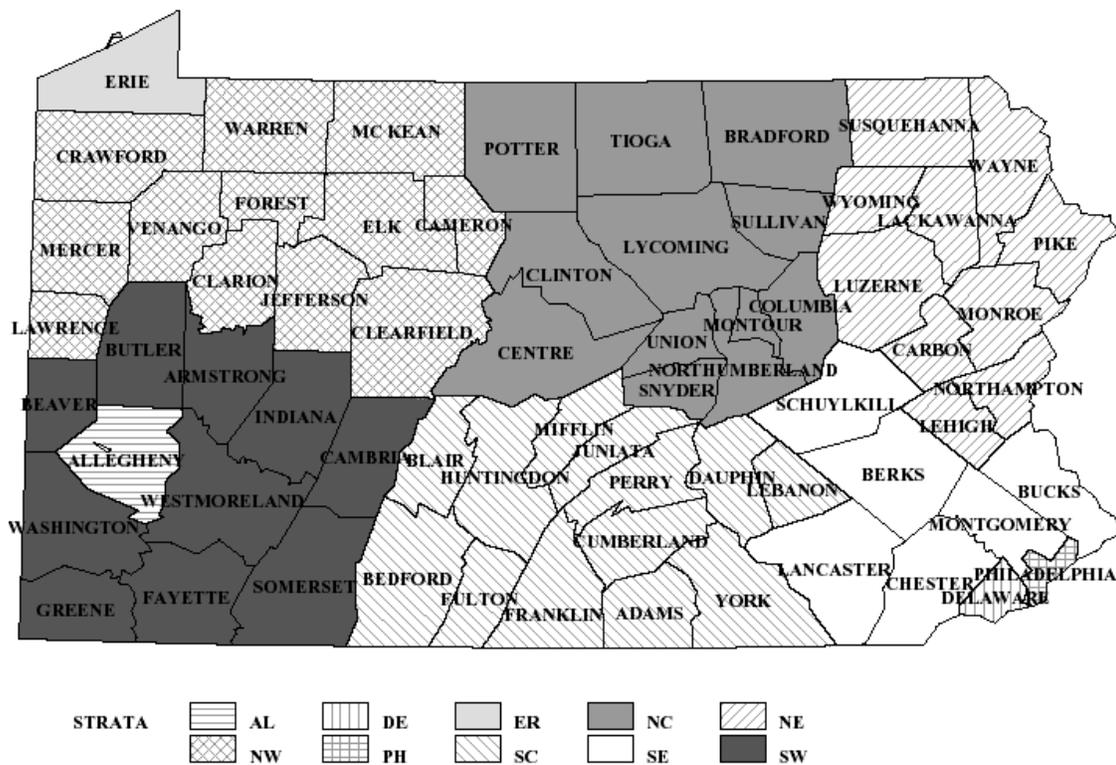
chance to be selected into the survey and it has a zero probability of selection. A probability survey, like the Synar survey, is based on the assumption that every element of the population has a non-zero probability of selection and the zero probability caused by under-coverage will jeopardize the survey results. If the missing outlets all had a common trait then an entire section of the population that doesn't have a chance to be selected into the survey because they are not on the list. Imagine further if this group had the same preference on selling cigarettes to minors.

Under-coverage is such a serious threat to survey validity that CSAP requires the testing of the sampling frame every few years. The list is tested using a coverage survey designed to check for eligible outlets not on the list. If the coverage rate (rate of eligible outlets on the list) is too low, another way to create the sampling frame will have to be devised.

## Stratification

The entire population is placed into separate and distinct subpopulations or strata (*see Figure 13*). Every eligible outlet location on the sampling frame is grouped into 10 mutually exclusive and exhaustive geographical strata consisting of the Northcentral Health District (NC), Northeast Health District (NE), Northwest Health District (NW), Southcentral Health District (SC), Southeast Health District (SE), Southwest Health District (SW), Allegheny (AL), Delaware (DE), Erie (ER) and Philadelphia (PH). If the survey error is not too high, data collected for these strata can be used to develop separate within-stratum estimates and statewide estimates after weighting.

**Figure 13.** 2014 Synar Strata



## Clustering

The outlets within the six “District” strata (NC, NE, NW, SC, SE and SW) are grouped into geographic clusters of adjacent zip codes. A predetermined number of these clusters are sampled and a predetermined number of outlets are selected within the cluster. Since the outlets in each cluster are designed to be geographically close, travel costs are reduced. The size (number of outlets) of the cluster can vary between 40 and 1 less than the sampling interval of the PSU. Every year new outlets are added, old outlets are removed and clusters are reviewed and adjusted so they comply with the size criteria. The outlets in Allegheny, Delaware, Erie and Philadelphia counties are not part of the six District strata, they are referred to as the random areas or strata.

## Sampling

### Clustered Areas

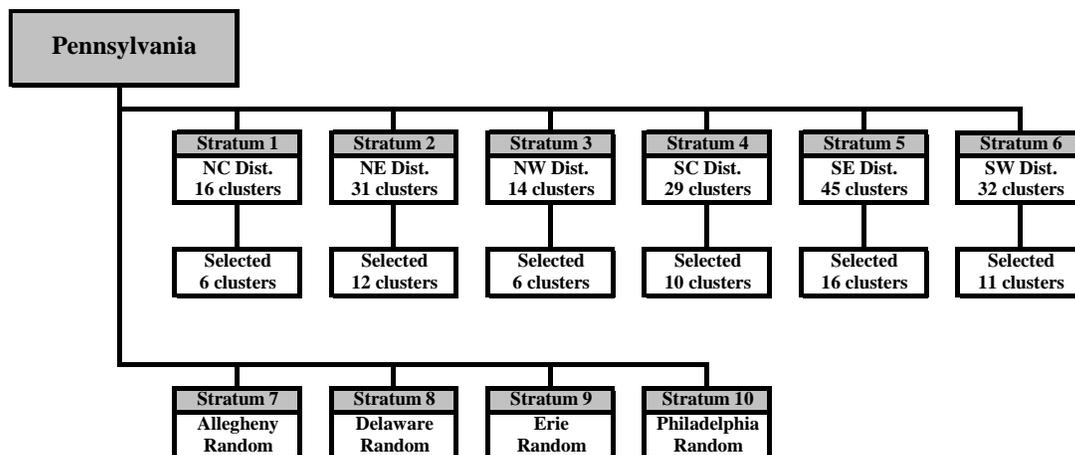
The clustered areas use a two stage sampling design. The first stage consists of selecting a pre-determined number of PSUs (clusters) from within each stratum using the probability proportionate to the size (PPS) sampling technique. Size of the cluster refers to the number of outlets within the cluster. PPS sampling assures that the larger clusters (more outlets) have a greater chance to be selected but the probability of selection for each individual outlet remains equal. Figure 14 illustrates the first stage sampling design.

Stage two involves randomly selecting a pre-determined number of outlets from each of the sampled clusters. PPS sampling demands that the same number of outlets are selected from each cluster. The current sampling plan requires 17 outlets to be selected from each cluster that is sampled.

### Random Areas

The outlets within the single county strata of Allegheny, Delaware, Erie and Philadelphia are selected using a simple random selection process. For each county stratum, every outlet is given a random number, sorted by that random number and a pre-determined number of outlets are selected from within each of the counties.

**Figure 14.** First Stage Sample Design



## Appendix 9

### Glossary

**Adult Participant.** Any adult involved in conducting the compliance checks. An adult participant can also be referred to as an “Adult Supervisor” or “Adult Driver”.

**Adult Supervisor.** The adult responsible for supervising the compliance checks. The supervisor’s responsibilities include: supervising youth, ensuring the safety of the youth, observing the outlet before the youth enters and maintaining youth morale. The supervisor can also be the driver.

**Adult Driver.** The adult responsible for driving the teen from outlet to outlet. Adult driver can be the supervisor but doesn’t have to be.

**Annual Synar Report.** Name of the report sent to CSAP that describes the results of the Synar Survey. The report is part of the Substance Abuse Prevention and Treatment block grant.

**Bar Counter.** The serving area or counter area surrounding or in front of the alcohol in an outlet that serves alcohol for on-site consumption. It is normally where drinks are mixed by a bartender and the place where the beer taps are located.

**Check.** See *Compliance Check*.

**Cigarette License File.** The Department of Revenue’s database containing the identification information for every establishment that purchased a license to sell cigarettes in Pennsylvania. According to state law, an establishment must purchase a license to sell cigarettes and provide the name and address of the outlet selling the cigarettes. This file is used to create the Synar sampling frame.

**Cigarette Outlet.** An establishment where cigarettes are sold over-the-counter by the pack.

**Cigarette Vendor.** The person or group that owns the license to sell cigarettes.

**Clerk.** The employee who asks for and collects the money for cigarettes. This is the person who decides whether or not to sell cigarettes to the youth.

**Cluster.** Group of licensed cigarette outlets that are geographically close to one another. The number of outlets in a cluster will vary from 40 to a number lower than the sampling interval of the stratum.

**Cluster Area (Clustered Area).** Areas that use cluster sampling. All areas use cluster sampling with the exception of Allegheny County, Delaware County, Erie County and Philadelphia County.

**Cluster Sampling.** A type of multi-stage sampling plan involving groups (clusters) of sampling units. For the Synar Survey, clusters are sampled then units within the cluster are sampled.

**Completion.** The outcome of a compliance check when the result is a “Sale” or a “Refusal”.

**Completion Rate.** The ratio of the number of completions to the number of eligible outlets in the original sample.

**Compliance Check.** The act of attempting to purchase cigarettes by an underage person. Compliance Checks are used to determine if an outlet is in “compliance” with the tobacco law. If the outlet does not sell cigarettes to the minor, they are in compliance.

**Confidence Interval (C.I.).** The tool used with sample data to make an inference about the population. All confidence intervals involve a probability level and an interval computed from the survey data. CSAP requires each state to report their Synar results as a right-sided 95% confidence interval assuming a normal distribution.

**Contractor.** Person or group contracted by the Department of Health responsible for conducting the Synar survey within a specific area.

**Coverage Survey.** A survey used to test the under-coverage of the sampling frame. The survey is separate from the Synar survey that uses the sampling frame.

**CSAP.** The Center for Substance Abuse Prevention is the federal agency in charge of overseeing the implementation of the Synar regulation. CSAP is a sub group of SAMHSA.

**Eligible Outlet.** An outlet that sells cigarettes over-the-counter and is accessible to all youth between the ages of 15 and 17.

**Field.** The venue in which cigarette outlets are visited, survey data are collected and the paper work is completed. This is where the compliance checks are conducted. Field can also refer to a section of a collection form where data is entered.

**Fieldwork.** All work involved with conducting a compliance check and completing the survey forms.

**Field representatives.** See *Field Staff*.

**Field Staff.** Volunteers, staff and contractors that conduct the compliance checks and complete the survey forms. Adult and Youth participants comprise the field staff.

**Inspection.** See *Compliance Check*.

**Non-completion.** The outcome of a compliance check does not result in a “Sale” or a “Refusal”.

**Outcome.** The result of a compliance check. It can be a “Sale”, “Refusal” or “Non-completion”.

**Over-coverage.** A term used to describe a sampling frame that contains ineligible elements. Over-coverage for the Synar survey means the frame contains outlets such as those inaccessible to youth, with duplicate addresses, out-of-business or no longer selling cigarettes.

**Population.** The total set of all elements being studied. A sample is selected from this group to make an

inference about the population. The Synar population is every outlet in Pennsylvania that sells cigarettes and is accessible to minors. For the Synar survey, this population is also called the “target population”.

**PPS.** Probability Proportional to Size (PPS) is the name of a sampling technique where sampling units are selected with a probability proportional to the size of the unit. In the Synar survey, the cluster is the sampling unit and the size is the number of outlets within the cluster. In short, a cluster with a greater number of outlets has a greater chance of being selected than one with fewer outlets.

**Probability Sample.** A sample taken from a population where every element of the population has a chance to be selected into the sample. In other words, every element in the population of a probability sample has a known nonzero probability of being selected into the sample.

**PSU.** The Primary Sampling Unit is selected in the first stage of sampling in a multistage design. The PSU for the Synar Survey is the cluster.

**Random Area.** Areas where simple random sampling (SRS) was used. The random areas are Allegheny, Delaware, Erie and Philadelphia.

**Refusal.** The outcome of the survey characterized by the clerk refusing to sell cigarettes to the surveyor.

**Response Rate.** See *Completion Rate*.

**RPC.** The Regional Primary Contractors are in charge of coordinating all fieldwork in their District.

**Sale.** The outcome of the survey characterized by the clerk selling cigarettes to the surveyor.

**SAMHSA.** The Substance Abuse and Mental Health Services Administration is an agency of the U.S. Department of Health and Human Services. SAMHSA oversees CSAP who regulates the Synar survey.

**Sample.** A subset or small portion of a population.

**Sample Design.** A set of rules or procedures that specify how a sample is selected.

**Sample location.** The address of an outlet selected for the survey.

**Sampling Frame List.** A list that identifies every element in the population. The sample is selected from this list.

**Sampling Interval.** The sampling interval is the rate that clusters are sampled or

$$i = \frac{N}{n},$$

where  $i$  is the sampling interval,  $N$  is the total number of outlets in the stratum and  $n$  is the total number of clusters in the stratum.

**SAPT.** The Substance Abuse Prevention and Treatment block grant is the reporting vessel for the Synar Survey. The actual report is called the Annual Synar Report, but it is part of the SAPT block Grant.

**Simple Random Sampling (SRS).** The most basic type of probability sampling. Elements are randomly selected without clustering or stratification.

**Standard Error.** See *Survey Error*.

**Stratum (pl. Strata).** A mutually exclusive and exhaustive subgroup of the population. For the Synar survey, the entire population to be sampled is divided into separate and distinct subpopulations or strata. Every eligible outlet location on the sampling frame is grouped into 10 mutually exclusive and exhaustive geographical strata consisting of the Northcentral Health District (NC), Northeast Health District (NE), Northwest Health District (NW), Southcentral Health District (SC), Southeast Health District (SE), Southwest Health District (SW), Allegheny (AL), Delaware (DE), Erie (ER) and Philadelphia (PH).

**Supplemental Sample.** Additional sample issued when the minimum number of completions is not achieved.

**Survey.** A technique of collecting information from a sample of a population and using that information to make an inference about the entire population.

**Survey Error.** The positive square root of the sampling variance for a sampling distribution of an estimator. For the Synar survey, the survey error is computed for the violation rate estimator.

**Survey Rate.** See *Violation Rate*.

**Survey Validity.** Generic term given to describe the confidence we have that the survey can realistically describe the population. Noncompletions and bias are aspects that will negatively affect the validity of the survey and lessen our confidence that the survey is truly describing the population.

**Team Leader.** Person in charge of compliance checks for a particular area. This person is responsible for recruiting adults and youth to participate in the survey. They may also serve as a supervisor or driver.

**Under-coverage.** A term used to describe a sampling frame that is missing eligible elements (outlets). Reasons for not being on the list can range from the outlet is selling cigarettes without a license to the address was incorrectly entered into the database.

**Vending Machine.** A coin/bill operated machine that dispenses cigarettes.

**Violation Rate.** The primary estimate produced by the Synar survey. It represents the percent of outlets that violated the law prohibiting retailers to sell cigarettes to minors. It is the ratio of outlets that sold cigarettes (to minors) to all eligible outlets in the survey.

**Visit.** See *Compliance Check*.

**Youth Participant.** Any youth involved in conducting the compliance checks.

# **Appendix 10**

## **Attachments**

### **Form Examples**

**Attachment 1:** Survey Report Form

**Attachment 2:** Compliance Sheet

**Attachment 3:** Batch Control Sheet

**Attachment 4:** Area Accounting Form

### **Agreement/Consent Forms**

Statewide Tobacco Outlet Survey Inspection Underage Buyer Form

Statewide Tobacco Outlet Survey Inspection Parent/Guardian Permission Form

Statewide Tobacco Outlet Survey Inspection Designated Adult Supervisor Form

### **Survey Verification**

Letter of Verification



Draft

**SURVEY REPORT FORM (Synar 2014)**

Pennsylvania Department of Health

<b>Area</b>	<b>Sample</b>	<b>License</b>	<b>Date of visit</b>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/> / <input type="text"/> / <input type="text"/> <input type="text"/>

**Outlet Location**

<input type="text"/>

**4. Gender of buyer**

Male       Female

**5. Age of buyer**

15     16     17

**6. Is the buyer of Hispanic, Latino, or Spanish origin?**

Yes     No

**1. What was the outcome?**

Sale       Refusal       Non-completion

**7. Race of buyer**

White       Asian  
 Black       Other

**2. Type of retail outlet (select one)**

Bar/tavern (1)       News outlet (7)  
 Beer distributor (2)       Restaurant/deli (8)  
 Convenience-gas (3)       Supermarket (9)  
 Convenience-grocery-no gas (4)       Tobacco (10)  
 Dollar Store (5)       (EMP-LOT-PVR-UNL)  
 Pharmacy/drug store (6)       Other \_\_\_\_\_

**8. Does the outlet serve alcohol for on-site consumption?**

Yes     No     Unknown

**9. Was adult supervisor in the outlet?**

Yes     No

**10. Was buyer asked to show ID?**

Yes     No

**11. Was buyer asked his/her age?**

Yes     No

**3. Non-completion type (select one)**

(CBB) Cigarettes Behind Bar (1)     (OCN) Outlet Closed/Not Access. (8)  
 (BNA) Bar Not Accessible (2)     (ONA) Other/Not Accessible (9)  
 (DNS) Does Not Sell (3)     (PCL) Private Club (10)  
 (DUP) Duplicate (4)     (PVR) Private Residence (11)  
 (EMP) Empty Building (5)     (UNL) Unlocatable (12)  
 (TV) Itinerant Vendor (6)     (ACC) Accessible-Other (13)  
 (LOT) Empty Lot (7)     (ODG) Outlet Dangerous (14)

**12. Were warning signs visible?**

Yes     No

**13. Gender of clerk**

Male     Female

**14. Location fields are accurate**

Yes     No

**15. Time of visit (military)**

**Notes:** \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

## Attachment 2: Over-the-Counter Compliance Sheet (Example only)

SYNAR 2013 COMPLIANCE SHEET

CENTRE

NORTH CENTRAL DISTRICT  
AREA NUMBER 101

	SALE	REFUSAL	NON-COM	NON-COMPLETION TYPE (3 LETTER CODE)
1 UNITED REFINING CO OF PA M38 KWIK FILL RT 53 PHILIPSBURG 16866	_____	_____	_____	_____
2 UNI-MARTS INC 04007  RT 53 PHILIPSBURG 16866	_____	_____	_____	_____
3 NITTANY OIL CO INC PHILIPSBURG MINIT MART 325 N FRONT ST PHILIPSBURG 16866	_____	_____	_____	_____
4 FROSTY HOOK HOTEL INC FIREHOUSE LN PO BOX 161 SPRING MILLS 16875	_____	_____	_____	_____
5 COUNTRY GARDEN SIX-PACK RT 322 W CLEARFIELD HWY PO BOX 585 PHILIPSBURG 16866	_____	_____	_____	_____
6 HALLS IGA DIV HALL BROS INC 491 E SYCAMORE RD SNOW SHOE 16874	_____	_____	_____	_____
7 PENN TRAFFIC COMPANY BILO FOODS 216 PLSNT HILL RT 322 W PHILIPSBURG 16866	_____	_____	_____	_____
8 US PETROLM & DSEL INC CITGO TRUCK STOP PO BOX 514 PORT MATILDA 16870	_____	_____	_____	_____
9 RICHMOND,WILLIAM/PERRY M  RICHMONDS SV STATION PHILIPSBURG 16866	_____	_____	_____	_____

**Attachment 3: Batch Control Sheet (Example Only)**

**BATCH CONTROL SHEET**  
*Synar 2014*

<b>Health District:</b>	NC
-------------------------	----

<b>Area Surveyed:</b>	
-----------------------	--

<b>Area Number:</b>	101
---------------------	-----

<b>Batch Start Date:</b>	
--------------------------	--

<b>Batch End Date:</b>	
------------------------	--

Designated Adult Supervisors:

NAME	ORGANIZATION	Email

Complete List of Youth Participants used for this Cluster:

	NAME	AGE	GENDER	Outlets Visited
1				
2				
3				
4				
5				
6				
<b>Total Outlets Visited:</b>				

Survey Report Forms Accountability:

OUTCOME	COUNT	TOTALS	COUNT
SALE		<b>TOTAL COMPLETIONS (Sale + Refusal)</b>	
REFUSAL		<b>TOTAL COMPLETIONS + NON-COMPLETIONS</b>	
NON-COMPLETION			



**STATEWIDE TOBACCO OUTLET SURVEY INSPECTION  
UNDERAGE BUYER FORM**

Carefully read each item below. Your signature at the end of this Form signifies your understanding of this information and your willingness to abide by all terms herein. The signature of your parent or legal guardian signifies that they have read this Form. A separate permission form for you to participate in the Statewide Tobacco Outlet Survey Inspection (Project) is to be signed by your parent or legal guardian and submitted with this Form.

1. I understand that the purpose of this Project is to monitor vendors on their compliance with the law which prohibits the sale or distribution of tobacco products to persons under the age of 18.
2. I agree that I will attend an in-service training using materials and training, as directed by the Project staff.
3. I agree to meet with the designated adults at specified locations and times for this Project as identified by Regional Primary Contractors.
4. I understand that specific information about this Project is confidential and agree that I will not discuss outcomes or details of any specific compliance check including, but not limited to, vendor locations, persons making alleged sales to underage buyers, and/or staff involved in operations, unless directed to do so by Project staff.
5. I understand and agree that I am not to pursue or participate in any activity relating to tobacco age of sale law violations, unless I am under the direct supervision of an adult designated by the Regional Primary Contractors with supervisory responsibilities for this Project.
6. I recognize that I will not be committing an illegal act by purchasing or attempting to purchase tobacco products while participating in this Project.
7. I agree not to violate any laws or commit any crimes while participating in this Project.
8. I agree to give my age truthfully if asked by the vendor.
9. I will relinquish all tobacco products and money from completed purchases - or purchase money from incomplete purchases - to the designated adult supervising this Project.
10. I understand that I may be asked to testify, if necessary, in any hearings related to the purchase of tobacco products.
11. I understand that willful misconduct or violations in the above conditions will result in my removal from this Project.
12. I understand that my participation in this Project begins with my signature on this Form and is terminated at the time this Project is completed.

We, the undersigned, have reviewed the above Underage Buyer Form and agree to abide by all terms. We further state that the information regarding name, address and date of birth, given below, is correct.

\_\_\_\_\_  
Printed Name of Youth Participant

\_\_\_\_\_  
Current Age

\_\_\_\_\_  
Date of Birth

\_\_\_\_\_  
Signature of Youth Participant

\_\_\_\_\_  
Date Signed

\_\_\_\_\_  
Address of Youth Participant (Include Street, City, State, and ZIP Code)

\_\_\_\_\_  
Printed Name of Parent/Guardian

\_\_\_\_\_  
Signature of Parent/Guardian

\_\_\_\_\_  
Date Signed

**STATEWIDE TOBACCO OUTLET SURVEY INSPECTION  
PARENT/GUARDIAN PERMISSION FORM**

Please read this Form. Your signature at the end of this Form signifies your understanding and your permission to allow your youth to participate in the Statewide Tobacco Outlet Survey Inspection (Project). This Form accompanies a separate Underage Buyer Understanding to be signed by the youth participant and the parent/guardian.

**BACKGROUND**

Federal legislation requires states to monitor sales of tobacco products to persons under the age of 18. The method used to monitor such sales is to have underage youths, supervised by trained adults, attempt to purchase tobacco products. Your youth has expressed an interest in participating in this Project. Your youth will be joining other young people under age 18 in visiting local tobacco vendors and attempting to purchase tobacco products. All youth participants will be accompanied to the locations by trained adults and each youth participant will be trained. Money to purchase the tobacco products will be provided. Your youth may be asked to testify, if necessary, in any hearings related to the purchase of tobacco products. If a sale is made to your youth, the tobacco product will be handed over to a designated adult.

**INFORMED CONSENT**

I understand that the nature of this Project is to monitor vendors on their compliance with the law which prohibits the sale or distribution of tobacco products to persons under the age of 18. I give my permission for my youth to participate in this activity.

\_\_\_\_\_  
Printed Name of Youth Participant

\_\_\_\_\_  
Printed Name of Parent/Guardian

\_\_\_\_\_  
Signature of Parent/Guardian

\_\_\_\_\_  
Date Signed

\_\_\_\_\_  
Address of Parent/Guardian (Include Street, City, State, and ZIP Code)

**STATEWIDE TOBACCO OUTLET SURVEY INSPECTION  
DESIGNATED ADULT SUPERVISOR FORM**

Carefully read each item below. Your signature at the end of this Form signifies your understanding of this information and your willingness to abide by all terms herein.

1. I understand that the purpose of the Statewide Tobacco Outlet Survey Inspection (Project) is to monitor vendors on their compliance with the law which prohibits the sale or distribution of tobacco products to persons under the age of 18.
2. I agree that I will attend an in-service training and use only the materials provided by the Commonwealth of Pennsylvania Department of Health.
3. I agree to meet with the youth participants at specified locations and times for this Project as identified by the Regional Primary Contractor and provide supervision for those youths as part of this Project.
4. I understand that specific information about this Project is confidential and agree that I will not discuss outcomes or details of any specific compliance check including, but not limited to, vendor locations, persons making alleged sales to underage buyers, and/or staff involved in operations, unless specifically directed to do so by Project staff.
5. I understand and agree that I am not to pursue or participate in any activity relating to tobacco age of sale law violations other than as part of this Project.
6. I agree not to violate any laws or commit any crimes while participating in this Project.
7. I confirm that I have a valid Pennsylvania driver's license and current state-mandated automotive insurance policy.
8. I understand that I may be asked to testify, if necessary, in any hearings related to the purchase of tobacco products.
9. I understand that my participation in this Project begins with my signature on this Form and is terminated at the time this Project is completed.

I have reviewed the above Designated Adult Supervisor Form and agree to abide by all terms. I further state that I am over the age of 21.

\_\_\_\_\_  
Printed Name of Designated Adult Supervisor

\_\_\_\_\_  
Signature of Designated Adult Supervisor

\_\_\_\_\_  
Date Signed

\_\_\_\_\_  
Address of Designated Adult Supervisor (Include Street, City, State, and ZIP Code)

\_\_\_\_\_  
Pennsylvania Department of Health or Local Government Agency



(717) 783-6600

July 2014

## **LETTER OF VERIFICATION**

TO WHOM IT MAY CONCERN:

July 1992, Congress enacted the ADAMHA (Alcohol, Drug Abuse and Mental Health Administration) Reorganization Act (P.L. 103-321) which included an amendment (Section 1926) with the goal to decrease minors' access to tobacco products. The Synar legislation requires states to conduct random, unannounced inspections of tobacco outlets and report these findings annually to the Secretary of the U.S. Department of Health and Human Services.

The Statewide Tobacco Outlet Survey (Synar Survey) is conducted to obtain an estimate of merchant compliance with laws forbidding the sale of tobacco products to persons under the age of 18. The bearer of this Letter of Verification is authorized to conduct this survey on behalf of the Pennsylvania Department of Health.

If you have questions or concerns regarding the Statewide Tobacco Outlet Survey, please contact Judy Ochs, Director or Barbara Caboot, Division of Tobacco Prevention and Control, at (717) 783-6600.

Sincerely,

Judy A. Ochs  
Director  
Division of Tobacco Prevention and Control

## COMPLETING THE SURVEY REPORT FORM

- Use only a black ballpoint pen to complete the form.
- Do not use pencils to complete the form.
- Do not place stickers or labels on the form.
- Do not use white-out, liquid paper or any other correction fluid on the form.
- Completely shade all circles on the form.
- Do not use an "x" or a checkmark to mark the circles on the form.
- Make all characters and numbers legible.
- Complete one form for every outlet listed (both completions and non-completions).
- Verify that the required questions are completed on every form.
- If outcome is EMP, LOT, PVR or UNL then question #2 must be marked as "EMP-LOT-PVR-UNL". No exceptions.
- Beer distributors do not serve alcohol to be consumed on site. Therefore, they are marked "No" for question 8.
- If BNA with a sign, you must place the exact wording of the sign in the notes section of the Report Form. For example, "Q3-sign-No one under 21 permitted", "Q3-sign-Minors not Allowed", etc.

Shade Circles Like This--> ●

Not Like This--> 

## PACKAGING FORMS

- Staple (top left corner) all Compliance Sheets of the same area together and in numerical order.
- Place all Report Forms in numerical order according sample number within each area. **Do not staple Report Forms!**
- Staple (top left corner) the Area Accounting form behind the Batch Control Sheet.
- Do not fold any forms.
- For each area, place the Batch Control sheet on top followed by the Area Accounting Form (which is stapled to the Batch Control Sheet), then the Compliance Sheets, finally the Report Forms.
- Place all forms in a large envelope so they do not bend.
- Mail only the original Report Forms to the Division of Statistical Support (never fax the forms or send copies).

## OUTLET TYPES

- **Bar/Tavern** – These establishments serve alcoholic drinks (beer, wine, liquor, and cocktails) for consumption on the premises. A bar/tavern is required to have a bar counter with at least one beer tap behind it. In many establishments, it is difficult to distinguish between a bar/tavern and a restaurant. For the Synar, if the cigarettes are sold near the bar counter, categorize it as a bar/tavern. If the cigarettes are sold in the restaurant area, categorize it as a restaurant.
- **Beer Distributor** – A beer distributor sells beer by the case. It does not allow on-site consumption.
- **Convenience-gas** – These establishments are engaged in retailing a limited line of goods that generally includes milk, bread, soda, and snacks AND must be selling gasoline or diesel fuel at the location. Examples: Turkey Hill, Sheetz, Rutters, Wawa, Sunocco A-Plus, Hess, BP, Exxon, Citgo, Valero, Shell, Getty, 7-Eleven, Giant Gas Kiosk, Lehigh Gas, CoGo's, Kwik Fill.
- **Convenience-grocery-no gas** – These establishments are engaged in retailing a limited line of goods that generally includes milk, bread, soda, and snacks but do not sell gasoline at the location. These establishments can be independently owned or belong to a regional or national chain. These outlets can be referred to as country stores, corner stores, general stores, local markets, mini markets, convenience stores, grocery stores or "Mom & Pop" establishments.
- **Dollar store** – These establishments are variety stores that sell a wide range of inexpensive household goods. These establishments often sell all goods at a single price. Product lines at these establishments may include: food and drink, personal hygiene products, small home and garden tools, office supplies, decorations, electronics, garden plants, toys, pet supplies, motor and bike consumables. Larger stores may sell frozen foods and fresh produce.
- **Pharmacy/drug store** – These establishments can be retail stores centrally featuring a pharmacy selling prescription and over-the-counter medications. These establishments may sell not only medicines, but also miscellaneous items such as: candy, cosmetics, cleaning supplies, magazines, and paperback books. These stores may sell light refreshments, milk, bread and frozen food. They may be part of a national or regional chain of outlets or owned and operated by an independent pharmacist. Their major image is as a pharmacy.
- **News outlet** – News outlets primarily sell newspapers and magazines. They usually sell other items like candy, but their main purpose is selling newspapers and magazines. Include outdoor news stands in this category.
- **Restaurant/deli** – These establishments are primarily engaged in providing food services to patrons who order. They can be served in the following scenarios: while seated (i.e. waiter/waitress service) and pay after eating, or where patrons generally order or select items and pay before eating. For the Synar, if the cigarettes are sold near the bar counter, categorize it as a bar/tavern. If the cigarettes are sold in the restaurant area, categorize it as a restaurant. These establishments may provide carry out services. A list of establishments that may fall under this category are: diner, pizza shop, sub shop, Chinese take-out, café, coffee shop, or delicatessen.
- **Supermarket** – Supermarkets sell food and household items in a large facility. It is a departmentalized self-service store offering a wide variety of food and household merchandise. Examples: Weis, Giant, Walmart, Kmart, ACME, Clemens, Food Lion, Giant Eagle, Karns, Save-A-Lot, Shop 'n Save.
- **Tobacco** – The tobacco category covers all tobacco outlets, cigarette outlets and cigar shops. These outlets sell tobacco (cigarettes, cigars and/or smokeless tobacco) as their main product.
- **EMP-LOT-PVR-UNL** – This category is reserved for those outlets that meet both of the following criteria:
  - The outcome of the check is a non-completion
  - The non-completion type is UNL, PVR EMP or LOT.
- **Other** - Use this category for locations that do not fit in any of the above categories. Describe the type of outlet in the space provided next to the other category. Examples: check cashing outlets, Laundromats, golf pro shops, hotels, motels, record outlets, clothing outlets, book stores, hardware stores, video stores, campgrounds, prisons, bowling lanes (not in the bar), fire halls, Gateway clipper (boat), train stations, auto auctions, bait shops, car dealerships.