

# **ANNUAL SYNAR REPORT**

**42 U.S.C. 300x-26**

OMB № 0930-0222

**FFY 2021**

**State: North Carolina**

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OMB No. 0930-0222

Expiration Date: 06/30/2021

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## INTRODUCTION

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

### **How the Synar report helps the Center for Substance Abuse Prevention**

In accordance with the tobacco regulations, states are required to provide detailed information on progress made in enforcing youth tobacco access laws (FFY 2020 Compliance Progress) and future plans to ensure compliance with the Synar requirements to reduce youth tobacco access rates (FFY 2021 Intended Use Plan). These data are required by 42 U.S.C. 300x-26 and will be used by the Secretary to evaluate state compliance with the statute. Part of the mission of the Center for Substance Abuse Prevention (CSAP) is to assist states<sup>1</sup> by supporting Synar activities and providing technical assistance helpful in determining the type of enforcement measures and control strategies that are most effective. This information is helpful to CSAP in improving technical assistance resources and expertise on enforcement efforts and tobacco control program support activities, including state Synar program support services, through an enhanced technical assistance program involving conferences and workshops, development of training materials and guidance documents, and onsite technical assistance consultation.

### **How the Synar report can help states**

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

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

## Getting assistance in completing the Synar report

If you have questions about programmatic issues, you may call CSAP's Division of State Programs at (240) 276-2550 and ask for your respective State Project Officer, or contact your State Project Officer directly by telephone or email. If you have questions about fiscal or grants management issues, you may call the Grants Management Officer, Office of Financial Resources, Division of Grants Management, at (240) 276-1422.

## Where and when to submit the Synar report

The ASR must be received by SAMHSA no later than December 31, 2020 and must be submitted in the format specified by these instructions. Use of the approved format will avoid delays in the review and approval process. The chief executive officer (or an authorized designee) of the applicant organization must sign page one of the ASR certifying that the state has complied with all reporting requirements.


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

- FFY 2021 Synar Survey Results: States that use the Synar Survey Estimation System (SSES) must upload one copy of *SSES Tables 1–8* (in Excel) to WebBGAS. **Please note that, beginning with the FFY 2021 ASR, SSES will generate Tables 6, 7, and 8, which are based on the optional microdata on product type, retail outlet type, and whether identification was requested. If your state does not submit these optional data, Tables 6, 7, and 8 will be blank. Tables 6, 7, and 8 are generated for the convenience of the state, and states are not required to submit completed versions of Tables 6, 7, or 8.** States that do not use SSES must upload one copy of ASR Forms 1, 4, and 5, and Forms 2 and 3, if applicable, (in Excel), as well as a database with the raw inspection data to WebBGAS.
- Synar Inspection Form: States must upload one blank copy of the inspection form used to record the result of each Synar inspection.
- Synar Inspection Protocol: States must upload a copy of the protocol used to train inspection teams on conducting and reporting the results of the Synar inspections. This document should be different than the Appendix C attached to the Annual Synar Report.
- A scanned copy of the signed Funding Agreements/Certifications

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

## FFY 2021: FUNDING AGREEMENTS/CERTIFICATIONS

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

<b>PUBLIC HEALTH SERVICES ACT AND SYNAR AMENDMENT</b>
42 U.S.C. 300x-26 requires each state to submit an annual report of its progress in meeting the requirements of the Synar Amendment and its implementing regulation (45 C.F.R. 96.130) to the Secretary of the Department of Health and Human Services. By signing below, the chief executive officer (or an authorized designee) of the applicant organization certifies that the state has complied with these reporting requirements and the certifications as set forth below.
<b>SYNAR SURVEY SAMPLING METHODOLOGY</b>
The state certifies that the Synar survey sampling methodology on file with the Center for Substance Abuse Prevention and submitted with the Annual Synar Report for FFY 2021 is up-to-date and approved by the Center for Substance Abuse Prevention.
<b>SYNAR SURVEY INSPECTION PROTOCOL</b>
The state certifies that the Synar Survey Inspection Protocol on file with the Center for Substance Abuse Prevention and submitted with the Annual Synar Report for FFY 2021 is up-to-date and approved by the Center for Substance Abuse Prevention.
<b>State:</b> North Carolina
<b>Name of Chief Executive Officer or Designee:</b> Kody Kinsley
<b>Signature of CEO or Designee:</b> <div style="text-align: center;"> <small>DocuSigned by:</small>    <small>D7816E4CBA6F4A8...</small> </div>
<b>Title:</b> Deputy Secretary for Behavioral Health & IDD <b>Date Signed:</b> 11/23/20   6:49 PM EST
<b>If signed by a designee, a copy of the designation must be attached.</b>

FFY: 2021 State: North Carolina**SECTION I: FFY 2020 (Compliance Progress)****YOUTH ACCESS LAWS, ACTIVITIES, AND ENFORCEMENT**

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

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

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

☐ Yes ☒ No

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

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

☐ Yes ☒ No

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

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

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

Licensing of tobacco vendors ☐ Yes ☒ No  
 Penalties for sales to minors ☐ Yes ☒ No  
 Vending machines ☐ Yes ☒ No  
 Added product categories to youth access law ☐ Yes ☒ No

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

- ☐ Placed on file for public review  
☒ Posted on a state agency Web site (Please provide exact Web address and the date when the FFY 2021 ASR was posted to this Web address.)

Web address: <https://www.ncdhhs.gov/divisions/mental-health-developmental-disabilities-and-substance-abuse/reports/annual-synar-report?>

Date published: 12/1/2020

- ☐ Notice published in a newspaper or newsletter  
☐ Public hearing

- ☐ Announced in a news release, a press conference, or discussed in a media interview
- ☒ Distributed for review as part of the SABG application process
- ☐ Distributed through the public library system
- ☐ Published in an annual register
- ☐ Other *(Please describe.)* \_\_\_\_\_

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

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

NC Department of Health and Human Services, Division of Mental Health Developmental Disabilities and Substance Abuse Services.

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

☐ Yes ☒ No

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

NC Department of Public Safety, State Bureau of Investigation, Alcohol Law Enforcement Branch (ALE).

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

☐ Yes ☒ No

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

NC Department of Public Safety, State Bureau of Investigation, Alcohol Law Enforcement Branch.

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

☐ Yes ☒ No

**4. Identify the following agencies and describe their relationship with the agency responsible for the oversight of the Synar requirements.**

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

NC Department of Health and Human Services, Division of Public Health, Tobacco Prevention and Control Branch.

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

☐ Yes ☒ No

**c. Describe the coordination and collaboration that occur between the agency**

**responsible for tobacco prevention and the agency responsible for oversight of the Synar requirements. (Check all that apply.) The two agencies**

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

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

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

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

NC Department of Health and Human Services, Division of Mental Health Developmental Disabilities and Substance Abuse Services.

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

- ☐ Yes   ☒ No

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

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

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

- ☐ Yes   ☒ No



**5. Please answer the following questions regarding the state's activities to enforce the state's youth access to tobacco law(s) in FFY 2020 (see 42 U.S.C. 300x-26 and 45 C.F.R. 96.130(e)).**

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

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

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

PENALTY	OWNERS	CLERKS	TOTAL
Number of <u>citations issued</u>	3	66	69
Number of <u>finest assessed</u>	1	13	14
Number of <u>permits/licenses suspended</u>	NA		NA
Number of <u>permits/licenses revoked</u>	NA		NA
Other (Please describe.)	NA	NA	NA

**Note:** Data on the number of citations issued was collected from the Administrative Office of the Courts (AOC) and includes calendar year 2019 only. AOC data can only be obtained for complete calendar years. Therefore, data for calendar year 2020 will be provided on the FFY 2022 ASR submission. Not included in the table are three citations issued for not posting the required signage, one of which resulted in a conviction.

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

☐ Yes ☒ No

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

For the FFY 2021 ASR, no inspections were completed due to COVID-19.

If inspections had been completed citations and/or warnings are not issued to retailers or clerks during the Synar survey. Those retailers/clerks that intended to sell do receive additional merchant education training from ALE and a follow-up Synar recheck inspection using a consummated protocol. If the clerk sells to the minor on the follow-up Synar recheck inspection, a citation is issued.

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

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

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

- ☐ Yes ☒ No

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

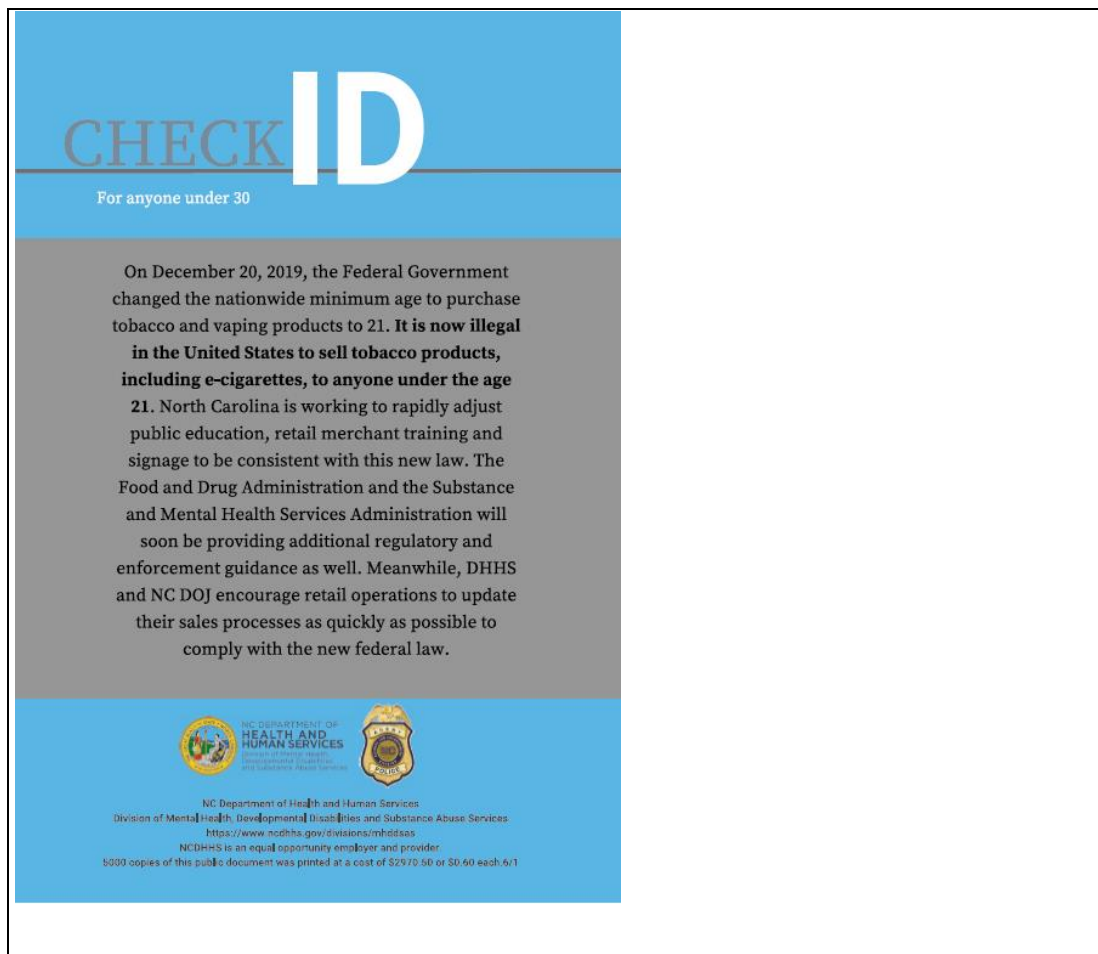
- ☒ Merchant education and/or training

In June 2020, over 4,000 Tobacco 21 Check ID postcards were mailed to tobacco retailers throughout North Carolina. The primary target audience was tobacco retailers not identified as “chain retailers” and those that have not been inspected under the FDA tobacco inspection program. The Tobacco 21 Check ID postcards remind tobacco retailers of the December 19, 2019, change to federal law increasing the minimum age for tobacco purchases to twenty-one.

Front of Card:





Back of Card



**CHECK ID**  
For anyone under 30

On December 20, 2019, the Federal Government changed the nationwide minimum age to purchase tobacco and vaping products to 21. **It is now illegal in the United States to sell tobacco products, including e-cigarettes, to anyone under the age 21.** North Carolina is working to rapidly adjust public education, retail merchant training and signage to be consistent with this new law. The Food and Drug Administration and the Substance and Mental Health Services Administration will soon be providing additional regulatory and enforcement guidance as well. Meanwhile, DHHS and NC DOJ encourage retail operations to update their sales processes as quickly as possible to comply with the new federal law.

NC DEPARTMENT OF HEALTH AND HUMAN SERVICES  
 Division of Mental Health, Developmental Disabilities and Substance Abuse Services  
<https://www.ncdhhs.gov/divisions/mhddas>  
 NCDHHS is an equal opportunity employer and provider.  
 1000 copies of this public document was printed at a cost of \$29.70/50 or \$0.60 each 6/1

- Red Flag Merchant Education Packet: North Carolina's Department of Health and Human Services (DHHS) contracted with the Governor's Institute to assist with the dissemination of 8,300 Red Flag Merchant Education Packets, of which 825 were in Spanish. The packets were distributed to Local Management Entities (LME/MCOs), which in turn distributed them to tobacco retailers in their catchment areas. In addition, 840 state-required signs were distributed, of which 300 were in Spanish.
- Due to COVID-19 and the resulting decision to postpone the Synar Survey, DHHS was presented with an opportunity to re-allocate time and money resources. This re-allocation of resources included multiple surveys to gather information and feedback on various components of the Synar Program.
  - Red Flag Merchant Education Packet Survey: DHHS contacted a few tobacco retailers to solicit their feedback on the Red Flag Merchant Education Packet. Specifically, what components are used/not used, what enhancements would they like to see to improve the packet's effectiveness, and how and how often do they receive merchant education on tobacco. To aid in survey participation, DHHS solicited the assistance of FDA Commissioned Officers left idle from the FDA Stop Work Order, to contact and promote the online survey through direct phone calls to retail locations. Information collected from the survey provided valuable insight to retailer opinions and suggestions on the documents within the

packet, what is use and not used, and preferred formats to receive future trainings.

- ALE's Online Tobacco Training Survey: Management feedback from large retail chains that sell tobacco was collected on ALE's Online Tobacco Training course. The feedback collected is proving to be equally valuable by obtaining insights and suggestions to improve the format for not only tobacco retailer management, but also tobacco retailer front line staff. From July 1, 2019, through June 30, 2020, 180 individuals participated in ALE's Online Tobacco Training which indicates opportunities to increase participation exist.
- LME/MCO COVID-19 Survey: DHHS also conducted a survey with the LME/MCOs to determine how COVID-19 has impacted the services they provide within their catchment areas. This information will be used to determine what additional resources DHHS can provide when face-to-face trainings and activities are hampered because of COVID-19.

- LME/MCOs conducted 5,185 tobacco merchant education visits in their respective catchment areas. During these visits, tobacco laws were reviewed, and the outlets received the Red Flag Merchant Education packet. Currently, DHHS is working with the LME/MCOs to improve their reporting of tobacco-related activities, and the actual number of reported visits is expected to increase.
- ALE conducted 985 "Be A Responsible Seller/Server-BARS" trainings to 2,419 retail personnel on state laws and penalties for selling tobacco or alcohol to minors. The number of trainings is slightly down from the previous reporting period due to COVID-19. These trainings occurred in two formats. First, during regular ALE outlet inspections the ALE Agent spent approximately 15 minutes reviewing ALE's scripted PowerPoint training that reviewed tobacco laws and the Red Flag Merchant Education packet. Second, ALE presented a more formalized 90-minute training to larger audiences which was more detailed in content.

- ☐ Incentives for merchants who are in compliance (e.g., nonenforcement compliance checks in which compliant retailers are given positive reinforcement and noncompliant retailers are warned about youth access laws)

- ☒ Community education regarding youth access laws

LME/MCOs conducted community trainings with local agencies and other partners in their catchment areas that provided education on youth tobacco use, state/federal youth access laws, and how communities can be involved in state efforts to reduce youth access.

- ☒ Media use to publicize compliance inspection results

On January 6, 2020 ALE received media attention related to the federal increase in the minimum age to purchase tobacco to 21. The Bloomberg Government article described how several state law enforcement agencies are addressing the increase in

minimum age including North Carolina. For North Carolina, it focused on the challenges of enforcement with North Carolina's minimum-age remaining at 18. <https://about.bgov.com/news/states-slow-to-enforce-age-21-law-on-selling-tobacco-vape-items/>

On January 21, 2020, a second article on the increase in minimum-age was published in the New Bern Sun Journal. This article also focused on the disparity between state and federal minimum-age and resulting inability to enforce illegal sales to persons 18-21. <https://www.newbernsj.com/news/20200121/new-cigarette-sales-rules-cause-some-confusion>

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

The DHHS Training and Technical Assistance Center and the Governor's Institute hosted 3-4 online workshops for the LME/MCOs and one RVR reveal celebration. Among other things, the workshops were designed to increase awareness of the state's RVR, explore solutions to reduce the RVR, solicit LME/MCO assistance, and improve LME/MCO reporting on tobacco related activities. LME/MCOs are required by the Single State Authority (SSA) to provide community mobilization, community and merchant education, public relations, and/or law enforcement activities for a minimum of 48 hours during each 6-month reporting period.

☐ Other activities (*Please list.*) \_\_\_\_\_

## SYNAR SURVEY METHODS AND RESULTS

The following questions pertain to the survey methodology and results of the Synar survey used by the state to meet the requirements of the Synar Regulation in FFY 2020 (see 42 U.S.C. 300x-26 and 45 C.F.R. 96.130).

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

☒ **Yes**   ☐ **No**

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

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

**FFY 2021 ASR:**

1. On October 3, 2019, North Carolina submitted a revised Appendix B increasing the number of randomly selected counties during the first stage of selection from two to three. Approval was granted on November 25, 2019.

Due to the COVID-19 pandemic, North Carolina predicted a reduction of available resources to complete the Synar survey. The reduction in resources included, but was not limited to, allowable time to conduct the inspections with statewide shutdowns; available minors willing to participate in inspections; and ALE's availability to conduct inspections resulting from conflicting priorities.

On June 10, 2020, North Carolina submitted a revised Appendix B requesting a reduction of the sample size because of COVID-19. Two sample size options were presented in the revised Appendix B, both of which were less conservative but still believed to meet SAMHSA requirements. In addition, the options presented were to be used for the FFY 2021 Synar study and ASR only. After the FFY 2021 ASR, North Carolina would revert to the Appendix B previously approved on November 25, 2019. Neither sample size option was approved by SAMHSA, and SAMHSA requested North Carolina take a "wait and see" approach to COVID-19's impact on the ability to conduct inspections.

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

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

☐ **Yes**   ☒ **No** "A sample of tobacco retailers was drawn, but due to COVID-19 no inspections were completed. If inspections had been completed, SSES would have been used to analyze the Synar survey data."

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

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

total number of sampled outlets), and completion rate (number of eligible outlets inspected divided by the total number of eligible outlets).

Unweighted RVR \_\_\_\_\_

Weighted RVR \_\_\_\_\_

Standard error (s.e.) of the (weighted) RVR \_\_\_\_\_

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

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

Accuracy rate \_\_\_\_\_

Completion rate \_\_\_\_\_

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

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

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

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

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

☐ Yes   ☐ No   ☐ No stratification

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

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

☐ Yes   ☐ No

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

*If No, go to Question 7g.*

**Were any certainty primary sampling units selected this year?**

☐ Yes   ☐ No

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

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

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

**h. Fill out Form 4 in Appendix A (Forms 1–5).****8. Did the state’s Synar survey use a list frame?**
☒ Yes   ☐ No

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

**a. The calendar year of the latest Sampling frame coverage study: 2019**

**b. Percent coverage from the latest Sampling frame coverage study: 87.6**

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

☐ Yes   ☒ No

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

**d. The calendar year of the next coverage study planned: 2022**

**9. Has the Synar survey inspection protocol changed from the previous year?**
☐ Yes   ☒ No

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

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

**b. Provide the inspection period: From NA to NA**

MM/DD/YY MM/DD/YY

“A sample of tobacco retailers was drawn, but due to COVID-19 no inspections were completed.”

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



NA

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

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

## SECTION II: FFY 2021 (Intended Use):

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

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

Synar sampling methodology ☐ Yes ☒ No

Synar inspection protocol ☒ Yes ☐ No

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

### 2. Please describe the state's plans to maintain and/or reduce the target rate for Synar inspections to be completed in FFY 2021. Include a brief description of plans for law enforcement efforts to enforce youth tobacco access laws, activities that support law enforcement efforts to enforce youth tobacco access laws, and any anticipated changes in youth tobacco access legislation or regulation in the state.

#### **Law Enforcement Efforts to Enforce Youth Tobacco Laws**

ALE conducts the Synar survey for DHHS. Established protocols mandate that Synar inspections resulting in an "intent to sell" by the retailer/clerk receive additional ALE merchant education training followed by a follow-up Synar re-check inspection. If during the follow-up Synar re-check inspection the retailer sells to the minor, a citation will be issued. For the FFY 2021 ASR, no inspections were completed due to COVID-19. However, once the Synar survey begins for the FFY 2022 ASR, ALE will continue to conduct targeted follow-up inspections on those retailers/clerks who "intended to sell" tobacco products to the youth inspector during Synar inspections. In addition, DHHS will collaborate with ALE to target additional state inspections to evaluate overall tobacco control activities such as targeted education or tobacco compliance checks using the FDA public website.

#### **Activities That Support Law Enforcement Efforts to Enforce Youth Tobacco Access Laws**

LME/MCOs and their provider agencies will continue reporting their regional efforts in merchant education, law enforcement-related activities, and media/public relations into the statewide electronic database. This information will be further analyzed to determine if their efforts are effective, which in turn will inform DHHS's approach and directives on their future activities. For example, the SSA could direct the providers to conduct more targeted merchant education in high RVR areas and coordinate more retailer trainings in those catchment areas.

#### **Anticipated Changes in Youth Tobacco Access Legislation or Regulation**

The state does not anticipate any changes to its youth tobacco access law but will seek any opportunities to address policies that would strengthen the law. The state will continue to be diligent in its efforts to reduce youth tobacco use and access.

With the recent changes to the federal minimum wage for tobacco purchases (Tobacco 21), it has created a challenge to introduce older minors (18-20-year-olds) into the Synar survey.

The challenge results from the state minimum age remaining at 18 years old and ALE does not have authority to conduct or enforce inspections using the older underage purchasers. As a result, DHHS is unable to incorporate the older underage purchasers into the Synar Survey. DHHS continues explore other options and in addition, has seen some positive interest with outside entities advocating to increase the state law to Tobacco 21.

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

- ☒ Limited resources for law enforcement of youth access laws

In 2018, the SSA was able to identify recurring state funds to support enforcement activities through an interagency agreement with ALE. Recently, ALE restructured its staffing to allow for two ALE Special Agents dedicated to tobacco enforcement only. Despite these positive enhancements to Synar, continued funding to maintain effective enforcement of youth access laws is always a concern.

COVID-19 has and continues to impact law enforcement resources. Initial onset of COVID-19 resulted in ALE's decision to not conduct Synar inspections and was supported by DHHS. This decision also paralleled the FDA's Stop Work Order on North Carolina's FDA contract which remained in affect through September 2020. In addition, ALE was asked to submit a COVID-19 Mitigation Plan to DHHS detailing safety procedures to be implemented when the Synar survey resumed. The Mitigation Plan requires the use of Personal Protection Equipment by the inspection teams at a significant cost to ALE and the Synar Survey.

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

- ☒ Limitations in the state youth tobacco access laws

Federal laws increased the minimum-age to purchase tobacco to 21, i.e. Tobacco 21. The FDA incorporated the age increase into their inspection program and recently SAMHSA published a new guidance document which encourages states to incorporate Tobacco 21 into their Synar programs.

However, North Carolina's minimum-age remains at 18 for tobacco purchases. This creates a challenge for ALE's established enforcement activities and protocols. The established protocol includes the initial Synar survey inspections, followed by merchant education to those retailers who intended to sell, which is then followed by Synar recheck inspections on those retailers who received the additional training. Any violations during the Synar rechecks result in a citation. Since ALE does not have the authority to enforce the federal Tobacco 21 laws and can only enforce state law, they are unable to conduct inspections using 18-20-year-olds on any inspections. Therefore, North Carolina is currently exploring alternative methods to incorporate the use of 18-20-year-olds into Synar inspections.

- ☐ Limited public support for enforcement of youth tobacco access laws

☒ Limitations on completeness/accuracy of list of tobacco outlets

North Carolina does not license its tobacco retailers and prior to the FFY 2020 ASR used an area frame for Synar sampling. For the FFY 2020 ASR, a list frame sampling methodology was implemented by combining multiple lists. While the combined list does achieve the required accuracy and coverage rates, its development does create the challenges associated with combining multiple lists.

However, North Carolina continues to effectively collaborate with its partners such as the FDA, Eastern Carolina University, the State reporting system (ECCO), various commercially available lists to improve the list of tobacco retailers within the state. Through multiple discussions, DHHS now has a structured plan to collaborate with its partners to effectively improve the list while also reducing duplicative efforts performed by each partner.

☐ Limited expertise in survey methodology
☐ Laws/regulations limiting the use of minors in tobacco inspections
☒ Difficulties recruiting youth inspectors

Beginning with the FFY 2020 ASR inspections, DHHS increased the desired number of youth inspectors significantly. The purpose was to reduce the potential for bias in the RVR calculations from having too few youth inspectors. The number recruited for the FFY 2020 ASR was 19, substantially more than the four recruited for the two previous ASR cycles.

For the FFY 2021 ASR inspections, recruitment of youth inspectors and resulting challenges was not fully realized since no inspections were conducted due to COVID-19. However, DHHS does anticipate some challenges in recruiting youth inspectors for the immediate future with continued COVID-19 concerns. As previously mentioned, incorporating 18-20-year-olds into the Synar survey is hampered by ALE's inability to use these older youth inspectors as part of their inspection protocol for as long as the state's minimum tobacco purchase age remains at 18.

☐ Issues regarding the balance of inspections conducted by youth inspectors age 15 and under
☒ Issues regarding the balance of inspections conducted by one gender of youth inspectors

For the FFY 2021 ASR no inspections were completed due to COVID-19. DHHS does anticipate some challenges related to gender balance when 18-20-year-old youth inspectors are introduced into the inspection process. The concern is not

strictly with the overall gender balance, but with the desired goal of attaining age and gender balances within each stratum.

- ☐ Geographic, demographic, and logistical considerations in conducting inspections

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

- ☒ Issues regarding sources of tobacco under tribal jurisdiction

ALE does not conduct inspections on state or federally recognized Tribal Lands.

- ☒ Other challenges (*Please list.*) COVID-19

As previously cited throughout the ASR, COVID-19 presented challenges and it is expected these challenges will continue during the upcoming year. Most significant of these challenges is providing a safe environment for members of the inspection teams and those that are in contact with during the inspections. The concern for safety was the primary reason for not conducting inspections this year, a decision which considered many factors including the policies of multiple state agencies and the FDA's Stop Work Order.

DHHS is in position to begin conducting inspections when appropriate. In fact, DHHS is in position to begin conducting inspections earlier than in any other previous year. DHHS will continue to monitor FDA activities, county level COVID-19 data prior to beginning any inspections. In addition, DHHS will ensure that ALE's Mitigation Plan is implemented correctly.

## APPENDIX A: FORMS 1–5

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

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

**Instructions for Completing Form 1:** In the top right-hand corner of the form, provide the state name and reporting federal fiscal year (FFY 2021). Provide the remaining information by stratum if stratification was used. Make copies of the form if additional rows are needed to list all the strata.

Column 1: *If stratification was used:*

1(a) Sequentially number each row.

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

*If no stratification was used:*

1(a) Leave blank.

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

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

Column 2: 2(a) Report the number of over-the-counter (OTC) outlets in the sampling frame in each stratum.

2(b) Report the number of vending machine (VM) outlets in the sampling frame in each stratum.

2(c) Report the combined total of OTC and VM outlets in the sampling frame in each stratum.

Column 3: 3(a) Report the estimated number of eligible OTC outlets in the OTC outlet population in each stratum.

3(b) Report the estimated number of eligible VM outlets in the VM outlet population in each stratum.

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

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

Column 4: 4(a) Report the number of eligible OTC outlets for which an inspection was completed, for each stratum.

4(b) Report the numbers of eligible VM outlets for which an inspection was completed, for each stratum.

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

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

5(b) Report the number of VM outlets found in violation of the law as a result of completed inspections, for each stratum.

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

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

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

[illegible]

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

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

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

**Instructions for Completing Form 2:** In the top right-hand corner of the form, provide the state name and reporting federal fiscal year (FFY 2021).

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



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

Calculation of Weighted Retailer Violation Rate										
										State: _____
										FFY: 2021
(1) Stratum Name	(2) N Number of Outlets in Sampling Frame	(3) n Original Sample Size	(4) n1 Number of Sample Outlets Found Eligible	(5) n2 Number of Outlets Inspected	(6) x Number of Outlets Found in Violation	(7) p=x/n2 Stratum Retailer Violation Rate	(8) N'=N(n1/n) Estimated Number of Eligible Outlets in Population	(9) w=N'/Total Column 8 Relative Stratum Weight	(10) pw Stratum Contribution to State Weighted RVR	(11) s.e. Standard Error of Stratum RVR
<b>Total</b>										

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

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

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

**Instructions for Completing Form 3:** In the top right-hand corner of the form, provide the state name and reporting federal fiscal year (FFY 2021).

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

Column 1: Sequentially number each row.

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

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

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

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

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

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

Summary of Clusters Created and Sampled				
State: _____				
FFY: 2021				
(1) Row #	(2) Stratum Name	(3) Number of PSUs Created	(4) Number of PSUs Selected	(5) Number of PSUs in the Final Sample
<b>Total</b>				

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

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

**Instructions for Completing Form 4:** In the top right-hand corner of the form, provide the state name and reporting federal fiscal year (FFY 2021).

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

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

<b>Inspection Tallies by Reason of Ineligibility or Noncompletion</b> <b>State:</b> _____ <b>FFY:</b> 2021 _____			
<b>(1) INELIGIBLE</b>		<b>(2) ELIGIBLE</b>	
<b>Reason for Ineligibility</b>	<b>(a) Counts</b>	<b>Reason for Noncompletion</b>	<b>(a) Counts</b>
Out of business		In operation but closed at time of visit	
Does not sell tobacco products		Unsafe to access	
Inaccessible by youth		Presence of police	
Private club or private residence		Youth inspector knows salesperson	
Temporary closure		Moved to new location	
Unlocatable		Drive-thru only/youth inspector has no driver's license	
Wholesale only/Carton sale only		Tobacco out of stock	
Vending machine broken		Ran out of time	
Duplicate		Other noncompletion reason(s) ( <i>Describe.</i> )	
Other ineligibility reason(s) ( <i>Describe.</i> )			
<b>Total</b>		<b>Total</b>	

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

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

**Instructions for Completing Form 5:** In the top right-hand corner of the form, provide the state name and reporting federal fiscal year (FFY 2021).

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

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

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

Synar Survey Inspector Characteristics		
		State: _____
		FFY: 2021
	(1) Attempted Buys	(2) Successful Buys
<b>Male</b>		
15 years		
16 years		
17 years		
18 years		
19 years		
20 years		
<b>Male Subtotal</b>		
<b>Female</b>		
15 years		
16 years		
17 years		
18 years		
19 years		
20 years		
<b>Female Subtotal</b>		
<b>Other</b>		
<b>Total</b>		

## **APPENDIXES B & C: FORMS**

### Instructions

Appendix B (Sampling Design) and Appendix C (Inspection Protocol) are to reflect the state's CSAP-approved sampling design and inspection protocol. These appendixes, therefore, should generally describe the design and protocol and, with the exception of Question #10 of Appendix B, are not to be modified with year-specific information. Please note that any changes to either appendix must receive CSAP's advance, written approval. To facilitate the state's completion of this section, simply cut and paste the previously approved sampling design (Appendix B) and inspection protocol (Appendix C) and respond to Question #10 of Appendix B to provide the requested information about sample size calculations for the Synar survey conducted in FFY 2020.

## APPENDIX B: SYNAR SURVEY SAMPLING METHODOLOGY

State: NC  
FFY: 2021

**1. What type of sampling frame is used?**

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

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

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

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

Name of Frame Source	Type of Source	Description	Updating Method and Cycle

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

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

☐ Yes   ☐ No

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

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

☐ Yes   ☐ No

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

- ☐ State law bans vending machines.  
☐ State law bans vending machines from locations accessible to youth.

- ☐ State has a contract with the FDA and is actively enforcing the vending machine requirements of the Family Smoking Prevention and Tobacco Control Act.
- ☐ Other (*Please describe.*) \_\_\_\_\_

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

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

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

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

**Unstratified statewide sample:**

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

**Stratified sample:**

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

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

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

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

**b. Is clustering used within the stratified sample?**

- ☐ **Yes** (*Go to Question 8.*)
- ☐ **No** (*Go to Question 9.*)

**8. Provide the following information about clustering.**

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

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

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

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

☐ **Yes** *(Respond to part b.)*

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

- b. **SSES Sample Size Calculator used?**

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

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

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

**10. Provide the following information about sample size calculations for the Synar survey conducted in FFY 2020.**

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

**Inputs for Effective Sample Size:**

RVR:

Frame Size:

**Input for Target Sample Size:**

Design Effect:

**Inputs for Original Sample Size:**

Safety Margin:

Accuracy (Eligibility) Rate:

Completion Rate:



- b. If the state uses the sample size formulas embedded in the SSES Sample Size Calculator to calculate the stratum level sample sizes, please provide the stratum level information:**

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

--

## APPENDIX C: SYNAR SURVEY INSPECTION PROTOCOL SUMMARY

State: NC

FFY: 2021

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

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

#### a. Consummated buy attempts?

- ☐ Required
- ☐ Permitted under specified circumstances (Describe: \_\_\_\_\_)
- ☐ Not permitted

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

- ☐ Required
- ☐ Permitted under specified circumstances (Describe: \_\_\_\_\_)
- ☐ Not permitted

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

- ☐ Required
- ☐ Permitted under specified circumstances (Describe: \_\_\_\_\_)
- ☐ Not permitted

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

- ☐ Required
- ☐ Permitted under specified circumstances (Describe: \_\_\_\_\_)
- ☐ Not permitted

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

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

List the agency name(s): \_\_\_\_\_

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

☐ Always ☐ Usually ☐ Sometimes ☐ Rarely ☐ Never

4. Describe the type of tobacco products that are requested during Synar inspections.

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

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

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

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

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

6. Are there specific legal or procedural requirements instituted by the state to address the issue of youth inspectors' immunity when conducting inspections?

- a. Legal

☐ Yes ☐ No

*(If Yes, please describe.)*

- b. Procedural

☐ Yes ☐ No

*(If Yes, please describe.)*

7. Are there specific legal or procedural requirements instituted by the state to address the issue of the safety of youth inspectors during all aspects of the Synar inspection process?

- a. Legal

☐ Yes ☐ No

*(If Yes, please describe.)*

**b. Procedural**

☐ Yes ☐ No

*(If Yes, please describe.)*

**8. Are there any other legal or procedural requirements the state has regarding how inspections are to be conducted (e.g., age of youth inspector, time of inspections, training that must occur)?**

**a. Legal**

☐ Yes ☐ No

*(If Yes, please describe.)*

**b. Procedural**

☐ Yes ☐ No

*(If Yes, please describe.)*

## APPENDIX D: LIST SAMPLING FRAME COVERAGE STUDY

(LIST FRAME ONLY)

State: NC  
FFY: 2021

1. Calendar year of the coverage study: \_\_\_\_\_

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

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

b. Were any areas of the state excluded from sampling?

☐ Yes   ☐ No

*If Yes, please explain.*

4. Please answer the following questions about the selection of canvassing areas.

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

☐ Census (*Go to Question 6.*)

**Unstratified statewide sample:**

☐ Simple random sample (*Respond to Part b.*)

☐ Systematic random sample (*Respond to Part b.*)

☐ Single-stage cluster sample (*Respond to Parts b and d.*)

☐ Multistage cluster sample (*Respond to Parts b and d.*)

**Stratified sample:**

☐ Simple random sample (*Respond to Parts b and c.*)

☐ Systematic random sample (*Respond to Parts b and c.*)

☐ Single-stage cluster sample (*Respond to Parts b, c, and d.*)

☐ Multistage cluster sample (*Respond to Parts b, c, and d.*)

☐ **Other** (*Please describe and respond to Part b.*) \_\_\_\_\_

b. Describe the sampling methods.

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

d. Provide a full description of how clusters were formed.

5. Were borders of the selected areas clearly identified at the time of canvassing?

☐ Yes ☐ No

6. Were all sampled areas visited by canvassing teams?

☐ Yes (*Go to Question 7.*) ☐ No (*Respond to Parts a and b.*)

a. Was the subset of areas randomly chosen?

☐ Yes ☐ No

b. Describe how the subsample of visited areas was drawn. Include the number of areas sampled and the number of areas canvassed.

7. Were field observers provided with a detailed map of the canvassing areas?

☐ Yes ☐ No

*If No, describe the canvassing instructions given to the field observers.*

8. Were field observers instructed to find all outlets in the assigned area?

☐ Yes ☐ No

*If No, respond to Question 9.*

*If Yes, describe any instructions given to the field observers to ensure the entire area was canvassed, then go to Question 10.*

9. If a full canvassing was not conducted:

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

b. What were the starting points for each area? \_\_\_\_\_

c. Were these starting points randomly chosen?

☐ Yes ☐ No

d. Describe the selection of the starting points.

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

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

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

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