ANNUAL SYNAR REPORT

42 U.S.C. 300x-26

OMB № 0930-0222

FFY 2009

State: California

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

Checklist for Completing the FFY 2009 Annual Synar Report

STATE NAME: California | **FISCAL YEAR: 2009**

Checklist Completed By (Print): Mary Strode | Position: STAKE Act Coordinator

Telephone Number: 916-449-5496 | E-mail Address: mary.strode@cdph.ca.gov

Signed: _____ | Date: _____

Check the following items as they have been completed, prior to submission of the Annual Synar Report to SAMHSA/CSAP. Please include a copy of this checklist along with your FFY 2009 Annual Synar Report hard copy submission to SAMHSA's Division of Grants Management.

Completion and inclusion of the Checklist for Completing the Annual Synar Report ..... √

1 copy of the completed Annual Synar Report, and either SSES Tables 1-5 OR Forms 1, 4 and 5 (and Forms 2 and 3, if applicable) uploaded to Web BGAS ..... √

Inclusion of 1 hardcopy of the completed Annual Synar Report..... √

Signature on Funding Agreements/Certifications and additional photocopy of the signed Funding Agreements/Certifications ..... □

Completion of all Annual Synar Report Questions (see below)..... √

Section I: (Compliance Progress)

Question 1 ..... √
State Tobacco Legislation..... √

Question 2 ..... √
Publicizing the Annual Synar Report ..... √

Question 3 ..... √
Identify Lead Agencies ..... √

Question 4 ..... √
Tobacco Prevention and Control Agency..... √
Coordination and Collaboration with Lead Synar Agency ..... √

Question 5 ..... √

Enforcement of Youth Access ..... √
Penalties for Violations of Youth Access Laws ..... √
Supporting Activities ..... √

Question 6 ..... √
Sampling Methodology (Appendix B) ..... √

Question 7 ..... √
SSES Used ..... √ Yes ☐ No
*If **Yes***, SSES Summary Table 1 ..... √
SSES Summary Table 2 ..... √
SSES Summary Table 3 ..... √
SSES Summary Table 4 ..... √
SSES Table 5 (input data) ..... √

*If **No***, Random Sample Survey Results ..... ☐
Form 1 ..... ☐
Form 2 (Optional) ..... ☐
Form 3 ..... ☐
Sample Sizes ..... ☐
Form 4 ..... ☐

Question 8 ..... √
List Frame ..... √
Appendix D ..... √

Question 9 ..... √
Inspection Protocol (Appendix C) ..... √
Form 5 ..... √

Section II (Intended Use)

Question 1 ..... √
Anticipated Changes ..... √

Question 2 ..... √
State Plan ..... √

Question 3 ..... √
Challenges ..... √
.....

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INTRODUCTION

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

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

An agency may not conduct or sponsor and a person is not required to respond to a collection of information unless it displays a currently valid OMB control number. The OMB control number for this project is 0930-0222 with an expiration date of 10-31-2010.

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 2008 Compliance Progress) and future plans to ensure compliance with the Synar requirements to reduce youth tobacco access rates (FFY 2009 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[1] 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 on-site technical assistance consultation.

How the Synar report can help States

The information gathered for the Synar report can help States describe and analyze sub-State 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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[1]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) 276-2413 and ask for your respective State Project Officer, or contact your State Project Officer directly by telephone or e-mail using the directory provided in the FY 2009 Uniform Application, Appendix A. If you have questions about fiscal or grants management issues, you may call the Grants Management Officer, Office of Program Services, Division of Grants Management, at (240) 276-1422.

Where and when to submit the Synar report

The Annual Synar Report (ASR) must be received by SAMHSA no later than December 31, 2008. The ASR must be submitted in the **approved OMB report format**. Use of the approved format will avoid delays in the review and approval process. The chief executive officer (or an authorized designee) of the applicant organization must sign page 1 of the ASR certifying that the State has complied with all reporting requirements.

The State must upload one copy of the report using the online Web BGAS (Block Grant Application System). States that use the Synar Survey Estimation System (SSES) must also upload one copy of SSES Tables 1-5 (in Excel) to Web BGAS. 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 format) to Web BGAS. Instructions on how to access the Web BGAS system are included in the attached cover letter.

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

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

Regular Mail:	**Overnight Mail:**
1 Choke Cherry Road, Rm.7-1091 Rockville, Maryland 20857	1 Choke Cherry Road, Rm.7-1091 Rockville, Maryland 20850

FFY 2009: FUNDING AGREEMENTS/CERTIFICATIONS

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

PUBLIC HEALTH SERVICES ACT AND SYNAR AMMENDMENT
42 U.S.C. 300x-26 requires each State to submit an annual report of its progress in meeting the requirements of the Synar Amendment and its implementing regulation (45 C.F.R. 96.130) to the Secretary of the Department of Health and Human Services. By signing below, the chief executive officer (or an authorized designee) of the applicant organization certifies that the State has complied with these reporting requirements and the certifications as set forth below.
SYNAR SURVEY SAMPLING METHODOLOGY
The State certifies that the Synar survey sampling methodology on file with the Center for Substance Abuse Prevention and submitted with the Annual Synar Report for FFY 2009 is up-to-date and approved by the Center for Substance Abuse Prevention.
SYNAR SURVEY INSPECTION PROTOCOL
The State certifies that the Synar Survey Inspection Protocol on file with the Center for Substance Abuse Prevention and submitted with the Annual Synar Report for FFY 2009 is up-to-date and approved by the Center for Substance Abuse Prevention.
State: California
Name of Chief Executive Officer or Designee: KIMBERLY BELSHÉ
Signature of CEO or Designee:
Title: Secretary, CA Health & Human Services Agency **Date Signed:** 7/9/08
If signed by a designee, a copy of the designation must be attached.

SECTION I: FFY 2008 (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. Please attach a photocopy of the change(s) in the State law(s) if any was made since the last reporting year** *(see 42 U.S.C. 300x-26).*

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

   ☐ **Yes** ☒ **No**

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

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

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

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

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

   ☐ **Yes** ☒ **No**

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

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

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

   Licensing of tobacco vendors ☒ **Yes** ☐ **No**
   Penalties for sales to minors ☒ **Yes** ☐ **No**

   The Cigarette and Tobacco Products Licensing Act of 2003 was amended to require tobacco retailers to pay the California Board of Equalization a reinstatement fee of $100 if they allow their state-issued annual tobacco retailer license to lapse.

   The Stop Tobacco Access to Kids Enforcement (STAKE) Act was amended to authorize local law enforcement jurisdictions and other state agencies to enforce

the provisions of the STAKE Act. Penalties for violations were also increased.

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

   ☐ Placed on file for public review
   ☒ Posted on a State agency Web site *(Please provide exact Web address.)*
   Website address: http://www.adp.ca.gov/Funding/grants_management.shtml
   ☐ Notice published in a newspaper or newsletter
   ☐ Public hearing
   ☐ Announced in a news release, a press conference, or discussed in a media interview
   ☐ Distributed for review as part of the SAPT Block Grant application process
   ☒ Distributed through the public library system
   ☐ Published in an annual register
   ☐ Other change(s) *(Please describe.)* _____

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

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

   ADP and the California Department of Public Health (CDPH) have shared responsibility to oversee the Synar requirements. The Stop Tobacco Access to Kids Enforcement (STAKE) Act of 1994 (Business and Professions (B&P) Code Section 22950-22963) requires the annual transfer of $2 million from ADP's SAPT block grant to CDPH to administer the provisions of the Synar Amendment.

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

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

   CDPH has an interagency agreement with the Behavioral Health Institute (BHI) of the San Diego State University Foundation, a nonprofit education corporation organized under the laws of the State of California, to conduct the annual random, unannounced inspections of tobacco outlets.

   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):***

   CDPH, Food and Drug Branch (FDB) is the statewide enforcement agency responsible for enforcing the STAKE Act, however as a result of legislation enacted in 2007, other state agencies as well as local law enforcement agencies are now authorized to enforce the STAKE Act. In addition, local law enforcement agencies are responsible for enforcing other tobacco control laws, including Penal Code (PC) Section 308(a), illegal tobacco sales to minors.

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

4. **Identify the State agency(ies) responsible for tobacco prevention activities.**

CDPH, California Tobacco Control Program (CTCP) is responsible for administering California's statewide tobacco prevention and control activities as authorized in Health and Safety Code Part 3, Chapter 1, Section 104350, to comply with Proposition 99, the Tobacco Tax and Health Protection Act of 1988.

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

☐ **Yes** ☒ **No**

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

☐ Are the same

☐ Have a formal written memorandum of agreement

☐ Have an informal partnership

☐ Conduct joint planning activities

☐ Combine resources

☒ Have other collaborative arrangement(s) *(Please describe.)* Oversight of the Synar requirements is a shared responsibility: 1) CDPH is responsible for conducting the annual Synar survey and preparation of the ASR; and, 2) ADP is responsible for review and State approval of the ASR and submission to SAMHSA.

5. **Please answer the following questions regarding the State's activities to enforce the youth access to tobacco law(s) in FFY 2008** *(see 42 U.S.C. 300x-26 and 45 C.F.R. 96.130(e)).*

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

☐ Enforcement is conducted exclusively by local law enforcement agencies.

☐ Enforcement is conducted exclusively by State agency(ies).

☒ Enforcement is conducted by both local and State agencies.

b. **The following items concern penalties imposed for violations of youth access to tobacco laws by LOCAL AND/OR STATE LAW ENFORCEMENT AGENCIES. Please fill in the number requested. If State law does not provide for tobacco retailer license/permit suspension or revocation, please mark "NA."**

PENALTY	OWNERS	CLERKS	TOTAL
Number of citations issued	574	0	574[1]
Number of fines assessed	574	0	574[1]
Number of permits/licenses suspended	168		168[2]
Number of permits/licenses revoked	12		12

Other *(Please describe.)*			

[1]Reflects only those civil penalties assessed by the CDPH Food and Drug Branch. Citations and fines assessed by over 2,000 local enforcement agencies are not reported to any state agency and therefore are not available.

[2]Assessed by the California Board of Equalization (BOE) for non-compliance with state tobacco retail licensing statutes. All suspensions were for reasons other than tobacco sales to minors. Tobacco retail license suspensions and revocations conducted by local jurisdictions are not tracked by any state agency.

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

☒ Merchant education and/or training

☒ Incentives for merchants who are in compliance (e.g., reward and reminder)

☒ Community education regarding youth access laws

☒ Media use to publicize compliance inspection results

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

☒ Other activities *(Please list.)* Collaboration with the California Attorney General's Office (AG), Tobacco Litigation Unit; Collaboration with the BOE, Tobacco Licensing Program; and Evaluation and Surveillance Activities.

Briefly describe all checked activities:

Merchant Education and/or Training:

CDPH/CTCP uses a multi-faceted, multi-agency, coordinated approach to educate approximately 38,000 California tobacco retailers about youth access laws. This includes dissemination of a tobacco retailer PowerPoint training updated in 2007 titled, *Stop Tobacco Sales to Youth: California Retailers and Youth Tobacco Laws*. It includes an introductory letter to retailers and a clerk quiz. This training tool is accessible to the public on both the CDPH/TCP web site and the Strategic Tobacco Retail Effort (STORE) web site at:

http://www.cdph.ca.gov/programs/Tobacco/Pages/CTCPRetailerResources.aspx

http://www.tcsstore.org/appendix/updated.html

CDPH/CTCP also develops and provides educational materials. These materials are used to conduct merchant education, training, and inspections at the local and regional level. Approximately 116,146 pieces of educational materials were distributed to retailers, local and state law enforcement agencies, local health departments, community-based organizations, and tobacco companies from July 1, 2008 through June 30, 2009. Educational materials disseminated included a ten-item information kit titled, *Avoiding Fines and Penalties While Selling Tobacco*, a brochure titled, *Tobacco Control Laws That Affect Retail Businesses,* and the STAKE Act age-of-sale warning sticker signs.

Approximately 30,000 copies of the brochure, 10,000 copies of the sticker signs, and 200 complete kits were shipped to the BOE upon request for distribution to retailers applying for or renewing their tobacco seller's license.

The CDPH/FDB STAKE Act Enforcement Unit also conducts merchant education by mailing youth access law compliance requirement letters to STAKE Act violators. Approximately 574 letters were mailed to tobacco retailers in fiscal year 2007-08. During FFY 2009 the STAKE Act Enforcement Unit will continue to conduct undercover on-site tobacco retailer inspections using teen-aged decoys ages 15-16 as mandated. The STAKE Act investigators conduct over 2,500 inspections annually. Stores checked for compliance are selected on a random basis within a given geographic area and/or in response to reports of illegal tobacco sales left on the toll-free number hotline by concerned citizens. At the time of inspection, educational materials about California's tobacco retail laws are left with store personnel or they are referred to the Tobacco Education Clearinghouse of California for materials.

Incentives for merchants who are in compliance:

All of the 61 local county and city health departments and many of the competitive grantees funded by CDPH/CTCP utilize various interventions to reduce youth access to tobacco and encourage enforcement of tobacco laws affecting retailers. Numerous programs engage in various forms of merchant incentives, including retailer public recognition for compliance via press releases, newspaper articles, website postings, plaques, store signage and sticker campaigns, and "report card" programs highlighting youth access law compliance.

Community education regarding youth access laws:

CDPH/CTCP creates and updates youth access materials for tobacco control advocates in the field. These materials are available statewide though the Tobacco Education Clearinghouse of California (TECC). Staff members of TECC, as well as the Tobacco Control Program's Media Unit, are available to assist the state's tobacco control advocates in the creation of specific materials. Additionally, professional artwork designed by the TCP Media Unit is provided for statewide projects to utilize when they design collateral materials. Staff from local projects utilize available materials from the TECC catalog and/or create original materials for local distribution. Many of these materials promote the STAKE Act mandated toll-free complaint line. Between June 2007 and July 2008 the complaint line received 140 calls from the public reporting possible illegal tobacco sales to youth.

Media used to publicize compliance inspection results:

Local county health departments regularly release the results of their local youth tobacco purchase surveys, resulting in media coverage on the issue throughout the state. Additionally, the results of the 2007 Youth Tobacco Purchase Survey were posted on the homepage of the California Department of Public Health's website

under "What's New" and then moved to the "News, Alerts, Events" section when deemed timely to do so. The article received almost 250 views during its posting.

The results of the 2008 Youth Tobacco Purchase Survey will again be posted on the homepage of the California Department of Public Health's website.

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

CDPH/CTCP-funded contractors conduct various educational and policy related interventions to reduce youth access to tobacco. Of the 61 local health departments' three-year comprehensive tobacco control plans (2007-10), 45 included conducting of merchant education activities, 38 included conducting local youth tobacco purchase surveys, 23 included conducting law enforcement training, and 28 included conducting policy campaigns aimed at the following topic areas: local tobacco retail licensing, eliminating self-service tobacco displays, eliminating free tobacco product sampling, requiring conditional use permits, and restrictions on selling tobacco in pharmacies. In addition, 10 competitive grantees are currently implementing educational and/or policy related interventions addressing these topic areas. As of July 2008, 234 counties and municipalities in California have passed ordinances addressing youth access to tobacco, including 79 for local tobacco retail licensing.

CDPH/CTCP collaborates with its Point of Sales Practices (POSP) Workgroup on planning and implementing statewide technical assistance and skill building trainings on reducing tobacco availability for projects funded by CTCP. Between June 2007 and July 2008, four technical assistance trainings were provided, addressing the following topics: retailer licensing at the local level, responsible retailing, tracking illegal sales citations and reporting final dispositions to state enforcement agencies, and legislative changes to youth access-related laws. An intensive collaboration effort between CDPH/CTCP, the POSP Workgroup, CDPH/FDB, BOE, and the AG's office culminated in the creation and dissemination of an enforcement tool for local jurisdictions in February 2007. This tool, entitled "Tracking and Reporting Illegal Tobacco Sales to Minors: A How-to Guide for Projects Funded by the California Tobacco Control Program," provides a rationale for tracking and reporting illegal sales enforcement data to state enforcement agencies and outlines procedural guidelines. A statewide technical assistance training was provided in conjunction with the release of the tool. This "How-to Guide" will be updated over time and is accessible on the STORE Web Site (a public access site) at:

http://www.tcsstore.org/appendix/updated.html

Collaboration with the AG:

The AG's office provides CDPH/CTCP with expert legal review of merchant education resources and offers valuable input into the development of statewide strategies to reduce sales to minors and promote compliance with CA laws concerning the sale and marketing of tobacco products at retail. The AG's office

provides CDPH/CTCP with information and updates about new and existing multi-state agreements with national retail chains, known as Assurances of Voluntary Compliance (AVCs), concerning tobacco retailing, as well as information regarding tobacco manufacturer retailer programs. A total of twelve AVC agreements are now in place covering more than 80,000 retail outlets nationwide.

Collaboration with BOE:

CDPH/CTCP annually notifies BOE of the statewide rate of illegal tobacco sales to minors and CDPH/FDB provides BOE with adjudicated STAKE Act violation data on a quarterly basis in order to facilitate tobacco retailer license suspension and revocation requirements of the Cigarette and Tobacco Products Licensing Act of 2003 (B&P Code commencing with Section 22970). CDPH/CTCP also solicits expert review of merchant education materials from BOE and coordinates mass mailings of educational brochures, STAKE Act age-of-sale warning signs and order forms for merchant education materials through routine BOE mailings to retailers. BOE provides valuable input into the development of statewide strategies to strengthen retailer licensing efforts and improve enforcement of the Licensing Act. In 2008, CDPH/CTCP and CTCP-funded contractors began to collaborate with BOE on the implementation of an ongoing regional retailer training program. The primary purpose of this outreach effort is to educate tobacco retailers about the requirements of the Cigarette and Tobacco Products Licensing Act as well as local tobacco retailer licensing laws.

Evaluation and Surveillance Activities:

CDPH/CTCP conducts ongoing surveillance through the California Tobacco Survey and the California Adult Tobacco Survey to monitor support for enforcement of tobacco sales to minors laws and regulatory efforts to decrease youth access to tobacco.

d. 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 5d, please describe the State's procedure for minimizing risk of bias to the survey results:

N/A

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 2008 (see 42 U.S.C. 300x-26 and 45 C.F.R. 96.130).

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

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

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

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

      *If **Yes**, attach SSES summary tables 1, 2, 3, 4 and 5 along with the ASR submission and go to Question 8. If **No**, continue to Question 7b.*

   b. **Report the weighted and unweighted Retailer Violation Rate (RVR) estimates, and the standard error.**

      Unweighted RVR _____

      Weighted RVR _____

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

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

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

   c. **Fill out Form 1 in Appendix A (Forms).** *(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) *(Attach completed Form 2.)*

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

      ☐

   e. **If stratification was used, did any strata in the sample contain only one outlet or cluster this year?** ☐ **Yes** ☐ **No** ☐ **No stratification**

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

      ☐

f. **Was a cluster sample design used?** ☐ **Yes** ☐ **No**

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

*If **No**, go to Question 7g.*

Were any certainty primary sampling units selected this year? ☐ **Yes** ☐ **No**

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

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

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

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

8. **Did the State's Synar survey use a list frame?** ☒ **Yes** ☐ **No**

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

a. **The calendar year of the latest frame coverage study:** 2007

b. **Percent coverage from the latest frame coverage study:** 92.5%

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:** 2010

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

☐ **Yes** ☒ **No**

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

a. **Provide the inspection period: From** 03/01/08 (MM/DD/YY) **To** 06/26/08 (MM/DD/YY)

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

67

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.

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

SECTION II: FFY 2009 (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 the:**

   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 2009. 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.**

   Plans to maintain and/or reduce the target rate for Synar inspections to be completed in FFY 2009:

   Reducing illegal tobacco sales to minors is a major effort of the California Tobacco Control Program. Multi-year funding is provided to 61 local health departments, all of which are required to address reducing tobacco access to minors in their comprehensive tobacco control plans. Additionally, funds are made available to non-profit organizations to address illegal tobacco sales to minors through a competitive grant process. In the last year several jurisdictions that have enacted local retailer licensing policies have documented significant reductions in illegal sales rates. This trend is anticipated to continue. Looking ahead, CDPH/CTCP will continue to focus on development of local tobacco retail licensing policies which incorporate license fees earmarked for enforcement of youth access laws. This will be done through the provision of technical assistance teleconferences, training, retailer educational materials development, and promotion of the STORE Campaign web site and online tools. The STORE web site, launched in 2001, provides a one-stop shopping electronic toolbox of advertisements, case studies, checklists, enforcement guidelines, merchant education materials, PowerPoint presentations, sample forms, sample letters, sample opinion editorials, survey instruments, and protocols, etc., aimed at assisting CDPH/CTCP contractors to strategically address the retail sale and marketing of tobacco. CDPH/CTCP plans to increase the functionality of the STORE web site in the near future and improve its look and feel.

   CDPH/CTCP will continue to fund several statewide contracts to support local efforts to reduce the availability of tobacco. The Technical Assistance Legal Center (TALC), a CDPH/CTCP-funded agency, revised its model licensing ordinance which provides a

template for the funded projects to use locally in developing their policies. TALC will continue to train CDPH/CTCP-funded projects on retailer licensing and policies to reduce tobacco availability in local communities around the state. CDPH/CTCP also continues to fund the statewide California Youth Advocacy Network (CYAN). CYAN launched a new tobacco retail licensing advocacy campaign in 2007, titled "Mission: Possible," to support the engagement of youth in local tobacco retail licensing efforts conducted by CTCP-funded projects. The "Mission: Possible" campaign incorporates local, regional and statewide trainings of local project staff and youth advocates. Trainings address recruitment of youth in licensing campaign efforts, the roles that youth can play in mobilizing communities around licensing, and modern tools to "hook" and engage youth in tobacco control activities. This campaign is playing an important role in the passage of local licensing policies. The Center for Tobacco Policy and Organizing will continue to provide technical assistance and hands-on training to CDPH/CTCP-funded projects conducting community organizing and strategic planning activities as well as youth access-related policy work in their communities. A special emphasis of The Center's training efforts will continue to focus on local tobacco retailer licensing campaigns, particularly in rural jurisdictions.

CDPH/CTCP will continue to refresh, develop and provide state-of-the-art, tailored educational materials and utilize advertising and public relations strategies, as resources allow, to promote a reduction in tobacco sales to minors. To coincide with the revitalization of the STORE Campaign web site, CTCP will explore alternative ways of delivering and packaging education and training information and materials to CTCP-funded contractors, retailers, and law enforcement personnel.

Plans for law enforcement efforts to enforce youth tobacco access laws:

During FFY 2009 the CDPH/FDB STAKE Act Enforcement Unit will continue to conduct undercover on-site inspections at tobacco retailers using teen-aged decoys as mandated. The STAKE Act's 13 investigators conduct more than 2,500 inspections annually throughout the state, covering a territory encompassing 163,707 square miles. Stores checked for compliance are selected on a random basis within a given geographic area and/or in response to reports of illegal tobacco sales left on the toll-free number by concerned citizens. In addition to the statewide efforts, investigators enforce two tobacco access-related ordinances under contract with the Los Angeles City Attorney's office and the City of Santa Ana by conducting inspections of retailers within the city of Los Angeles and reporting the results of those inspections to City officials.

Planned activities that support law enforcement efforts to enforce youth access laws:

Local tobacco control programs will continue to engage in various forms of law enforcement assistance activities, such as youth recruitment, training, violation tracking, surveillance, merchant education, and policy development. Statewide technical assistance and training will continue to be provided to law enforcement personnel to promote enforcement of PC 308, utilizing a training manual updated in 2007. CDPH/CTCP and the POSP Workgroup will monitor and promote the use of the "Tracking and Reporting Illegal Tobacco Sales to Minors: A How-to Guide for Projects

Funded by the California Tobacco Control Program," and update the tool as needed. CDPH/CTCP and CDPH/FDB STAKE Act Enforcement Unit will continue to utilize their web sites and educational materials to promote the toll-free complaint line created for public reporting of tobacco sales to minors. In addition, technical assistance and training will continue to be provided to tobacco control projects on a regular basis via the STORE Campaign as new, tailored interventions are developed.

In FFY 2009, CDPH/CTCP, in collaboration with the POSP Workgroup, will implement three to four Law Enforcement Roundtables in diverse geographical regions of the state. The focus of these Roundtables will be on local enforcement of sales to minors laws, including tobacco retailer licensing laws. The purpose of this project is two-fold: to identify and share enforcement best practices for reducing tobacco sales to minors, and to strengthen relationships between public health and law enforcement. Primary topics of discussion during the Roundtable will include effective strategies for enforcing illegal sales to minors laws, everyday enforcement challenges and solutions, and maximizing collaboration and coordination across agencies and disciplines. CDPH/CTCP will prepare and disseminate a final outcomes report to local tobacco control projects, law enforcement agencies, and/or other identified groups. The final report will highlight enforcement best practices, lessons learned, and recommendations for local jurisdictions with regards to conducting their own law enforcement roundtables. CDPH/CTCP anticipates that this final report, in conjunction with training and technical assistance efforts, will enhance illegal sales to minors enforcement efforts statewide.

Any anticipated changes in youth tobacco access legislation or regulation in the State:

In 2007, the California legislature passed Senate Bill (SB) 625 which amended AB 71, the Cigarette and Tobacco Products Licensing Act of 2003 (Licensing Act). The Licensing Act now requires tobacco retailers to pay a $100 reinstatement fee as a precondition for reinstatement of an expired state tobacco retailer license. This fee does not apply to the annual renewal application and only pertains to the licenses that actually expire and must be reinstated.

A STAKE Act cleanup bill, SB 624, was signed into law in 2008. This legislation authorizes local enforcement agencies and other state agencies (besides the CDPH/FDB) to conduct random youth decoy inspections and to assess penalties to ensure retailer compliance with the STAKE Act without having to enter into an enforcement delegation contract with CDPH/FDB. Civil penalties for selling or giving tobacco to minors have been increased due to this legislation, and individuals or businesses that engage in tobacco retailing and do not appropriately post the required notice about not selling tobacco to minors can now be assessed a civil penalty. In addition, the $300,000 per year cap on penalty assessment deposits into the Sale of Tobacco to Minors Control Account was removed.

Assembly Bill (AB) 2344, introduced in 2008, would amend the Licensing Act in two primary ways: by increasing the fee to obtain a tobacco retailer license (from $100 to $185), and by requiring retailers to pay the BOE $185 annually to maintain their license.

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

- ☒ Limited resources for law enforcement of youth access laws
- ☒ Limited resources for activities to support enforcement and compliance with youth tobacco access laws
- ☒ Limitations in the State youth tobacco access laws
- ☐ Limited public support for enforcement of youth tobacco access laws
- ☐ Limitations on completeness/accuracy of list of tobacco outlets
- ☐ Limited expertise in survey methodology
- ☐ Laws/regulations limiting the use of minors in tobacco inspections
- ☒ Difficulties recruiting youth inspectors
- ☐ Geographic, demographic, and logistical considerations in conducting inspections
- ☐ Cultural factors (e.g., language barriers, young people purchasing for their elders)
- ☐ Issues regarding sources of tobacco under tribal jurisdiction
- ☒ Other challenges *(Please list.)* Sampling frame coverage study is an unfunded mandate; Lack of peer reviewed scientific evidence demonstrating that the sale of tobacco to minors is associated with youth uptake of tobacco.

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

Limited resources for law enforcement of youth access laws:

The CDPH/FDB STAKE Act Enforcement Unit operates with limited staff (13 investigators statewide) within a flat $1.6 million annual budget which is additionally augmented by funds collected through penalty assessment. The budget situation limits inspection capacity to 8 percent of the approximately 38,000 retailers in the state. CDPH/FDB has, to date, been unable to secure additional funds to mitigate this resource issue. If additional funding could be secured for STAKE Act enforcement operations, CDPH/FDB would be able to hire more inspectors to cover not just more tobacco outlets, but more of the problem outlets. Legislative change is a slow and cumbersome process, and introduced bills stand a good chance of failing. Any future legislative changes that would increase financial resources for the STAKE program would need to be initiated, supported, and driven by local communities and advocacy organizations. In terms of budgetary changes, competing interests make it difficult to secure more resources.

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

In-kind resources to support a statewide youth access media campaign continue to be very limited. Emphasis will be placed on providing technical assistance to local projects to locally-develop media and educational materials and to increase the accessibility of local projects to previously-developed CDPH/CTCP-developed media materials. Although not funded by Synar, new retailer-oriented educational materials will be created by TECC and CDPH/CTCP-funded local projects according to need, placed in the TECC catalog, and made available to target audiences via the most efficient routes of dissemination.

Financial support for the STORE Campaign and POSP Workgroup activities has been and continues to be provided in-kind, such as the maintenance and enhancement of the STORE Campaign web site, the provision of technical assistance and training for the field, the publication and dissemination of training materials such as the *Stop Tobacco Sales to Youth: California Retailers and Youth Tobacco Laws* curriculum for retailers, the PC 308 Enforcement Training Manual, the Tracking and Reporting of Adjudicated Cases "how-to" guide, and the planning and implementation of regional Law Enforcement Roundtables.

In FY 2007-08 CDPH/CTCP allocated over $2.5 million of Proposition 99 funds to support the goals of the STAKE Act Program. Additional funds will be needed to conduct these activities in the future, as tax revenues are declining and competition for the remaining funds for comprehensive tobacco control efforts will become even fiercer.

Limitations in the State youth tobacco access laws:

PC 308(a), a criminal law prohibiting the sale of tobacco products to minors, is enforced by local law enforcement agencies. Because the law is enforced through the criminal courts, local district attorneys are often reluctant to prosecute these cases due to their limited time and court costs. Authority for the enforcement of STAKE Act, which is a civilly prosecuted law, is no longer limited to CDPH/FDB. However, CDPH believes it will be a challenge for local law enforcement agencies to allocate sufficient resources to conduct ongoing STAKE Act youth decoy operations that meet the legislatively defined operational guidelines.

Other than legislative fixes at the state level which come very slowly and are fraught with challenges, CDPH/CTCP's support for local retail licensing policies with strong enforcement provisions has helped to ameliorate limitations in state statutes by increasing local enforcement of youth access laws and reducing illegal sales rates in communities across California. Support will continue for local tobacco retailer licensing efforts.

Difficulties recruiting youth inspectors:

The recruitment of youth inspectors is an ongoing challenge for a variety of reasons: a single contractor funded with in-kind monies to conduct youth recruitment activities statewide, conflicting youth priorities, youth aging out of the program, parents who do not want their children to participate, conflicting school schedules, and small rural communities where youth are well known and the anonymity of the youth is compromised. In addition, the sheer size of California presents a challenge in recruiting youth inspectors to cover the entire state.

CDPH will continue helping the youth recruitment contractor tailor recruitment strategies to reach specific communities, groups and institutions and adjust recruitment timeframes to increase the likelihood that youth of appropriate age and ethnic/racial background will be recruited for decoy operations.

Other Challenges:

Lack of publicized research documenting that illegal tobacco sales is associated with youth uptake of tobacco:

The evidence-base for the Synar Amendment is weak which makes this program difficult to defend when seeking financial support. Stronger scientific research documenting a link between the initiation of youth tobacco use and the illegal purchase of tobacco would create a stronger argument for additional funding.

APPENDICES 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 appendices, therefore, should generally describe the design and protocol and are not to be modified with year-specific information. Please note that any changes to either appendix must receive CSAP's advance written approval. To facilitate the State's completion of this section, simply "cut and paste" the previously approved sampling design (Appendix B) and inspection protocol (Appendix C).

APPENDIX B: SYNAR SURVEY SAMPLING METHODOLOGY

State: CA
FFY: 2009

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

Name of Frame Source	Type of Source	Description	Updating Method and Cycle
BOE licensing list	3	The licensing list is provided by BOE. The Cigarette and Tobacco Products Licensing Act of 2003 (California B&P Code Section 22970-22995) requires California retailers of cigarettes and tobacco products to obtain a license from BOE in order to sell tobacco products.	The list is continually updated by BOE.

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

   N/A

   a. **Is any area left out in the formation of the area frame?** ☐ **Yes** ☐ **No**

      *If **Yes**, what percentage of the State's population is not covered by the area frame?*
      _____%

4. **Federal regulation requires that vending machines be inspected as part of the Synar survey. Are vending machines included in the Synar survey?** ☐ **Yes** ☒ **No**

   *If **No**, please indicate the reason they are not included in the Synar survey.*

   ☐ State law bans vending machines
   ☒ State law bans vending machines from locations accessible to youth

☐ State has SAMHSA approval to exempt vending machines from the survey
☐ Other *(Please describe.)* _____

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

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

Unstratified State-wide sample:
☒ Simple random sample *(Go to Question 9.)*
☐ Systematic random sample *(Go to Question 6.)*
☐ Single-stage cluster sample *(Go to Question 8.)*
☐ Multi-stage 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.)*
☐ Multi-stage 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.)*

N/A

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

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

N/A

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 multi-stage clusters are used, give definitions of clusters at each stage.)*

N/A

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.**

N/A

9. Provide the formulae for determining the effective, target, and original outlet sample sizes.

The effective sample size is given by:

$$n_e = \frac{z_{1-\alpha/2}^2 p(1-p)}{d^2}$$

where,
$z_{1-\alpha/2} = 1.96$, which is $100(1-\alpha/2)$ percentile of the standard normal distribution with $\alpha = 0.05$,
p = target illegal sales rate of 0.2,
d = desired precision of 0.03 with respect to the two-sided 95% confidence interval.

The Target sample size, n_t, is the effective sample size times the design effect. The design effect, d_e is 1.0 because the survey uses a simple random sample. Thus, the Target sample size is the same as the effective sample size.

$n_t = n_e * d_e$

The original sample size is then given by

$$n_o = \frac{n_t}{r_l r_c},$$

where r_l is the eligibility rate from the previous year's survey and r_c is the completion rate from the previous year's survey.

APPENDIX C

STATE: California
FFY: 2009

SYNAR SURVEY INSPECTION PROTOCOL

Note: Attach a copy of the inspection form and protocol used to record the inspection result.

1. **How does the State Synar survey protocol address the following?**

   a. **Consummated buy attempts?**

   ☒ Required ☐ Not Permitted
   ☐ Permitted under specified circumstances ☐ Not specified in protocol

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

   ☐ Required ☒ Not Permitted
   ☐ Permitted under specified circumstances ☐ Not specified in protocol

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

   ☒ Required ☐ Not Permitted
   ☐ Permitted under specified circumstances ☐ Not specified in protocol

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

   ☒ Required ☐ Not Permitted
   ☐ Permitted under specified circumstances ☐ Not specified in protocol

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

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

   List the agency name(s): San Diego State University Research Foundation Behavioral Health Institute (BHI).

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

   ☐ Always ☐ Usually ☐ Sometimes ☐ Rarely ☒ Never

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

CDPH/CTCP entered into an Interagency Agreement with BHI of the San Diego State University Research Foundation to conduct the survey. BHI has substantial experience with conducting youth tobacco purchase surveys. Their responsibilities include: verification of stores, finalizing the survey instrument, recruitment of youth, training of youth and research assistants, conducting the survey, and entering the data.

BHI provided youth participants 1½ hours of training prior to participation in the youth tobacco purchase survey using a standardized training protocol. All youth-identifying data was kept confidential to protect the safety and identity of the youth. Youth were trained with a standardized training protocol.

BHI hired several adult research assistants to conduct the youth tobacco purchase survey in Southern California to augment their staff. The research assistants attended a 2-hour training session prior to conducting fieldwork. At the first store site, the research assistants were observed by BHI staff to ensure that the survey procedures were properly followed. Adult supervisors were trained with a standardized training protocol.

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

   a. **Legal** ☒ **Yes** ☐ **No** *(If **Yes**, please describe):*

Minors' immunity from prosecution for survey and enforcement participation is granted in the language of the STAKE Act.

   b. **Procedural** ☐ **Yes** ☒ **No** *(If **Yes**, please describe):*

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

   a. **Legal** ☐ **Yes** ☒ **No** *(If **Yes**, please describe):*

   b. **Procedural** ☒ **Yes** ☐ **No** *(If **Yes**, please describe):*

The safety of minors involved in all STAKE Act enforcement and survey inspection operations is of the utmost concern to all supervising adults and enforcement agents. The safety protocol used by BHI is as follows:

Youth are never sent into potentially volatile or dangerous situations. If adults or youth find themselves in an "uncomfortable" or "confrontational" situation while in a store or neighborhood, they are to exit the area immediately. No one is to confront a store clerk or customer for any reason. Youth are to report "uncomfortable" situations immediately to the accompanying adult.

All participants are instructed to wear seat belts while traveling in a car. Doors should be locked, and every effort made to act in a safety-conscious manner at all times. Adults are to be cautious drivers and obey all traffic rules. Participants should not jaywalk across streets or walk against red traffic lights.

Each accompanying adult is to carry a letter from CDHS verifying the legitimacy of the surveying activities. In addition, adults are required to carry the phone number of a BHI staff member who can be reached during the purchase attempt activities should a problem arise.

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

a. Legal ☒ **Yes** ☐ **No** *(If **Yes,** please describe):*

STAKE Act requires using 15 or 16 year old youth in inspections.

b. Procedural ☐ **Yes** ☒ **No** *(If **Yes,** please describe):*

APPENDIX D

STATE: California
FFY: 2009

List Sampling Frame Coverage Study
(LIST FRAME ONLY)

1. **Calendar year of the coverage study:** 2007

2. **Percent coverage found: 92.5%**
   (Provide calculation of the percent coverage)

$$P_c = \frac{M}{T} \times 100\% = \frac{148}{160} \times 100\% = 92.5\%$$

M: the number of matched outlets
T: total number of outlets found in the canvassing

3. **Provide a description of the coverage study methods and results.**

1) Sampling Canvassing Areas
California used a multi-stage stratified sampling design for the coverage study. We used the list frame to estimate the number of retailers in sampling areas. We selected 15 zip codes with probabilities proportional to size of population of retailers in zip code. If a zip code had less than 20 outlets, then we took it as a sampling area. For a zip code that had more than 20 outlets, we aggregated census tracts in the zip code as a sampling area that contained about 10 outlets. To get the group of census tracts, first we obtained the geocode for each retailer in this zip code using ArcGIS and spatially located the retailers into their corresponding census tracts. Then we knew approximately how many of outlets in each census tract. In the zip code, we sorted the census tracts by tract ID and randomly selected a census tract. From the selected census tract, we went down the census tract list till the group of tracts had just more than 10 outlets. Finally, we obtained 15 sampling areas with approximately 160 retailers. We mapped each sampling area using ArcGIS.

2) Coverage Rate Analysis
After the list of outlets that was identified by the field canvassing is finalized, we crossed reference this list with the most recently updated sampling frame, the BOE licensing list.

Any unmatched case on the canvassing list was carefully examined to confirm that there is indeed no match in the list frame. When the name and address information on either list is ambiguous or incomplete, we checked back with field workers or contacted the relevant outlets to clarify and confirm the situation.

After all the canvassed outlets were checked against the list frame, any outlet that is not found in the list frame was classified as missing from the list frame. The coverage rate is calculated as following:

$$P_c = \frac{M}{T} \times 100\%$$

M: the number of matched outlets on the list frame
T: the number of outlets found in the canvassing

Coverage Rate per Canvassing Area

Canvassing Area	Number of Outlets Found on BOE Licensing List	Number of Outlets Identified by Field Canvassing	Coverage Rate
1	7	7	100.0%
2	7	11	63.6%
3	13	13	100.0%
4	9	10	90.0%
5	11	11	100.0%
6	8	8	100.0%
7	13	14	92.9%
8	17	21	81.0%
9	1	1	100.0%
10	9	10	90.0%
11	11	12	91.7%
12	11	11	100.0%
13	9	9	100.0%
14	11	11	100.0%
15	11	11	100.0%
Total	**148**	**160**	**92.5%**