

# ANNUAL SYNAR REPORT

42 U.S.C. 300x-26

**OMB № 0930-0222**

FFY 2016

State: **IA**

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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 2015 Compliance Progress) and future plans to ensure compliance with the Synar requirements to reduce youth tobacco access rates (FFY 2016 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, 2015 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 2016 Synar Survey Results: States that use the Synar Survey Estimation System (SSES) must upload one copy of SSES Tables 1–5 (in Excel) to WebBGAS. States that do not use SSES must upload one copy of ASR Forms 1, 4, and 5, and Forms 2 and 3, if applicable, (in Excel) to WebBGAS.
- Synar Inspection Form: States must upload one blank copy of the inspection form used to record the result of each Synar inspection.
- Synar Inspection Protocol: States must upload a copy of the protocol used to train inspection teams on conducting and reporting the results of the Synar inspections.
- 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.

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

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

### **Regular Mail:**

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

### **Overnight Mail:**

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

## FFY 2016: FUNDING AGREEMENTS/CERTIFICATIONS

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

### **PUBLIC HEALTH SERVICES ACT AND SYNAR AMENDMENT**

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

### **SYNAR SURVEY SAMPLING METHODOLOGY**

The state certifies that the Synar survey sampling methodology on file with the Center for Substance Abuse Prevention and submitted with the Annual Synar Report for FFY 2016 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 2016 is up-to-date and approved by the Center for Substance Abuse Prevention.

**State:** Iowa

**Name of Chief Executive Officer or Designee:** Kathy Stone, MBA, LMSW

**Signature of CEO or Designee:** Kathy Stone; Hard copy mailed with original signature

Iowa Department of Public Health, Division of Behavioral  
**Title:** Health

**Date Signed:** October 21, 2015

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

**SECTION I: FFY 2015 (Compliance Progress)**

**YOUTH ACCESS LAWS, ACTIVITIES, AND ENFORCEMENT**

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

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

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

Yes  No

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

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

Yes  No

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

Changed to require that law enforcement conduct inspections of tobacco outlets

Changed to make it illegal for youth to possess, purchase or receive tobacco

Changed to require ID to purchase tobacco

Other change(s) *(Please describe.)* \_\_\_\_\_

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

Licensing of tobacco vendors  Yes  No

Penalties for sales to minors  Yes  No

Vending machines  Yes  No

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

Placed on file for public review

Posted on a state agency Web site *(Please provide exact Web address and the date when the FFY 2016 ASR was posted to this Web address.)*

<http://www.idph.state.ia.us/bh/> Posted October 28, 2015.

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.) Update and posting details about Synar included in the September 2015 Bureau of Substance Abuse monthly Newsletter which has a distribution list of over 900 individuals. Requested comments at the SPF-SIG/Partnership for Success Advisory Council on August 18, 2015. No comments received.*

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**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:**

Iowa Department of Public Health

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

Yes  No

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

Iowa Department of Commerce, Alcoholic Beverages Division (Iowa ABD)

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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):**

Iowa ABD in partnership with law enforcement and the Attorney General's Office through a FDA grant.

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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).**

Iowa Department of Public Health, Division of Tobacco Use Prevention and Control (TUPC)

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**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.)* Through the IDPH, the Division of Behavioral Health is the Single State Authority for Substance Abuse, and the Division of Tobacco Use Prevention and Control, are divisions under the state department-Public Health. The SSA and Block Grant Coordinator both serve on the Tobacco Commission.

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

Iowa Department of Commerce, Alcoholic Beverages Division (Iowa ABD)

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

- Yes  No

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

- Are the same
- Have a formal written memorandum of agreement
- Have an informal partnership
- Conduct joint planning activities
- Combine resources
- Have other collaborative arrangement(s) *(Please describe.)* The IDPH Division of Behavioral Health and the Iowa ABD meet informally, through face to face meetings or share communications telephonically or electronically, to review and plan Synar requirements. When applicable, meetings also are attended by the Division of Tobacco Use prevention and Control Division Director. The SSA and/or the Block Grant Coordinator also attend the quarterly Tobacco Commission meetings.

**g. 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 2015 (see 42 U.S.C. 300x-26 and 45 C.F.R. 96.130(e)).**

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

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

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

PENALTY	OWNERS	CLERKS	TOTAL
Number of <u>citations issued</u>	unk	136	136
Number of <u>finest assessed</u>	unk	133	133
Number of <u>permits/licenses suspended</u>	unk		1
Number of <u>permits/licenses revoked</u>	unk		
Other ( <i>Please describe.</i> ) <i>3 charges dismissed</i>	unk	3	3

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

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

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

Yes  No

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

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

*Briefly describe all checked activities:*

The Iowa Department of Public Health, Division of Behavioral Health, has 23 block grant funded comprehensive prevention contracts, covering 18 providers, that provide primary substance abuse prevention (including tobacco) in all 99 counties. The contracts cover primary substance abuse prevention services (including

tobacco), implement evidenced based practices, collaborate and coordinate with other substance abuse and community providers, provide services to culturally diverse populations, develop, increase and sustain substance abuse community coalitions capacity, increase youth involvement in policy development and engage youth in community coalitions. Division data is provided to the Governor's Office of Drug Control Policy as part of the state's annual drug control strategy and is part of the publicized Iowa ABD data available on-line. Synar results are presented to the Iowa General Assembly at a legislative public hearings , communicated via bureau newsletters, communicated to the Iowa Board of Health (policy body for substance abuse services) and posted to the IDPH website. Reports are shared at the Iowa Behavioral Health Association (IBHA) meetings, have been discussed in the SPF/SIG/Partners for Success Advisory Meetings and will continue to be addressed within Comprehensive Prevention programs. The data analyst for Synar is part of the IDPH State Epidemiological Workgroup (SEW) and incorporates Synar data within their review and study outcomes.

The division data is provided to the Governor's Office of Drug Control Policy (ODCP) as part of the state's annual drug control strategy which is used as IDPH's comprehensive assessment of needs. This document is posted on the website at the Iowa Office of Drug Control Policy and as part of the data posted at the office of the Iowa ABD. The data analyst for Synar is part of the IDPH State Epidemiological Workgroup (SEW) and incorporates Synar data within their review and study outcomes..

The Division of Behavioral Health administers the Iowa Youth Survey every two years to 6th, 8th, and 11th grade students statewide. The data is used by departments, agencies, stakeholders, coalitions, community prevention agencies and other agencies as a way to track trends, strategically plan and develop priorities, assist in grant writing, and develop policies. The Iowa Youth Survey, last conducted in 2014, has all 2014 reports available and trend reports are being released throughout the latter half of 2015. Planning for the 2016 IYS is also underway. TUPC tracks youth tobacco prevalence through the Iowa Youth Survey (IYS). The percent of middle school and high school students' past 30-day use of tobacco products was 6% in 2014; and at 14% for 11th grade students. This is down from 2012, continuing the downward trend seen over the last several surveys.

The IDPH Division of Tobacco Control Use Prevention and Control (TUPC) follows the Center for Disease Control (CDC) goals to: prevent the initiation and establishment of tobacco use in non-smokers, including children and young people, reduce the number of users of tobacco products, and eliminate exposure to secondary smoke and identify and eliminate the disparities related to tobacco use and its effects among different population groups. The division addresses this goal by focusing activities to reduce tobacco-related health disparities in the first three goals.

The Tobacco division is the administrative lead for the youth-led program Iowa Students for Tobacco Education and Prevention (I-STEP). I-STEP members explore the use of social media to present tobacco prevention messages to youth statewide. In addition to social media messages, I-STEP partners with other departments and groups to hold youth conferences and summits. The division

offers technical assistance to I-STEP and community partnerships through materials, media expertise, and training to sponsors and youth.

The TUPC cessation efforts include a statewide, telephone and web-based Quitline that will assist tobacco users in quitting. Quitline Iowa provides information to tobacco users and non-tobacco users on tobacco dependence and treatment. Information may include advice to tobacco users, family members and friends, or health care providers on helping a tobacco user quit and providing appropriate support through the attempt to quit. For Iowans who are ready to quit, Quitline Iowa will assist the participant in developing a personalized quit plan; provide comprehensive, proactive, behavioral counseling; and information about available coverage for tobacco dependence treatment. Quitline Iowa provides a text-messaging service to callers that request it. This service will provide text messages sent during the course of a caller's enrollment in ongoing counseling to the caller's mobile phone. These texts include motivational quit messages, relapse prevention messages, and reminders of upcoming sessions with a quitline counselor. Quitline utilizes Iowa's existing fax referral system allowing health care professionals and Iowa Medicaid providers to fax patient referrals and monitor enrollment and disenrollment in counseling. Adult clients requesting the Medicaid nicotine replacement therapy benefit must be fax-referred to Quitline Iowa by their provider and confirmed to be enrolled in Quitline counseling to be eligible to receive the benefit. The state also offers nicotine replacement therapy to non Medicaid clients by enrolling in phone or web Quitline Iowa services.

The TUPC enforces the Smokefree Air Act, which passed in 2008. The Smokefree Air Act prohibits smoking in almost all public places, enclosed areas within places of employment, and some outdoor areas. The law applies to restaurants, bars, outdoor entertainment events and amphitheaters. It covers places of employment such as office buildings, health care facilities, and child care facilities. Smoking is allowed on the gaming floor of licensed casinos and designated hotel and motel rooms. Approximately 2000 tobacco retailers dropped their tobacco permit following passage of the Smokefree Air Act.

The TUPC also developed a program dedicated to assisting multi-unit housing property managers/owners to implement smoke-free leases. The program includes a tool kit of materials for property managers and a website dedicated to the topic. IDPH contractors were trained on implementation of a Smoke-Free Homes program. Training materials included a sample lease addendum, surveys, factsheets, a property manager guide, and signage. Training content consisted of how to develop an outreach plan, how to offer technical assistance, and what guidelines to use to ensure that properties are smoke-free. A state-wide registry of smoke-free housing is available at <http://smoke-freehomes.iowa.gov/>.

The Tobacco Division provides funds to community partnerships to prevent the initiation of tobacco use and promote cessation among young people and adults, eliminate non-smokers exposure to secondhand smoke, and identify and eliminate the disparities related to tobacco use and its effects among different population groups. The division funds 37 community partnerships statewide. All 37 community partnerships agencies are required to address the following objt

Core activities include:

Goal 1 Required Objective – A minimum of 8 groups of youth will be educated on tobacco prevention.

Goal 1 Objective Required Activities:

1. Attend IDPH training on Youth Tobacco Prevention
2. Contact schools and organizations that work with youth
3. Present to youth groups on tobacco prevention
4. Invite adult leaders and youth to attend contractor's coalition meeting
5. Submit updates to IDPH youth program coordinator

Goal 2 Required Objective – Increase the number of Tobacco Free and Nicotine Free (TF/NF) wellness worksite policies.

Goal 2 Objective Required Activities:

1. Attend IDPH training on TF/NF wellness policy adoption for worksites
2. Present to worksites on TF/NF wellness policy
3. Offer TA to any worksite to implement TF/NF wellness policy
4. Educate and promote QL to key personnel/management of worksite
5. Send approved policy to IDPH
6. Invite, on a quarterly basis, key business personnel to attend contractor's coalition meeting

Goal 3 Required Objective – Increase number of Quitline participants. (The term "Quitline participants" refers to Quitline users/clients.)

Goal 3 Objective Required Activities:

1. Take online provider training: Ask, Advise and Refer – The Brief Tobacco Intervention
2. Take the online contractor training: Quitline Iowa 101
3. Present to health care providers on QL for adults and youth using sample presentation provided by IDPH
4. Report 2A's and R systems change to IDPH
5. Promote QL to youth and adult groups

Partnerships are able to create their own objectives to meet the specific needs in their community. Here is a sample of some of those objective areas:

- a. 56 counties: increase the number of youth groups in their area that work on tobacco prevention,
- b. 33 counties: increase the number of multi-unit housing properties with a smoke free or tobacco free policy,
- c. 36 counties: assist healthcare providers to refer patients to Quitline Iowa for help quitting tobacco use

Community Partnerships must also maintain or attend a local coalition where tobacco control is discussed and recorded in agendas and minutes.

Many community partnerships are choosing to work toward tobacco and nicotine-free schools. Other strategies include developing voluntary policies for tobacco-free fairs, parks, and community events; encouraging smoke-free multi-unit housing, and increasing fax referrals to the Quitline.

Community partnerships have to have environmental strategies in 1 to 3 goal areas depending on funding levels. The goal areas are preventing the initiation of tobacco use among young people, promoting cessation, and eliminating exposure to secondhand smoke. Partnerships are encouraged to address the elimination of tobacco related disparities among different populations within each goal area.

An example of Community Partnership Data includes; 1) there are currently 4 parks with a tobacco free policy, 2) over 62% of schools are tobacco free, 3) there are 65 businesses with a tobacco free policy, 4) 99 counties (all Iowa counties) are now covered by a Community Partnership in FY16, 5) 19.5% is the estimated youth tobacco use prevalence rate (2012), and 6) 19.5 is the estimated adult smoking prevalence rate (2013).

The Tobacco Use Prevention and Control Commission provides direction, and performs duties related to tobacco use prevention and control activities. The membership of the commission shall include the following voting members:

a. Members, one of whom is a member of a racial minority, to be appointed by the governor, subject to confirmation by the senate pursuant to sections 2.32 and 69.19, and consisting of the following:

(1) Three members who are active with nonprofit health organizations that emphasize tobacco use prevention or who are active as health services providers, at the local level.

(2) Three members who are active with health promotion activities at the local level in youth education, nonprofit services, or other activities relating to tobacco use prevention and control.

b. Three voting members, to be selected by the participants in the annual statewide youth summit of the initiative's youth program, who shall not be subject to section 69.16 or 69.16A.

However, the selection process shall provide for diversity among the members and at least: one of the youth members shall be a female.

4. The commission shall also include the following ex officio, nonvoting members:

a. Four members of the general assembly, with not more than one member from each chamber being from the same political party. The majority leader of the senate and the minority leader of the senate shall each appoint one of the senate members. The majority leader of the house of representatives and the minority leader of the house of representatives shall each appoint one of the house members.

b. The presiding officer of the statewide youth executive body, selected by the delegates to the statewide youth summit.

5. In addition to the members of the commission, the following agencies, organizations, and persons shall each assign a single liaison to the commission to provide assistance to the commission in the discharge of the commission's duties:

- a. The department of education.
- b. The drug policy coordinator.
- c. The department of justice, office of the attorney general.
- d. The department of human services

The Iowa ABD is responsible for alcoholic beverages compliance statewide. Since their compliance officers were frequently in retail outlets that also sold tobacco products, the Iowa General Assembly tasked them with tobacco compliance checks

The Iowa ABD was granted authority to administer and oversee enforcement of Iowa's tobacco, alternative nicotine and vapor product laws and education of Iowa's retailers that sell these products through the I-pledge Retailer Training and Enforcement Program in the spring of 2000. The I-pledge program is a partnership with the Iowa ABD and law enforcement to educate retailers and to enforce Iowa's tobacco laws. The goal of Iowa ABD is to achieve a zero sales rate of tobacco, alternative nicotine and vapor products to minors. The I-pledge program has helped increase statewide tobacco compliance to a rate of 93% since it began in 2000. Iowa ABD maintains a website for tobacco information at <http://iowaabd.com>

All retail tobacco permit holders are checked at least once annually and these include the Synar checks. Iowa ABD coordinates with the IDPH, Division of Behavioral Health, for the Synar sampling and analysis, the Iowa Department of Revenue and Finance for regulating tobacco tax, and the Attorney General's Office for additional assistance in citing, fining, suspending and/or revoking tobacco permits when needed.

The I-pledge system participants have taken a pledge to keep tobacco out of the hands of youth. The system's partnership asks kids, tobacco retailers, and law enforcement agencies to pledge not to use tobacco products, sell tobacco products, sell to kids, or use alternative nicotine and vapor products, and to enforce Iowa's tobacco laws. The I-pledge partnership involves city police departments, county sheriff offices, and the State Patrol as partners in joining a statewide network to conduct compliance checks.

Iowa ABD has the primary responsibility for law enforcement and merchant education. Each year, a tobacco enforcement handbook is published to educate law enforcement partners on changes in the law or division policy. The handbook contains compliance check procedures, youth consent forms for youth inspectors, information on the tobacco enforcement web site and how to access it, compliance check forms, and an officer checklist. The I-pledge retailer training is extensive and covers Iowa's tobacco, alternative nicotine and vapor product laws, valid forms of identification and how to spot altered and fake ID's. Participants learn techniques on how to refuse the sale of tobacco, alternative nicotine and vapor products with minimal confrontation. Iowa Pledge Retailer training programs offer certification for all tobacco retailers in the state, free of charge and available on-line at Iowa ABD. This certification program focuses on alerting and educating Iowa's tobacco

retailers so they stay aware and informed of changes in laws in order to work with their employees to ensure legal compliance. The overall goal of this program is voluntary compliance with the state's tobacco laws through education and enforcement and responsible sales techniques.

Established July 1, 2014, Iowa Code, Chapter 453A, requires that any person offering cigarettes, tobacco products, vapor products or alternative nicotine products for sale to the consumer hold a valid tobacco permit and states that a person has to be 18 years old to purchase or attempt to purchase any tobacco, tobacco products, alternative nicotine products, or vapor products or cigarettes. Cessation products are not classified as alternative nicotine products according to the AG's office. This new law did not create any changes in law as they are not determined tobacco products. The license is just like the tobacco license a retailer has to sell cigarettes and other tobacco products.

Vending machines are still not allowed in an establishment where minors are allowed. Iowa ABD, in July 2014, added a Frequently asked question page on Nicotine/Vapor products which can be found at <http://iowaabd.com/tobacco/features/tob/faq> This webpage defines alternative nicotine products and vapor products, and discusses Iowa law, minimum age, defines the products, I-Pledge training and permits necessary.

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

Yes  No

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

Contract with local law enforcement- local law enforcement officials will ticket clerks, as well as retailers, when conducting compliance checks. Law enforcement agents have the complete list of all retail tobacco permits holders and are required to do an annual compliance check of those outlets. To prevent a potential problem of handling the Synar-sampled permit holders differently, law enforcement agencies and officers do not have access to the Synar sample. The compliance checks are done uniformly for all permit holders and the compliance results are recorded on-line for all checks. Iowa ABD, the statistical analyst, and the Synar coordinator are the only entities with access to the sample list. The law enforcement officer waits until the youth, who completed the buy leaves the store, then proceeds to issue citations or warnings. The Iowa Attorney General's Office may become involved and suspend or revoke the permit, depending on the severity of the offense or repeat offenses. The Attorney General does not have access to the Synar sample. Iowa has never had a 'procedure' dealing with "treeing" (businesses calling others advising of a suspected/completed compliance check). When ABD started conducting the compliance checks FY2001, the subject was discussed in-depth. Ultimately it was agreed that the chances of it 'not' happening were equal to or greater than the chances that it 'would or could' happen. Although there has been some anecdotal

evidence that the phenomenon might be occurring, it has never been substantiated. There has been no evidence of a single incident of "treeing" orv suspected "treeing" occurring anywhere in the state. Businesses have, for the most part, accepted the checks as a good thing, and have implemented training to their employees to insure tobacco sales to minors do not happen. Businesses appear to have resolved themselves to the fact that checks will continue to happen.

## 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 2015 (see 42 U.S.C. 300x-26 and 45 C.F.R. 96.130).

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

Yes  No

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

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

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

Yes  No

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

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

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

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

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

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

\_\_\_\_\_ + (1.645 × \_\_\_\_\_) = \_\_\_\_\_  
**RVR Estimate**    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 frame coverage study:** Not applicable

**b. Percent coverage from the latest frame coverage study:** Iowa has a coverage study waiver

**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:** Not applicable

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

Yes  No

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

**a. Provide the inspection period:** From 10/1/14 to 9/30/15  
MM/DD/YY MM/DD/YY

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

217

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.

--

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

## SECTION II: FFY 2016 (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 2016. 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.

The IDPH Division of Behavioral Health serves as the Single State Agency. The division shares the responsibility with IowaABD to do Synar compliance checks and coordinates tobacco prevention between the substance abuse prevention programs and the IDPH Division of Tobacco Use Prevention and Control. The director of the division serves on the IDPH Executive Team with the director of the Division of Tobacco Use Prevention and Control. The directors meet regularly. The integrated roles have allowed for consistency in scope and practice of the divisions collaborating on tobacco issues.

The IDPH Division of Tobacco Use Prevention and Control (TUPC) serves as the Tobacco Health Office and is responsible for tobacco prevention and tobacco cessation programs. It is funded through cigarette tax revenue and the CDC dollars.

IowaABD has an agreement with IDPH to conduct tobacco enforcement and retailer education, and has been responsible for the following activities:

- Obtaining and maintaining lists of tobacco retailer permits, from which to do compliance checks;
- Contracting with law enforcement to do annual, random, unannounced compliance checks on all retail tobacco permit holders. Law enforcement agents have the complete list of permits. To prevent a potential problem of handling the Synar-sampled permit holders differently, law enforcement agencies and officers do not have access to the Synar sample. The compliance checks are done uniformly for all permit holders and the compliance results are recorded on-line for all checks. Iowa ABD, the statistical analyst, and the IDPH Synar Coordinator are the only entities with access to the sample list.
- Contracting with local law enforcement agencies to conduct youth tobacco enforcement at special events such as the Iowa State Fair, My Waterloo Days, Burlington Steamboat Days, and other events, citing youth that illegally possess tobacco products; and

- Developing partnerships with police departments, sheriff’s offices, the state patrol, the Attorney General’s office, and local prosecutors.

Iowa ABD initiated and continues to use the Iowa Pledge program consisting of the partnerships listed above, a retail manager and clerk’s training guides on tobacco sales, and a quiz on tobacco sales. Each stakeholder is encouraged to take the Iowa Pledge, which asks:

- Iowa’s kids to Pledge not to use tobacco products
- Iowa’s retailers to Pledge not to sell tobacco products to kids
- Iowa’s law enforcement to Pledge to enforce Iowa’s tobacco laws

Iowa ABD continues to revise and use materials in training employees in convenience stores. These include point of sale aids to assist clerks in evaluating drivers' licenses and correctly calculating a patron's age to determine if the patron is in fact old enough to legally purchase tobacco products. Website bulletins, billboards, and newspaper ads are utilized.

Local law enforcement agencies are trained to conduct the training for their retailers. Classes are scheduled on-line. Clerks visit the web, select a class, and register on-line.

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

- Limited resources for law enforcement of youth access laws
- Limited resources for activities to support enforcement and compliance with youth tobacco access laws
- Limitations in the state youth tobacco access laws
- Limited public support for enforcement of youth tobacco access laws
- Limitations on completeness/accuracy of list of tobacco outlets
- Limited expertise in survey methodology
- Laws/regulations limiting the use of minors in tobacco inspections
- Difficulties recruiting youth inspectors
- Issues regarding the age balance of youth inspectors
- Issues regarding the gender balance of youth inspectors
- Geographic, demographic, and logistical considerations in conducting inspections
- Cultural factors (e.g., language barriers, young people purchasing for their elders)
- Issues regarding sources of tobacco under tribal jurisdiction
- Other challenges (*Please list.*) none noted at this time

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

## 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 2016). Provide the remaining information by stratum if stratification was used. Make copies of the form if additional rows are needed to list all the strata.

Column 1: *If stratification was used:*

1(a) Sequentially number each row.

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

*If no stratification was used:*

1(a) Leave blank.

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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



## **FORM 2 (Optional)**

### **Appropriate for stratified simple or systematic random sampling designs.**

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

**Instructions for Completing Form 2:** In the top right-hand corner of the form, provide the state name and reporting federal fiscal year (FFY 2016).

- 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: 2016
(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'/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 2016).

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.

<b>Summary of Clusters Created and Sampled</b>				
<b>State:</b> _____				
<b>FFY:</b> 2016 _____				
(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 2016).

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> 2016	
<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 2016).

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.

<b>Synar Survey Inspector Characteristics</b>		
		<b>State:</b> _____
		<b>FFY:</b> 2016
	(1) Attempted Buys	(2) Successful Buys
<b>Male</b>		
15 years		
16 years		
17 years		
18 years		
<b>Male Subtotal</b>		
<b>Female</b>		
15 years		
16 years		
17 years		
18 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).

## APPENDIX B: SYNAR SURVEY SAMPLING METHODOLOGY

State: \_\_\_\_\_  
 FFY: 2016 \_\_\_\_\_

**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
Iowa Department of Public Health, Division of Tobacco Use Prevention and Control – list of tobacco retail permits.	3	Iowa requires retailers of tobacco products to have an annual (fiscal year, July to June) tobacco retail permit. Cities and counties are mandated to submit copies of issued permits to the Division of Tobacco Use Prevention and Control. Vending machines, membership clubs, and “adults only” retailers are removed from the sampling frame, but these retailers are checked annually and reported separately. In the case of a retail outlet that has both a vending machine and over-the-counter sales, the outlet remains on the frame and has the potential of being sampled.	Updated on an annual basis. To insure that the addresses of tobacco outlets on the sampling frame are accurate, compliance officers provide information on new businesses and businesses not in operation. Local law enforcement agencies conduct inspections throughout the year and provide information on changes in retail permits.

**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.) **SAMHSA requested that vending machines be eliminated from the Synar sample and recommended that the vending machines be checked separately. Special Note: Iowa State law bans vending machines in locations accessible to youth. However, Iowa's tobacco permit list does not indicate whether the product is sold over the counter (OTC) or through a vending machine (VM). Therefore, if an outlet chosen for the Synar sample happens to be a VM outlet, it is inspected in order to determine compliance with State law.**

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**Because Iowa chooses its Synar sample using simple random sampling, a small number of VMs are included in the Synar sample. As a result, CSAP advised the State to remove the VM permit holders from the sampling frame prior to sampling, creating two separate lists (one list of OTC tobacco permit holders and one list of VM tobacco permit holders). In the case of a retail outlet that has both a VM and OTC sales, the outlet remains on the frame and has the potential of being sampled. Future frames and samples will be checked for validity of the VM outlet being included in the sample.**

**The Iowa Attorney General's office has interpreted the State ban on tobacco sales that are not face-to-face transactions to apply to tobacco VMs. As a result, all tobacco VMs are required to be within the line of sight of an employee of the establishment where the VM is located. The interpretation states that it is unlawful to place VMs anywhere minors (including employees) can access. The strict restrictions on VM placement have driven many vending machines out of the market place.**

---

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.**

see below in 10

**10. Provide the following information about sample size calculations for the current FFY Synar survey.**

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

**Inputs for Effective Sample Size:**

RVR: 7.7%

Frame Size: 3,472

**Input for Target Sample Size:**

Design Effect: 1.0

**Inputs for Original Sample Size:**

Safety Margin: 391%

Accuracy (Eligibility) Rate: 99.1%

Completion Rate: 99.6%

- 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:**

Effective Sample Size (with finite population correction), using formula (S 3.4) 10/20/15

[These calculations are predicated on 3,472 eligible tobacco outlets, 5.5% previous year's noncompliance rate (Retailer Violation Rate), d=1.0 design effect from last year, 99.0% eligibility (or accuracy) rate from last year [i.e., rl=.990], and 98.8% completion rate from last year [i.e., rc=.988].

$$ne = \frac{1}{\frac{(0.0182)^2}{p(1-p)} + \frac{1}{N}}$$

$$= \frac{1}{\frac{(0.0033124)}{(.055)(.945)} + \frac{1}{3,472}}$$

$$= \frac{1}{\frac{.0033124}{.51975} + .00028802}$$

$$= \frac{1}{.00637306 + .00028802}$$

$$= \frac{1}{.00666108}$$

$$= 150.13 \text{ (rounded to 151)}$$

Target Sample Size (“design effect-adjusted sample size”), using formula (S 3.6)

$$nd = (d)(ne) = (1.0)(151) = 151$$

Original Sample Size

Step 1: “eligibility [also “accuracy”] rate-adjusted sample size,” using formula (S 3.7)

$$nl = nd/rl$$

$$= 151/.990 = 152.53 \text{ (rounded to 153)}$$

Step 2, using formula (S 3.9)

$$no = (d/rlrc)ne$$

$$= (1.0/ (.990)(.988))(151)$$

$$= (1.0/.978120)(151)$$

$$= (1.02236944)(151)$$

$$= 154.38 \text{ (rounded to 155)}$$

Then, adjusting for the 391% ((761-155)/155=606/155=3.91) further inflation in the original sample size, using the 761 observations available in the dataset) yields:

$$no = 155(1+3.91)$$

$$= 155(4.91)$$

$$= 761.05 \text{ (rounded to 762)}$$

--

- 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.**

NA
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## APPENDIX C: SYNAR SURVEY INSPECTION PROTOCOL

State: Iowa

FFY: 2016

*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: The officer will enter the outlet if the officer is not known at the outlet. If the officer is known , they would not want to enter due to exposing the undercover nature of the buy attempt.)
- Not permitted

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

- Required
- Permitted under specified circumstances (Describe: It is up to the law enforcement partners to decide if the youth is compensated)
- 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): Iowa ABD is authorized pursuant to Iowa Code Chapter 142A and a Memorandum of Understanding with the Iowa Department of Public Health to provide enforcement for Iowa's tobacco laws. Local law enforcement cite permit holders, clerks who sell to minor and minors for possession of tobacco products through a 28E agreement and a partnership with Iowa ABD.

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

Always  Usually  Sometimes  Rarely  Never

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

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

Cigarettes  
 Small Cigars/Cigarillos  
 Smokeless Tobacco  
 Other

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

Iowa ABD does not target any one specific brand of tobacco product. Suggestions are made as to what brands the youth should ask for. Typically, when purchasing cigarettes, Marlboro and Camel are the most popular brands carried by retailers, so those are the two that are suggested. If the brand the youth asks for is not available, they are instructed to request another brand, rather than exiting the business without further attempt to purchase.

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

Law enforcement officers, in partnership with Iowa ABD, conduct the Synar inspections. Officials recruit youth using family members of law enforcement officers, personnel involved with tobacco prevention initiatives, local schools and health organizations. It is encouraged that the law enforcement officers meet with the parents of the recruits to explain the program and youth involvement. Parental consent is required for youth participation. The youth are trained by the law enforcement officers on protocols, safety, and acceptable behavior. Iowa ABD supplies each law enforcement agency with a handbook detailing procedures. See attachments for 2015.

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.)

Iowa Code: 704.11 Police activity stipulates that a person acting as an agent of or directed by any police agency who participates in the commission of a crime for the purpose of gathering evidence leading to another's prosecution is not guilty of that crime. Therefore, youth participating in tobacco compliance checks are immune.

Iowa Code 453A.2 , subsections 2, and 8.

1 CIGARETTE AND TOBACCO TAXES, §453A.2

453A.2 Persons under legal age.

2. A person under eighteen years of age shall not smoke, use, possess, purchase, or attempt to purchase any tobacco, tobacco products, or cigarettes.

8. a. A person shall not be guilty of a violation of this section if conduct that would otherwise constitute a violation is performed to assess compliance with cigarette and tobacco

products laws if any of the following applies:

(1) The compliance effort is conducted by or under the supervision of law enforcement officers.

(2) The compliance effort is conducted with the advance knowledge of law enforcement

officers and reasonable measures are adopted by those conducting the effort to ensure that

use of cigarettes or tobacco products by individuals under eighteen years of age does not

result from participation by any individual under eighteen years of age in the compliance

effort.

**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.)*

see B

**b. Procedural**

Yes  No

*(If Yes, please describe.)*

Inspections are to be made at a time when youth would ordinarily be present and only those places where youth are allowed entrance. This is for the safety of the youth as well as for the accuracy of the inspections. Officers prescreen establishments for safety and remain on site, preferably in the establishment if the officer is not known in the community. Adult venues are considered to be unsafe or inappropriate, with the exception of casinos, which are not inspected. Officers perform walk-throughs of these types of establishments.

**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.)*

A briefing is held prior to conducting checks. The trooper in charge will verify the minor has proper, official identification showing date of birth. The trooper in charge will approve the minor's appearance and a photo shall be taken of the minor before each day of compliance checks. The minor's appearance will not be altered after this point. The minor should only have buy money provided by the District in their possession; no other money should be on their person. The minor is instructed to go directly to the targeted merchandise to attempt to make the purchase, speak only as necessary. At no time should the minor try to persuade the licensee clerk to complete the sale. If asked about age, the minor should present their ID to the licensee/clerk, if asked for an ID, the minor should present their ID to the licensee/clerk, if the licensee/clerk takes a minor's ID, the minor is instructed not to argue, leave the store and the trooper will obtain the minor's ID and congratulate the licensee for compliance. The trooper has the authority to terminate the operation at any time for safety reasons. At tobacco retailers, the trooper is stationed inside the store or at a point from which the trooper can observe the sale.

**b. Procedural**

Yes  No

*(If Yes, please describe.)*

Law enforcement agents have the complete list of retail tobacco permit holders. To prevent a potential problem of handling the Synar-sampled permit holders differently, law enforcement agencies and officer do not have access to the Synar sample. The compliance checks are done uniformly for all permit holders and the

compliance results recorded on-line for all checks. Iowa ABD, the statistical analyst, and IDPH Synar Report author are the only entities with access to the sample list.

2. Females and males 16, and 17 years old will attempt to purchase tobacco products, after being trained to do compliance checks. Their appearance should be such that people would assume their age might be under 18 and there would be sufficient reason to check their identification before selling tobacco products.

3. These youth are accompanied by a trained officer and make no effort to disguise their age and will wear clothing, hairstyles, and makeup similar to how they ordinarily dress. They will not have any tobacco products in their possession when they enter the store and will be instructed not to lie. If they are asked their age or birth date, they will give their actual date of birth or show their actual ID or driver's license.

4. The officer remains in a position to be able to see the clerk at all times. If the officer knows the clerk, the officer will wait outside the establishment, but within sight of the clerk in order to visually witness the sale or sale refusal. The only exception to this would be if there is no way to witness the sale unless the officer is inside the building. Law enforcement officers are authorized but not required to use audio visual equipment to enhance safety of the youth and also enhance evidence if there is a purchase.

5. In order to avoid introducing a gender bias, it is suggested that females and males alternate attempts to make a purchase. In most cases, due to the limited number of youth participating, the investigating officer will choose youth based on availability rather than the gender of the youth. Youth will attempt to purchase those brands popular with people their age and gender. Nothing but a tobacco product will be requested in order to establish the probability of an illegal sale most clearly. Nothing else will be done that might be interpreted as an attempt to deceive or entrap the clerk.

6. Youth are trained regarding appropriate behavior whenever a clerk refuses to sell. After each inspection visit, the officer fills out the report form with input from the youth. If there was a sale, the law enforcement officer will issue a citation.

The compliance check form is entered into a database which contains records the following retailer information:

- Retailer Name
- Retailer Address
- Retail Tobacco Permit Number
- Type of business

The following information regarding the actual compliance check is recorded on the compliance check form:

- Retailer Name
- Retailer Address
- Date and time of inspection

- Age, gender, youth identification number, race or ethnicity of the youth inspector
- If youth inspector's identification was requested
- If youth inspector's age was asked
- Gender of the clerk
- If the sale was completed
- Name, department and badge number of witnessing officer
- The attempted purchase item (cigarettes, smokeless tobacco, other tobacco product)
- The form allows the officer to record if the business no longer sells tobaccoproducts, is closed at the time of inspection, is out of business, or if there is an unsatisfactory condition (unsafe or inappropriate etc.)
- The officer signs the hardcopy form
- There is a comment section to record any additional information.

The use of electronic forms ensures complete and consistent data entry. Incomplete forms are not accepted by the system, eliminating the problem of illegible or incomplete reports. Officers inputting data receive immediate confirmation that the reports were received. The system is available 24 hours per day, which meets the needs and demands of diverse collection of officers' work schedules. The database serves as the most accurate and reliable statewide list of tobacco retailers in Iowa. Since cities and counties issue tobacco permits locally, no reliable central repository for the information existed prior to the online collection system.

7. Compensation of youth is left to the individual law enforcement departments. The Iowa ABD reimburses departments \$50 per compliance check. The Iowa State Patrol covers the areas where the local law enforcement does not want to conduct compliance checks. Iowa State Patrol submits reimbursement to Iowa ABD for actual costs incurred which includes; officer buyback at the going rate, youth wages of \$10/ hour (3 hour minimum), youth meals at \$15, youth mileage which is a \$10 flat fee and tobacco products at the going rate.

# APPENDIX D: LIST SAMPLING FRAME COVERAGE STUDY

(LIST FRAME ONLY)

State: \_\_\_\_\_  
FFY: 2016 \_\_\_\_\_

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).