

ANNUAL SYNAR REPORT

42 U.S.C. 300x-26

OMB № 0930-0222

FFY 2010

State: New Hampshire



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

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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 States¹ by supporting Synar activities and providing technical assistance helpful in determining the type of enforcement measures and control strategies that are most effective. This information is helpful to CSAP in improving technical assistance resources and expertise on enforcement efforts and tobacco control program support activities, including State Synar Program support services, through an enhanced technical assistance program involving conferences and workshops, development of training materials and guidance documents, and 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.

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

Getting assistance in completing the Synar report

If you have questions about programmatic issues, you may call CSAP's Division of State Programs at (240) 276-2413 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 2010 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, 2009. 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:

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

Overnight Mail:

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

FFY 2010: 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 2010 is up-to-date and approved by the Center for Substance Abuse Prevention.
State: New Hampshire
Name of Bureau or Drug and Alcohol Services Director: Joseph P. Harding
Name of Division of Community Based Care Associate Commissioner: Nancy Rollins
Date Signed: 12/15/2008
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

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.)*

<http://www.dhhs.state.nh.us/DHHS/ATOD/LIBRARY/Data-Statistical+Report/synar-data.htm>

- 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:

Division of Community Based Care Services - Bureau of Drug and Alcohol Services

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

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

DCBCS/BDAS

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):

New Hampshire Liquor Commission/Bureau of Liquor Enforcement (BLE)

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

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

DPHS - Tobacco Prevention and Control Program(TPCP)

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.)* _____

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 <u>citations issued</u>	0	0	0
Number of <u>finances assessed</u>	0	0	0
Number of <u>permits/licenses suspended</u>	0		0
Number of <u>permits/licenses revoked</u>	0		0
Other (Please describe.)	0	0	0

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.) _____

Briefly describe all checked activities:

Merchant education for management and staff is conducted on a regular basis by BLE. This education includes law and legal requirements, with an emphasis on sales to minors, advise on product placement, and training protocols for new clerks. Merchants who are in compliance receive a letter congratulating them. Community education is done by BLE, TPCP, and through the BDAS Clearinghouse to raise awareness of youth tobacco access laws, and the relation of tobacco use to other substance use problems. Community coalitions funded by BDAS assist in disseminating youth access law information and merchant compliance information.

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:

The time period (within Synar requirements) for inspections was expanded, and inspections were conducted concurrently in multiple stratum to ensure that merchants were not able to alert each other.

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 right limit of the right-sided 95% confidence interval.

$$\underline{\hspace{2cm}} + (1.645 \times \underline{\hspace{2cm}}) = \underline{\hspace{2cm}}$$

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%

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 01/08/09 To 09/20/09
MM/DD/YY MM/DD/YY

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

35

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.

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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 2010 (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 2010. 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.

New Hampshire will institute year-round, consummated compliance checks through an MOU partnership agreement between BDAS and the Bureau of Liquor Enforcement. This is the first component of the NH's year round Synar plan known as PYATT (Preventing Youth Access To Tobacco), and the agreement will include an advisory group, increased merchant and community education components, youth involvement, policy and advocacy work and media. Approved block grant funds will be used to implement and improve plan components and performance in the coming fiscal year, and on an ongoing basis.

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.) Limited coordination between tobacco funding streams and Synar related funding. Limited funding for Synar related activities.

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

The PYATT plan and its partnerships will serve as the coordination point for resources and development.

Traditionally NH has faced barriers in enforcement and related education due to limited staff and funding resources. The issue of limited resources for law enforcement and related education will be addressed through an MOU between BDAS and BLE to increase enforcement activities that will provide an ongoing funding sources for compliance checks and related education activities. BLE will leverage the assets of the MOU to hire a dedicated staff for tobacco compliance checks. This staff person staff will take part in and coordinate year-round compliance checks and related activates. Additionally BDAS and BLE will work jointly to convene an advisory group to help determine actions and assign funds to address merchant and community education needs.

NH is moving to year-round compliance checks, meaning that every tobacco outlet will be checked. NH has no experience or expertise in the survey methodology necessary to capture the information for these comprehensive checks. BDAS has requested assistance from CSAP and its contractor on the transition to census based reporting protocols for the next ASR report.

Geography, demographics and political considerations continue to play a role in youth access in NH, particular in the area of local law enforcement involvement in local compliance checks and youth access/possession enforcement. BDAS has requested TA from CSAP and its contractor on models used in other states. BDAS/BLE will also utilize the advisory board format to garner input and involvement from local communities and their representatives.

Coordination between NH tobacco prevention activities and NH Synar activities continues to present barriers and concerns, particularly in the areas of resources sharing and responsibilities. BDAS will utilize PYATT partnerships and the advisory group, and its connection with the NH Department of Public Health services on regional development, to increase opportunities for communication and cooperation, and to leverage resource sharing through Synar funding in support of PYATT.

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APPENDIX A: FORMS 1–5

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

Complete Form 1 to report sampling frame and sample information and to calculate the unweighted retailer violation rate 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 2009). 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 sub-column (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 non-complete 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 2009).

- 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 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 2009).

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

Column 1: Sequentially number each row.

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

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

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

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

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

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

Summary of Clusters Created and Sampled				
State: _____				
FFY: 2009				
(1) Row #	(2) Stratum Name	(3) Number of PSUs Created	(4) Number of PSUs Selected	(5) Number of PSUs in the Final Sample
Total				

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

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

Instructions for Completing Form 4:

In the top right hand corner of the form, provide the State name and reporting Federal fiscal year (FFY 2009).

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

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

Inspection Tallies by Reason of Ineligibility or Noncompletion			
		State: _____	
		FFY: 2009	
(1) INELIGIBLE		(2) ELIGIBLE	
Reason for Ineligibility	(a) Counts	Reason for Noncompletion	(a) Counts
Out of business		In operation but closed at time of visit	
Does not sell tobacco products		Unsafe to access	
Inaccessible by youth		Presence of police	
Private club or private residence		Youth inspector knows salesperson	
Temporary closure		Moved to new location	
Unlocatable		Drive thru only/youth inspector has no driver's license	
Wholesale only/Carton sale only		Tobacco out of stock	
Vending machine broken		Run out of time	
Duplicate		Other noncompletion reason(s) <i>(Describe.)</i>	
Other ineligibility reason(s) <i>(Describe.)</i>			
Total		Total	

FORM 5 (Required for all States not using the Synar Survey Estimation System (SSES) to analyze the Synar survey data)

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

Instructions for Completing Form 5: In the top right hand corner of the form, provide the State name and reporting Federal fiscal year (FFY 2009).

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 SUBTOTALS. Sum SUBTOTALS for male, female, and OTHER and record in the bottom row marked TOTAL. Verify that that the TOTAL of attempted buys and successful buys equal the total for Column 4(c) and Column 5(c), respectively, on Form 1. If the totals do not match, please explain any discrepancies.

Synar Survey Inspector Characteristics		
		State: _____
		FFY: 2009
	(1) Attempted Buys	(2) Successful Buys
Male		
15 years		
16 years		
17 years		
18 years		
Male Subtotal		
Female		
15 years		
16 years		
17 years		
18 years		
Female Subtotal		
Other		
Total		

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: NH
 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
NH Liquor Commission, Bureau of Liquor Enforcement	3	The NH Liquor Commission/Bureau of Liquor Enforcement provides a license list of establishment that sell tobacco products over-the-counter and/or via vending machine.	Licences are renewed every two years. List is compared to last year's survey results and updated as appropriate.
NH DHHS/DPHS Coverage Study 2007	6	Coverage results compared to list of licensees provided by NH Dept. of Revenue.	NH will move to year round compliance checks in the next year. All outlets will be visited by Bureau of Liquor Enforcement, which will provide updated listing information.

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 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.)

7. Provide the following information about stratification.

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

There were 11 strata used. Strata 1 to 10 represent NH's ten counties (Belknap, Carroll, Cheshire, Coos, Grafton, Hillsborough, Merrimack, Rockingham, Strafford and Sullivan. Stratum 11 includes all vending machines.

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.)

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

The SSES Sample Size Calculator was used to determine the minimum adequate sample size. To ensure the study meets SAMHSA’s precision requirement, a safety margin of 30% was used.

Below is the formula for calculating a sample size using a one-tail test:

Effective Sample Size:

$$n_e = \frac{1}{\left(\frac{(s.e.)^2}{P(1-P)} + \frac{1}{N} \right)}$$

where P is the expected violation rate {insert value here: which rate is used - maximum allowable or previous year’s RVR},
s.e = 0.0182 is the standard error of the estimate for 3% margin of error for one-sided confidence interval

N is the total number of outlets in the sampling frame.

The target sample size (n_t) is the same as the effective sample size for simple random sampling.

The original sample size is determined by:

$$n_o = (1 + s) \frac{n_t}{r_e r_c}$$

where s is a safety margin, r_e is the expected eligibility rate, and r_c is the expected completion rate.

APPENDIX C: SYNAR SURVEY INSPECTION PROTOCOL

State: NH
FFY: 2010

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

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

List the agency name(s): _____

3. Are Synar inspections combined with law enforcement efforts (i.e., do law enforcement 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.

Youth inspectors were recruited from a pool previously vetted for age and appearance by BLE's Age Assessment Panel. Youth inspectors were trained in BLE compliance check procedures on the day of the compliance checks, and photographed on the day of the compliance checks. Youth inspectors were accompanied and supervised by adult BLE field inspectors during the inspections.

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.)*

In 1999 the NH office of the Attorney General issues a legal interpretation granting immunity to underage buyers participating in the Synar survey when working with an adult supervisor. In addition BLE, as the state enforcement agency for youth tobacco access laws, is enabled by statute to utilize underage buyers as part of its enforcement efforts.

- b. Procedural** **Yes** **No** *(If Yes, please describe.)*

BLE protocols for consumated buys allow underage buyers to carry funds and a proper ID to attempt purchase, but not to engage in deceptive partices to complete purchase. BLE is empowered by state statutes to use this protocol, subject to approved procedures as detailed in the BLE Administrative and Operation Manual – Chapter 130A – Compliance Checks.

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.)*

BLE policies advise that compliance checks are not to be done in situations where the youth inspector or BLE field representative feel unsafe. The BLE field inspector will also enter the store, whenever possible, to observe the transaction.

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.)*

- b. Procedural** **Yes** **No** *(If Yes, please describe.)*

Underage buyers must be 15 to 17 years of age, and must be screened by the BLE Age Assessment Panel, which consists of two enforcement officers, two merchant

representatives, and two parents. Those 15 must have “permission to work” papers from their school district and parental permission. 16 and 17 year old participants need only parental permission. All compliance checks must be conducted during daylight hours, but must not conflict with school hours. BLE field inspectors must meet agency standards for compliance check protocols and safety.

APPENDIX D: LIST SAMPLING FRAME COVERAGE STUDY

(LIST FRAME ONLY)

State: NH
FFY: 2010

1. Calendar year of the coverage study: 2007

2. Percent coverage found: 92%

(Provide calculation of the percent coverage.)

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

New Hampshire Coverage Study 2008

Introduction:

SAMHSA is requiring that the state of New Hampshire conduct a coverage study of current tobacco retailers to determine how well the State’s current List Frame represents the coverage of all tobacco retailers across the State.

Coverage Compliance:

The state of New Hampshire intends to comply with this requirement with the following methodology developed with technical assistance from JBS International.

Sampling plan (cluster and stratification): It became evident that NH did not have enough regions that had enough towns with seven or more tobacco outlets in order to comply with the standard coverage study guidelines. Therefore, JBS International proposed an alternative plan that incorporated the delineation of municipalities in NH into “large” (defined as cities with seven or more outlets); “medium” (cities with four to six outlets); or “small” (cities with zero to three outlets). “Cities” are defined as any size municipality and “outlets” are defined as any retailer or establishment that is licensed to sell tobacco.

For randomization, a sequential, systematic random sampling method was used wherein all cities were listed within each strata with enough outlets to meet sample size, and every fifth city was selected in each size strata. There were no areas of the State left out of the chance of selection.

Stratified Design

Stratify the cities by size as defined by number of outlets

· Cities with 7 or more outlets are defined as large cities.

- Cities with 4 to 6 outlets are defined as medium cities.
- Cities with 0-3 outlets are defined as small cities.

X.5 Allocate the strata sample sizes proportional to the number of outlets in the stratum.

§ Sample of area contains 130 to 200 outlets to establish a target sample size of 133 (7 stores added as a result random selection)

§ In NH, there are a total of about 1,600 outlets.

§ The percentage of outlets is calculated by large-, medium-, and small- city stratum.

Large-city stratum has 775 outlets, which accounts for 70% of the total.

Medium-city stratum has 136 outlets, which accounts for 12% of the total.

Small-city stratum has 194 outlets, which accounts for 18% of the total.

Based on the total target sample size, the sample size for each of the strata is as follows:

The sample size for Large-city Strata ($0.70 \times 133 = 93$) = 93 outlets

The sample size for the Medium-city Strata ($0.12 \times 133 = 16$) = 16 outlets

The sample size for the Small-city Strata ($0.18 \times 133 = 24$) = 24 outlets

Minimum Total Outlets for canvassing: 133 in 21 cities

The 2007 NH statewide tobacco-licensing list was used to determine the number of outlets in each county.

of Tobacco Outlets Within Each City (VM and OTC)** (Based on 2007 Statewide Tobacco Licensing List)*

Large Cities

1. LargeCity1 Tilton = 11
2. LargeCity2 Derry = 24
3. LargeCity3 Seabrook = 18
4. LargeCity4 Merrimack = 18
5. LargeCity5 Concord = 18
6. LargeCity6 Rochester = 9

Total Number of Outlets to be Canvassed: 98

Medium Cities

1. MediumCity1 Belmont = 5
2. MediumCity2 Plaistow = 6
3. MediumCity3 Hollis = 5

Total Number of Outlets to be Canvassed: 16

Small Cities

1. SmallCity1 Freedom = 3
2. SmallCity2 Harrisville = 1

- | | |
|----------------|---------------|
| 3. SmallCity3 | Troy =1 |
| 4. SmallCity4 | Pittsburg =3 |
| 5. SmallCity5 | Franconia =2 |
| 6. SmallCity6 | Plymouth =3 |
| 7. SmallCity7 | Litchfield =3 |
| 8. SmallCity8 | Canterbury =1 |
| 9. SmallCity9 | Northfield=3 |
| 10.SmallCity10 | Epping=2 |
| 11.SmallCity11 | Nottingham =1 |
| 12.SmallCity12 | Charlestown=3 |

Total Number of Outlets to be Canvassed: 26

TOTAL OUTLETS TO BE CANVASSED ACROSS STRATA 140 in 21 “cities”

Procedures:

DPHS staff and/or Alcohol, Tobacco and Other Drug providers were given detailed maps of all roads and streets in their assigned city provided by the NH Enhanced 911 service. They were required to drive throughout the “city” until the number of locations listed above had been determined to be selling tobacco products. These canvassers provided DPHS with a list of the names and exact locations of all retailers found in that geographic area selling tobacco products. A packet was provided to each driver that provided the road maps, # of retailers to be found, and a form for filling in store name, street address, town, and protocol for what to say if asked what they are doing. A total of 8 drivers were used.

Canvassers were instructed to verify tobacco retailers by sight (visually confirming tobacco products for sale) and if no tobacco products are visibly for sale will ask, “Do you sell cigarettes here?” with a “thank you” once a response is solicited.

Canvassers were instructed to canvass all stores, outlets or retailers that could potentially selling cigarettes, including convenience stores, gas stations, markets, groceries, supermarkets, malls, camp stores, and American Legions/VFWs if open to the public.

Canvassers filled out a form that required they list the name of the store, street address, and town of retailers found to be selling tobacco products. The forms were collected, aggregated and matched against the current list of retailers obtained from the NH Department of Revenue.

A list of retailers discovered to be selling tobacco products and their locations that do not appear on the NH Dept of Revenue’s most current list will be submitted to the Dept of Revenue with the full results of the coverage study and will require that the Dept of Revenue respond to with a statement of the source or cause of the discrepancies. This response will be submitted to SAMHSA as a component of the coverage study results.

The total number of stores surveyed totaled 140. A total of 129 stores matched the list. This resulted in a 92% accuracy of the list.

SSSES Table 1 (Synar Survey Estimates and Sample Sizes)

CSAP-SYNAR REPORT

State	NH
Federal Fiscal Year (FFY)	2010
Date	12/1/2009 11:43
Data	BLE FY2010 Synar compliance data111609A.xls
Analysis Option	Stratified SRS with FPC

Estimates

Unweighted Retailer Violation Rate	15.1%
Weighted Retailer Violation Rate	15.0%
Standard Error	1.7%
Is SAMHSA Precision Requirement met?	YES
Right-sided 95% Confidence Interval	[0.0%, 17.7%]
Two-sided 95% Confidence Interval	[11.7%, 18.3%]
Design Effect	1.0
Accuracy Rate (unweighted)	97.4%
Accuracy Rate (weighted)	97.5%
Completion Rate (unweighted)	92.1%

Sample Size for Current Year

Effective Sample Size	266
Target (Minimum) Sample Size	264
Original Sample Size	392
Eligible Sample Size	382
Final Sample Size	352
Overall Sampling Rate	20.0%

SSES Table 2 (Synar Survey Results by Stratum and by OTC/VM)

STATE: NH

FFY: 2010

Samp. Stratum	Var. Stratum	Outlet Frame Size	Estimated Outlet Population Size	Number of PSU Clusters Created	Number of PSU Clusters in Sample	Outlet Sample Size	Number of Eligible Outlets in Sample	Number of Sample Outlets Inspected	Number of Sample Outlets in Violation	Retailer Violation Rate(%)	Standard Error(%)
All Outlets											
1	1	97	97	N/A	N/A	21	21	21	2	9.5%	
10	10	48	48	N/A	N/A	10	10	9	0	0.0%	
11	11	29	29	N/A	N/A	6	6	6	0	0.0%	
2	2	97	97	N/A	N/A	21	21	21	8	38.1%	
3	3	115	115	N/A	N/A	25	25	24	7	29.2%	
4	4	83	79	N/A	N/A	19	18	16	3	18.8%	
5	5	156	147	N/A	N/A	33	31	24	3	12.5%	
6	6	510	478	N/A	N/A	111	104	94	17	18.1%	
7	7	172	172	N/A	N/A	37	37	36	3	8.3%	
8	8	357	357	N/A	N/A	77	77	70	9	12.9%	
9	9	145	145	N/A	N/A	32	32	31	1	3.2%	
Total		1,809	1,764			392	382	352	53	15.0%	1.7%
Over the Counter Outlets											
1	1	97	97	N/A	N/A	21	21	21	2	9.5%	
10	10	48	48	N/A	N/A	10	10	9	0	0.0%	
11	11	29	0	N/A	N/A	0	0	0	0	0.0%	
2	2	97	97	N/A	N/A	21	21	21	8	38.1%	
3	3	115	115	N/A	N/A	25	25	24	7	29.2%	
4	4	83	79	N/A	N/A	19	18	16	3	18.8%	
5	5	156	147	N/A	N/A	33	31	24	3	12.5%	
6	6	510	478	N/A	N/A	111	104	94	17	18.1%	
7	7	172	172	N/A	N/A	37	37	36	3	8.3%	
8	8	357	357	N/A	N/A	77	77	70	9	12.9%	
9	9	145	145	N/A	N/A	32	32	31	1	3.2%	
Total		1,809	1,735			386	376	346	53	15.2%	1.7%
Vending Machines											
1	1	0	0	N/A	N/A	0	0	0	0	0.0%	
10	10	0	0	N/A	N/A	0	0	0	0	0.0%	
11	11	0	29	N/A	N/A	6	6	6	0	0.0%	
2	2	0	0	N/A	N/A	0	0	0	0	0.0%	
3	3	0	0	N/A	N/A	0	0	0	0	0.0%	
4	4	0	0	N/A	N/A	0	0	0	0	0.0%	
5	5	0	0	N/A	N/A	0	0	0	0	0.0%	
6	6	0	0	N/A	N/A	0	0	0	0	0.0%	
7	7	0	0	N/A	N/A	0	0	0	0	0.0%	
8	8	0	0	N/A	N/A	0	0	0	0	0.0%	
9	9	0	0	N/A	N/A	0	0	0	0	0.0%	
Total		0	29			6	6	6	0	0.0%	0.0%

SSES Table 3 (Synar Survey Sample Tally Summary)

STATE: NH
FFY: 2010

Disposition Code	Description	Count	Subtotal
EC	Eligible and inspection complete outlet	352	
Total (Eligible Completes)			352
N1	In operation but closed at time of visit	26	
N2	Unsafe to access	0	
N3	Presence of police	0	
N4	Youth inspector knows salesperson	3	
N5	Moved to new location but not inspected	0	
N6	Drive thru only/youth inspector has no drivers license	0	
N7	Tobacco out of stock	1	
N8	Run out of time	0	
N9	Other noncompletion	0	
Total (Eligible Noncompletes)			30
I1	Out of Business	3	
I2	Does not sell tobacco products	5	
I3	Inaccessible by youth	1	
I4	Private club or private residence	1	
I5	Temporary closure	0	
I6	Can't be located	0	
I7	Wholesale only/Carton sale only	0	
I8	Vending machine broken	0	
I9	Duplicate	0	
I10	Other ineligibility	0	
Total (Ineligibles)			10
Grand Total			392

SSES Table 4 (Synar Survey Inspection Results by Youth Inspector Characteristics)

STATE: NH
FFY: 2010

Frequency Distribution

Gender	Age	Number of Inspectors	Attempted Buys	Successful Buys
Male	14	0	0	0
	15	0	0	0
	16	6	74	8
	17	3	24	3
	18	0	0	0
	Subtotal		9	98
Female	14	0	0	0
	15	1	21	4
	16	24	215	36
	17	1	18	2
	18	0	0	0
	Subtotal		26	254
Other		0	0	0
Grand Total		35	352	53

Buy Rate in Percent by Age and Gender

Age	Male	Female	Total
14	0.0%	0.0%	0.0%
15	0.0%	19.0%	19.0%
16	10.8%	16.7%	15.2%
17	12.5%	11.1%	11.9%
18	0.0%	0.0%	0.0%
Other			0.0%
Total	11.2%	16.5%	15.1%