

ANNUAL SYNAR REPORT

42 U.S.C. 300x-26

OMB № 0930-0222

FFY 2009

State: New Jersey



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 2009 Uniform Application, Appendix A. If you have questions about fiscal or grants management issues, you may call the Grants Management Officer, Office of Program Services, Division of Grants Management, at (240) 276-1422.

Where and when to submit the Synar report

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

The State must upload one copy of the report using the online Web BGAS (Block Grant Application System). States that use the Synar Survey Estimation System (SSES) must also upload one copy of SSES Tables 1-5 (in Excel) to Web BGAS. States that do not use SSES must upload one copy of ASR Forms 1, 4 and 5, and Forms 2 and 3, if applicable, (in Excel format) to Web BGAS. Instructions on how to access the Web BGAS system are included in the attached cover letter.

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

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

Regular Mail:

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

Overnight Mail:

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

FFY 2009: FUNDING AGREEMENTS/CERTIFICATIONS

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

PUBLIC HEALTH SERVICES ACT AND SYNAR AMMENDMENT
42 U.S.C. 300x-26 requires each State to submit an annual report of its progress in meeting the requirements of the Synar Amendment and its implementing regulation (45 C.F.R. 96.130) to the Secretary of the Department of Health and Human Services. By signing below, the chief executive officer (or an authorized designee) of the applicant organization certifies that the State has complied with these reporting requirements and the certifications as set forth below.
SYNAR SURVEY SAMPLING METHODOLOGY
The State certifies that the Synar survey sampling methodology on file with the Center for Substance Abuse Prevention and submitted with the Annual Synar Report for FFY 2009 is up-to-date and approved by the Center for Substance Abuse Prevention.
SYNAR SURVEY INSPECTION PROTOCOL
The State certifies that the Synar Survey Inspection Protocol on file with the Center for Substance Abuse Prevention and submitted with the Annual Synar Report for FFY 2009 is up-to-date and approved by the Center for Substance Abuse Prevention.
State: New Jersey
Name of Chief Executive Officer or Designee: Jon S. Corzine
Signature of CEO or Designee:
Title: Governor _____ Date Signed: _____
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.state.nj.us/humanservices/GR-RFP/SynarRpt_SolicitOfCom.doc

- 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:

New Jersey Department of Human Services, Division of Addiction 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:

New Jersey Department of Health and Senior Services (DHSS), Public Health Service Branch, The Division of Family Health Services, Comprehensive Tobacco Control Program (CTCP), Tobacco Age of Sale Enforcement (TASE)

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):

Division of Family Health Services, Comprehensive Tobacco Control Program (CTCP), Tobacco Age of Sale Enforcement (TASE)

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

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

New Jersey Department of Health and Senior Services (DHSS), Public Health Service Branch, Division of Family Health Services, Comprehensive Tobacco Control Program (CTCP), Tobacco Age of Sale Enforcement (TASE)

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>	172	0	172
Number of <u>finest assessed</u>	unable to obtain	unable to obtain	323
Number of <u>permits/licenses suspended</u>	0		0
Number of <u>permits/licenses revoked</u>	0		0
Other (Please describe.)			

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:

1. TASE works closely with local health departments in providing updated promotional merchant education materials for distribution within their areas.
2. One annual training was held for the local health departments on May 15, 2008. A booklet entitled "TASE and Local Health Departments Enforcing Merchant Education & Making Progress Through Comprehensive Collaboration"

was distributed to the attendees. This booklet allowed the local health departments access to printed materials for replication to utilize for merchant education.

3. TASE continues to distribute education materials to retailers that reminds them of their obligation to not sell tobacco to minors.

Community Education:

1. Community Partnerships for a Tobacco-Free New Jersey: The Community Partnerships for a Tobacco-Free New Jersey (formerly known as Community Coalitions) is a statewide network of CTCP funded tobacco prevention programs located within all 21 counties in New Jersey that are working to change the population's attitudes toward tobacco use. These organizations empower communities to increase the availability of smoke free environments by providing health education programs, mobilizing community resources to advocate for tobacco-free social norms and policy action, and increasing referrals to and utilization of treatment services (specifically among disparate populations).

2. CTCP also provides funding to the following organizations:

- * The New Jersey Group Against Smoking Pollution (NJGASP) - a grassroots public interest advocacy organization that campaigns to promote adherence to smoke-free air laws in workplaces and public spaces and provides legal technical assistance to individuals and businesses

- * Mom's Quit Connection from the Southern New Jersey Perinatal Cooperative - provides telephone counseling and group cessation interventions to pregnant and post partum women

- * The American Cancer Society - conducts the Worksite Program that assists businesses to promote healthy work environments and assists workers in moving toward a smoke free life

- * The City of Vineland Health Department - brings health education and treatment information and options about tobacco to migrant workers at their camps and the community at large, via a mobile health unit

- * The New Jersey Prevention Network (NJPN) - coordinates training programs for CTCP grantees

3. REBEL (Reaching Everyone By Exposing Lies) is a youth program that was developed to implement activities that support the tobacco control goals:

- * Decrease the acceptability of tobacco use among all people.

- * Decrease the number of youth under 19 and young adults who start smoking.

- * Reduce tobacco use among different populations.

REBEL has been a high school based, youth empowerment model wherein REBEL members are educated about the harms of tobacco use and the manipulative marketing tactics of the tobacco industry. Members are given a voice and the skills to make positive change in their schools and communities. Through this model,

members become agents of change working to affect the social norm among their peers.

The goals and current priorities have shifted the program's focus from a youth empowerment model to a youth activism model. The shift transitions the program from one that creates individual agents of change, to one that changes the environment in which the teen agents of change primarily function: the schools. This shift in programming will engage youth leaders to change social norms among their peers regarding tobacco use.

- 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 Synar inspections are conducted the same as the normal State inspections that occur through the year. Risk of bias is minimized because retailers do not know what inspection is part of Synar versus routine.

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.

$$\frac{\text{RVR Estimate}}{\text{plus}} + \frac{(1.645 \times \text{Standard Error})}{(1.645 \text{ times})} = \text{Right Limit}$$

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: 84%
- 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 06/15/08 To 9/30/08
MM/DD/YY MM/DD/YY

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

111

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.

In Table 4, it indicates 107 because four youth inspectors were discounted in the SSES calculation once the ineligible sites were excluded from the calculations

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

SECTION II: FFY 2009 (Intended Use):

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

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

Synar sampling methodology Yes No

Synar inspection protocol Yes No

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

2. Please describe the State's plans to maintain and/or reduce the target rate for Synar inspections to be completed in FFY 2009. Include a brief description of plans for law enforcement efforts to enforce youth tobacco access laws, activities that support law enforcement efforts to enforce youth tobacco access laws, and any anticipated changes in youth tobacco access legislation or regulation in the State.

Law Enforcement Efforts to Enforce Youth Tobacco Access Laws:

On October 1, 2008, Governor Corzine approved P.L.2008, c. 91, An Act Banning the Sale of Certain Flavored Cigarettes codified at N.J.S.A. 2A: 170-51.5 to take effect November 30, 2008.

No new law enforcement activities are planned.

Activities that Support Law Enforcement Efforts to Enforce Youth Tobacco Access Law:

New Jersey's plan to maintain and/or reduce the retailer violation rate for Synar inspections are as follows:

- Work with the Department of Treasury and the New Jersey Retailers Association on the distribution of educational material to retailers
- Expand collaboration with CTCP Youth and Community Partnerships grantees to explore/develop outreach activities aim to increase awareness of the law among the merchants/retailers in their counties.

Anticipated Changes in Youth Tobacco Access Legislation or Regulation:

None at this time.

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.*) Concept of Home Rule

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

Limited Resources for Activities to Support Enforcement and Compliance:

CTCP Funding cuts: In July 2008, the Comprehensive Tobacco Control Program funds that support local health departments participation in TASE were reduced from \$11 million to \$8.4 million. This drastic reduction of funding will not allow TASE to implement planned activities as the program has in the past, such as merchant education, media, and two comprehensive trainings for the local health departments.

Concept of Home Rule:

Home rule creates a challenge in New Jersey in that each of the 566 municipalities has control of its own area, rather than have the State regulate the town on most items. The Home Rule Act of 1917 provides all New Jersey municipalities with the same basic powers, rights and duties. As a result, local governments control their own issues, such as development, education, taxes, safety, etc. The associated statute impacting Synar is below:

26:3A2-20.1

2.a. "The Commissioner of Health and Senior Services is authorized to enforce the provisions of section 1 P. L. 2000 c.87 (C.2A:170-51.4) with respect to the prohibition on the sale and commercial distribution of tobacco products to persons under 19 years of age. The commissioner may delegate the enforcement authority provided in this section to local health agencies, subject to the availability of sufficient funding. The commissioner shall report quarterly to the Legislature on the enforcement program's progress, use of grants awarded pursuant to section 7 of P.L. 1966, c. 36 (C.26:2F-7), results of enforcement efforts and other matters the commissioner deems appropriate."

Home rule creates a challenge in that each participating Local Health Department, associated with a municipality, creates its own rules on how to recruit and retain youth inspectors. Although they follow our guidelines for conducting inspections, they use 'home rule' to decide how to compensate inspectors and how to enforce.

Plan:

Expand the collaboration with the Department of Treasury and the New Jersey Retailers Association on the distribution/dissemination of educational materials to retailers.

Explore with the 21 Community Partnerships for a Tobacco Free New Jersey (CP) - one in each county- the possibility of outreaching the tobacco retailers, in order to maintain public awareness through merchant education and media awareness.

The TASE program plans to train tobacco inspectors to provide merchant education to retailers upon completion of tobacco inspections.

CTCP/TASE will seek technical assistance from Synar to search other effective outreach methods to tobacco retailers using cost effective alternatives.

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

Calculation of Weighted Retailer Violation Rate										
										State: _____
										FFY: 2009
(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
Total										

- 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 retailer violation rate
- 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 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: New Jersey
 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 | 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
Licensed Tobacco Retailers	3	Contains the list of sites licensed to sell tobacco.	The list is updated yearly with license renewal forms and new licenses.

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.

The tobacco license list received from Treasury is used as a sampling frame, all outlets are stratified into 4 strata. If a merchant located in a non-participating local health department is chosen in one of the four strata, the State inspectors will perform the investigation. Due to fluctuating priorities of LHDs, the number of departments participating each year is fluid, expecting around 120 LHDs on average each year. LHDs were stratified as Stratum I if the percent distribution of outlets (out of total number of outlets on the frame) in the LHD is <0.5%, Strata II, III, or IV if the percent distribution of outlets in the LHD is greater than or equal to 0.5% but less than 1%, greater than or equal to 1% but less than 3%, or greater than 3%, respectively. The stratum definition can be summarized as follows:

Stratum	Percent Distribution
I	< 0.5%
II	0.5 – 1%
III	1.0 – 3%
V	> 3%

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.

Effective sample size, where
$$n = \frac{1}{\frac{d^2}{z^2 p(1-p)} + \frac{1}{N}}$$

$z = 1.96$, (using two-sided 95% CI),

$d = .03$ (required by SAMHSA),

p = previous year's RVR,

N = total number of outlets in the sampling frame.

Target sample size is equal to the effective sample size assuming that the design effect is one. This assumption is reasonable because the sample design is a stratified simple random sampling with proportional allocation.

Original sample size = Effective sample size / (Eligibility Rate * Completion Rate). Both eligibility and completion rates are anticipated rates based on previous year's data.

APPENDIX C: SYNAR SURVEY INSPECTION PROTOCOL

State: New Jersey
FFY: 2009

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): **New Jersey Department of Health and Senior Services (DHSS) and various Local Health Departments**

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.

The participating LHDs were responsible for assigning their staff as adult supervisors. The LHD adult supervisors recruited youth inspectors from various youth programs such as schools, community and faith-based programs, scouts, YM-YWCAs, REBEL and some through other LHDs.

The DHSS TASE program has its own inspectors who conducted inspections in those areas where LHDs did not participate. TASE recruited one full-time and four part-time employees (Public Health Representatives) to serve as adult supervisors. The adult supervisors recruited the youth inspectors from the same programs used by the LHDs (described above).

The adult supervisors both the LHDs and the TASE program follow the guidelines of the training manual developed by DHSS. This training manual, the New Jersey Guidelines for Prohibiting the Sale of Tobacco Products to Minors, June 1996, was revised in 2003 to ensure standardization in performing inspections. Chapter Three, entitled Compliance Check Inspections, provides specific training information on how to conduct the inspections.

Both on-site and field training was provided to full-time and part-time DHSS TASE supervisors. Adult supervisors trained the youth inspectors, utilizing the training manual noted above.

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.)

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

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

a. Legal Yes No (If Yes, please describe.)

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

New Jersey requires that a current dated photograph of each youth inspector be kept on file with a copy of his or her birth certificate and signed parental consent. The safety of the youth inspector is paramount at all times. In the event that either the youth inspector or adult supervisor perceive or suspect a possible threat, danger or harm, the adult supervisor is authorized to postpone or cancel the inspection.

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.)*

The adult supervisors transport youth to and from the sites and accompany them during the attempted buy, particularly when the site is large enough for the adult supervisor to remain inconspicuous. On occasion, based on the discretion of the adult supervisors, the youth inspector may enter the site alone, when a site is so small (e.g. news stands, kiosk) that suspicion of the clerk would be aroused by the presence of both the adult supervisor and the youth inspector. In all situations, youth inspectors stay within view of the adult supervisor (safety is the primary concern).

The age of hired youth inspectors has changed to no younger than 15 and no older than 18 years of age.

Adult supervisors are either employed by TASE or a LHD and are compensated monetarily. Youth inspectors employed by TASE are compensated monetarily. Youth inspectors with LHDs are compensated based on the policy of the particular LHD. Therefore, the youth may receive payment, refreshments and/or recognition or may volunteer as community service.

APPENDIX D: LIST SAMPLING FRAME COVERAGE STUDY

(LIST FRAME ONLY)

State: New Jersey

FFY: 2009

1. Calendar year of the coverage study: 2007

2. Percent coverage found: 84%

(Provide calculation of the percent coverage.)

Coverage rate = $100 \times b/n = 100 \times 179/213 = 84\%$
--

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

Introduction

Under the Substance Abuse Prevention and Treatment (SAPT) Block Grant Synar requirement, states must conduct annual unannounced random inspections of tobacco retailers to determine the compliance rate with laws prohibiting the sale of tobacco products to persons under eighteen (18) years of age. To fulfill the Synar requirement, each year the States conduct a Synar survey, which involves choosing a random sample of tobacco retail outlets, inspecting the sampled outlets, and then estimating the overall State Retailer Violation Rate (RVR) based on the results of the inspections the sampled outlets.

Nearly every State chooses the Synar sample from some type of list of tobacco outlets. This list is referred to as a “list sampling frame” or, more simply, a “list frame.” The list frame serves as the foundation for the Synar survey; therefore, its quality is very important. Generally, the Substance Abuse and Mental Health Services Administration (SAMHSA) requires a frame coverage study repeated every three (3) years, and the coverage rate of at least 80 percent for the Synar survey.

New Jersey’s Sampling Frame

A tobacco retail list provided by the New Jersey Department of the Treasury was used as the sampling frame for annual SYNAR survey. The list contains the sites licensed to sell tobacco including over-the-counter and vending machines. As of January 2007, there are over 13,000 records in the list.

Since the list is updated every year at time of retail license renewal, it is considered as a complete list with reasonable coverage. However, the coverage rate was 70% in 2002 when

the last coverage study was completed, which fell below SAMHSA’s requirement. Therefore, it is necessary to conduct another coverage study to measure the quality of the tobacco list frame in New Jersey.

Sample Design

Sample Method

New Jersey used the year 2000 census tracts as the sampling area for the upcoming coverage study.

The census tracts information were obtained from the United States Census Bureau Geography Web page. Since New Jersey is a small state and has the highest average population density in the United States, a simple random sample (SRS) was operationally feasible and was used for the coverage study. All tracts were included in the SRS.

Sample Size

SAMHSA recommends a sample of areas that are expected to contain 130 to 200 outlets. The sample size of New Jersey proposed coverage study was determined according to Table 1 below.

The average area size, denoted by m , can be approximated by dividing the total number of outlets in the list frame for the Synar survey by the total number of areas in the area frame for the coverage study. k is the number of areas needed to be canvassed and n is an approximate number of total outlets.

New Jersey’s average number of outlets in a sample area (m) is $13,000/1951 = 6.8$; therefore the number of sample areas were 19 which contain a total of about 133 outlet samples according to Table 1. This would have roughly the same precision in terms of the coverage rate estimate that will result from the survey.

Table 1: Sample Size Determination Chart

Average area size (m)	7	8	9	10	11	12	13	14	15	16	17	18	19	20
Number of areas (k)	19	17	16	15	14	14	13	13	12	12	11	11	10	10
Total outlet sample size (n)	133	136	144	150	155	162	168	182	180	192	187	198	190	200

Sample Area

A total of nineteen (19) census tracts from 16 counties were randomly drawn from New Jersey's census tract list frame by using a SAS random sampling program. Geographic Information Systems (GIS ArcView) software was utilized to obtain accurate maps that include the boundaries and streets of the sampled tracts for canvassing. The detailed field procedures for the coverage study are provided in the following section.

Coverage Survey Field Procedures

1. Review the selected sample area and streets.
2. Plan a walking route that will cover both sides of all streets within the sampled area.
3. Conduct a door-to-door canvassing of all sites that sell or are likely to sell tobacco products.

These sites include:

Supermarkets

Delicatessens

Grocery stores

Convenience stores

Convenience stores/gas stations

Gas stations

Pharmacies

Restaurants

Liquor stores

Bars

Malls

Lunch trucks and any sites that advertise tobacco products

4. Complete one questionnaire for each site that visited. This form includes questions designed to assess location and tobacco license information.

Estimating Frame Coverage from the Coverage Survey

After the list of outlets developed by the field canvassing was finalized, it was carefully compared with the list sampling frame that was being used for the Synar survey.

After all canvassed outlets have been checked against the list frame, any outlet that was not found in the list frame was classified as missing from the list frame.

As the result, a total of 213 sites were found selling tobacco products and 179 of them were in the list sampling frame. Therefore, the coverage rate was calculated as the ratio of the total number (b) of matched outlets on the frame divided by the total number (n) of outlets found by the coverage survey.

Coverage rate = $100 \times b/n = 100 \times 179/213 = 84\%$