# **ANNUAL SYNAR REPORT**

42 U.S.C. 300x-26 OMB № 0930-0222

# FFY 2013 State: Kansas

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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 05-31-2013.

# 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 2012 Compliance Progress) and future plans to ensure compliance with the Synar requirements to reduce youth tobacco access rates (FFY 2013 Intended Use Plan). These data are required by 42 U.S.C. 300x-26 and will be used by the Secretary to evaluate State compliance with the statute. Part of the mission of the Center for Substance Abuse Prevention (CSAP) is to assist States 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.

<sup>&</sup>lt;sup>1</sup>The term "State" is used to refer to all the States and territories required by comply with Synar as a 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. 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, 2012. 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 ASR using the online WebBGAS (Block Grant Application System). In addition, the following items must be uploaded to WebBGAS:

- FFY 2013 Synar Survey Results: States that use the Synar Survey Estimation System (SSES) must upload one copy of SSES Tables 1-5 (in Excel) to WebBGAS. States that do not use SSES must upload one copy of ASR Forms 1, 4 and 5, and Forms 2 and 3, if applicable, (in Excel) to WebBGAS.
- Synar Inspection Form: States must upload one blank copy of the inspection form used to record the result of each Synar inspection.
- Synar Inspection Protocol: States must upload a copy of the protocol used to train inspection teams on conducting and reporting the results of the Synar inspections.

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

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

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

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

Rm.7-1091

# FFY 2013: 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 2013 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 2013 is up-to-date and approved by the Center for Substance Abuse Prevention.

State: Kansas

#### Name of Chief Executive Officer or Designee: Shawn Sullivan

Signature of CEO or Designee:

Secretary, Kansas Department for Aging and Disability **Title:** Services

Date Signed:

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

FFY: 2013 State: <u>Kansas</u> Date: <u>10/31/12</u>

# **SECTION I: FFY 2012 (Compliance Progress)**

# YOUTH ACCESS LAWS, ACTIVITIES, AND ENFORCEMENT

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

- **1.** Please indicate any changes or additions to the State tobacco statute(s) relating to youth access since the last reporting year. If any changes were made to the State law(s) since the last reporting year, please attach a photocopy of the law to the hard copy of the ASR and also upload a copy of the State law to WebBGAS (*see 42 U.S.C. 300x-26*).
  - a. Has there been a change in the minimum sale age for tobacco products?



| lf <b>Yes,</b> cu | rrent minimum age: | 19 | $\Box 20$ | 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  $\Box$  Yes  $\boxtimes$  No

Penalties for sales to minors  $\Box$  Yes  $\boxtimes$  No

**Note:** A change in penalty for retail sales to minors occurred in January 2007 where the fine was reduced from an automatic \$1,000 to a graduated fine schedule of up to \$1,000. The first penalty begins at \$500, second at \$750, third at \$1,000, and fourth \$1,000 and revocation of license, based on a three year time period. The first offense could be reduced, at the discretion of the hearing officer, to under \$500 based upon mitigating circumstances such as an approved training program implemented and completed by the retail dealer and its employees, prior violation history, including the number of inspections previously passed, precautionary procedures or tools used to prevent sales of tobacco to minors, etc.

- 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://csp.kdads.ks.gov/agency/as/Pages/AAPSOutcomesandReports.aspx

- 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

| $\bigcirc$ Other change(s) ( <i>Please describe.</i> ) | <b>Distributed</b> | for review | by Kansas | Synar Advisory |
|--|--------------------|------------|-----------|----------------|
| Group  |                    |            |           |                |

- 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:

Kansas Department for Aging and Disability Services (KDADS)

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

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

Kansas Department of Revenue – Alcoholic Beverage Control Division

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): Kansas Department of Revenue and local law enforcement agencies

Has this changed since last year's Annual Synar Report?  $\Box$  Yes  $\boxtimes$  No

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

<u>The lead Synar agency (Kansas Department for Aging and Disability Services(KDADS)) and</u> <u>the Kansas Tobacco Prevention Agency (Kansas Department of Health and Environment)</u> work collaboratively through the Synar Advisory Group established in June, 2005.

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 2011 (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).

 $\boxtimes$  Enforcement is conducted by both local <u>and</u> State agencies.

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

| PENALTY  | OWNERS | CLERKS | TOTAL |
|--|--------|--------|-------|
| Number of <u>citations issued</u>  | 158    | 158    | 316   |
| Number of <u>fines assessed</u><br>(Citations and fines for clerks are assessed at the<br>local level. This information for clerks is<br>unavailable.) | 158    | UNK    | UNK   |
| Number of permits/licenses suspended   | 1      |        | 1     |
| Number of permits/licenses revoked   | 0      |        | 0     |
| Other ( <i>Please describe.</i> ): Denial of license due to unpaid fines   | 0      | NA     | 0     |

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

Enforcement is conducted only at those outlets randomly selected for the Synar survey.

Enforcement is conducted only at a subset of outlets not randomly selected for

the Synar survey.

 $\boxtimes$  Enforcement is conducted at a combination of outlets randomly selected for the Synar survey and outlets not randomly selected for the Synar survey.

# d. Did every tobacco outlet in the State receive at least one enforcement compliance check in the last year?

Yes Yes

No No

- e. 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.*) <u>Additional Enforcement and Inspector Synar</u> protocol and data collection training

Briefly describe all checked activities:

# Merchant education and /or training:

The Kansas Department for Aging and Disability Services and the Kansas Department of Revenue collaboratively established the Cigarette and Tobacco Enforcement (CATE) Team devoted to tobacco compliance and enforcement. From October 1, 2011 to September 30, 2012, the CATE Team completed 2,355 retailer education/inspection visits. The CATE Team performs annual educational/inspection visits to all cigarette-tobacco licensees. Educational visits consist of performing a mock inspection, including checking for the posting of the State issued license, verifying that the required posting of signage that states that the retail dealer does not sell to persons under 18 years of age. In addition, the following are completed during an educational visit: random check of cigarette packages for the State's tax stamp; asking the retailer which brands are purchased from a wholesale dealer; confirming that the brands sold are listed on the Kansas Attorney General's directories of approved brands permitted to be sold in the state; asking the retail dealer if they retain three months of invoices on the premises; and address any questions that staff may have.

CATE inspectors discuss the techniques to verify age when a Kansas driver's license is presented. Sample driver's licenses are shown and discussed with available staff, noting the slogan, "vertical and green, not 18," as an age verification identifier of the Kansas driver's license.

For a new licensee, the CATE inspector conducts an educational visit. If the licensee is a retail dealer who received a prior educational visit, the CATE inspector conducts an inspection. The difference is on the initial education visit, licensees are given a written warning for any violations found, whereas at the actual inspection, licensees are issued a written citation for the violations. The inspector will have an employee or manager, if available, sign the checklist and leave a business card for the licensee to call for further retailer training or questions they may have at a later date. Inspectors also note that the CATE Team will be periodically performing inspections to curb sales of tobacco to minors by sending an underage youth into the establishment to attempt to purchase cigarettes.

#### **Other: Additional Enforcement**

The CATE Team is comprised of ten field inspectors, who provide statewide coverage of all 105 Kansas counties, and a staff attorney and an administrative assistant, who assist with the prosecution of the issued citations, including the administrative hearing process which may result in fines and/or suspension or revocation of the license, collect and track some of the relevant data needed to show compliance, and perform other duties that support the field staff and help carry out the mission of CATE and enforcement of the cigarette and tobacco laws.

CATE conducts a minimum of one controlled buy enforcement visit at all licensed retail locations that are youth accessible and also target enforcement revisits in locations that have failed previous enforcement visits from either Synar or CATE. CATE ensures that random selected Synar licenses are not visited by CATE or FDA on the same day the Synar inspection takes place.

CATE maintains a database with updates from the enforcement activities; provides timely information upon request from KDADS to assist with the monitoring, evaluating, planning, and data collecting of the Synar effort. County statistics for CATE compliance inspections are included in Appendix E.

#### Synar protocol and data collection training

The lead ABC Synar inspection coordinator, together with the lead Synar analyst, who is contracted by KDADS, presented a Synar protocol refresher course to all ABC inspectors in the state on May 22, 2012. The purpose of the training was to ensure that all inspectors conducting the Synar inspections were fully informed of proper protocol and procedures.

f. Are citations or warnings issued to retailers or clerks who sell tobacco to minors for inspections that are part of the Synar survey? 🖂 Yes 🗌 No

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

Neither CATE Team inspections nor Synar inspections are preceded by a letter of notification of any type of announcement. Because CATE and FDA inspections occur year-round and concurrently with Synar inspection, retailers have no indication or distinction between inspection types.

# g. Please describe the relationship between the State's Synar program and the Food and Drug Administration-funded enforcement program:

The Food and Drug Administration's initial training with the State was conducted on January 19<sup>th</sup>, 2011. Synar, There is an annual re-training held for the FDA program. CATE and FDA visits are coordinated between CATE team lead and the FDA Program Coordinator and are not performed at any one location on the same day. FDA inspections do not take the place of Synar or State CATE inspections.

# 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 2011 (see 42 U.S.C. 300x-26 and 45 C.F.R. 96.130).

6. Has the sampling methodology changed from the previous year?  $\Box$  Yes  $\boxtimes$  No

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

- 7. Please answer the following questions regarding the State's annual random, unannounced inspections of tobacco outlets (*see 45 C.F.R. 96.130(d)(2)*).
  - a. Did the State use the optional Synar Survey Estimation System (SSES) to analyze the Synar survey data? 🖂 Yes 🗌 No

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

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

Accuracy rate

**Completion Rate** 

- **c.** Fill out Form 1 in Appendix A (Forms 1-5). (*Required regardless of the sample design.*)
- **d.** How were the (weighted) RVR estimate and its standard error obtained? (*Check the one that applies.*)

Form 2 (Optional) in Appendix A (Forms) (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? 
Ves No

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

If No, go to Question 7g.

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

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

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

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

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

# 8. Did the State's Synar survey use a list frame? 🖂 Yes 🗌 No

If Yes, answer the following questions about its coverage.

# a. The calendar year of the latest frame coverage study: 2012

# b. Percent coverage from the latest frame coverage study: <u>99%</u>

# c. Was a new study conducted in this reporting period? Ves 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: 2017

# 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 07/01/12 To 09/30/12

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

27

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.

Please note that four youth inspectors had birthdays during the inspection period moving them into another age range. The actual number of youth inspectors is 27. In Table 4, SSES will count the duplicate and report the number of youth inspections as 31.

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

# SECTION II: FFY 2012 (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 2013. Include a brief description of plans for law enforcement efforts to enforce youth tobacco access laws, activities that support law enforcement efforts to enforce youth tobacco access laws, and any anticipated changes in youth tobacco access legislation or regulation in the State.

The Kansas Department for Aging and Disability Services will work collaboratively with the Kansas Department of Revenue to continue the efforts of the Cigarette and Tobacco Enforcement Team. Activities will encompass year-round checks that include educational visits, enforcement visits and controlled buys. Regional Prevention Centers will continue efforts in their local communities and develop plans with CATE inspectors to continue retailer educational visits to maximize their impact.

The Synar Advisory Group, composed of agency, retailers and non profit organizations, will meet biannually to review the Annual Synar report and to review the data from the CATE inspections and make additional educational visits as needed. Members of the SAG will also contribute to a comprehensive State tobacco prevention plan. This effort will be undertaken specifically by the Kansas Department of Health and Environment though the Tobacco Free Kansas Coalition.

# **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.*)

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

# Limited resources for law enforcement of youth access laws:

Resources continue to be limited due to local and state level staffing issues particularly for coverage in rural areas. In addition, state revenues continue to decline as a result of the economy and significant budget cuts. The State is preparing a Technical Assistance request to look at additional cost effective ways to address this concern.

# Laws/regulation limiting the use of minor in tobacco inspections:

Kansas law prohibits minors from attempting to purchase tobacco. However, there are statutory exceptions provided in the KSA 79-3394. The specific language of this statute is:

No person shall engage or direct a minor to violate any provision of this act for purposes of determining compliance with provisions of this act of the Kansas consumer protection act unless such person has procured the written consent of a parent or guardian of the minor to so engage or direct the minor and such person is:

(a) An officer having authority to enforce the provisions of this act;

(b) an authorized representative of the attorney general, a county attorney or a district attorney; or

(c) an authorized representative of a business acting pursuant to a self-compliance program designed to increase compliance with the provisions of this act.

History: L.1996, ch. 214 17; July 1.

In the past when funding was available the State utilized local coalitions to perform unconsummated visits however due to current budget constraints these types of visits are very limited. The State would consider this approach again if additional funding becomes available.

# **Difficulties recruiting youth inspectors**

Youth are recruited from a variety of groups including SADD, ROTC, churches, Boy Scouts, and local law enforcement and Regional Prevention Center (RPC) referrals. Due the lack of set hours, dates of inspections, and busy or conflicting schedules of youth, recruitment and continued employment of the Underage Cooperating Individuals (UCIs) is challenging. It is hoped the year-round effort of the CATE inspectors will allow for regular employment of UCIs with pre-determined hours and thus, will reduce the challenge involved in UCI recruitment and retention. Continued partnership between Regional Prevention Centers and CATE staff will assist in recruitment as well. A protocol for informing CATE of potential UCI's was a condition added last year to the contract between KDADS and the RPC's.

# Geographic, demographic, and logistical considerations in conducting inspections:

Kansas is 400 miles long and 210 miles wide. These 82,823 square miles constitute 105 counties that for purposes of Synar sampling are divided into four strata based on natural population breakpoints from the 6-17 year old population of the 2000 U.S. Census. The majority of counties (69) reside in stratum 4 'sparse rural' areas. CATE visits to all licensed retail locations per year is challenging given the demographic and logistical considerations in Kansas.

# **Cultural Factors:**

Language barriers also exist within ethnic and cultural groups. Due to multiple dialects, the state is challenged to provide resources and materials that are culturally competent.

# **APPENDIX A: FORMS 1–5**

# SSES Table 1 (Synar Survey Estimates and Sample Sizes)

# **CSAP-SYNAR REPORT**

| State                     | KS                      |
|---------------------------|-------------------------|
| Federal Fiscal Year (FFY) | 2013                    |
| Date                      | 10/31/2012 13:15        |
| Data                      | Synar Tables.xlsx       |
| Analysis Option           | Stratified SRS with FPC |

#### Estimates

| Unweighted Retailer Violation Rate   | 3.2%         |
|--------------------------------------|--------------|
| Weighted Retailer Violation Rate     | 3.1%         |
| Standard Error                       | 1.0%         |
| Is SAMHSA Precision Requirement met? | YES          |
| Right-sided 95% Confidence Interval  | [0.0%, 4.8%] |
| Two-sided 95% Confidence Interval    | [1.2%, 5.1%] |
| Design Effect                        | 1.0          |
| Accuracy Rate (unweighted)           | 92.9%        |
| Accuracy Rate (weighted)             | 93.8%        |
| Completion Rate (unweighted)         | 99.0%        |

# Sample Size for Current Year

| Effective Sample Size        | 227   |
|------------------------------|-------|
| Target (Minimum) Sample Size | 227   |
| Original Sample Size         | 337   |
| Eligible Sample Size         | 313   |
| Final Sample Size            | 310   |
| Overall Sampling Rate        | 13.7% |

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

# STATE: KS

FFY: 2013

| Samp.<br>Stratum | Var.<br>Stratum | Outlet<br>Frame<br>Size | Estimated<br>Outlet<br>Population<br>Size | Number<br>of PSU<br>Clusters<br>Created | Number<br>of PSU<br>Clusters<br>in<br>Sample | Outlet<br>Sample<br>Size | Number<br>of<br>Eligible<br>Outlets<br>in<br>Sample | Number<br>of<br>Sample<br>Outlets<br>Inspected | Number<br>of<br>Sample<br>Outlets<br>in<br>Violation | Retailer<br>Violation<br>Rate(%) | Standard<br>Error(%) |
|------------------|-----------------|-------------------------|---|---|--|--------------------------|---|--|--|----------------------------------|----------------------|
|                  |                 |                         |   |   | All C  | Outlets                  |   |  |  |                                  |                      |
| 1                | 1               | 644                     | 591                                       | N/A                                     | N/A  | 134                      | 123   | 123  | 3  | 2.4%                             |                      |
| 2                | 2               | 521                     | 468                                       | N/A                                     | N/A  | 88                       | 79  | 79   | 4  | 5.1%                             |                      |
| 3                | 3               | 736                     | 704                                       | N/A                                     | N/A  | 68                       | 65  | 64   | 2  | 3.1%                             |                      |
| 4                | 4               | 534                     | 523                                       | N/A                                     | N/A  | 47                       | 46  | 44   | 1  | 2.3%                             |                      |
| Total            |                 | 2,435                   | 2,286                                     |   |  | 337                      | 313   | 310  | 10   | 3.1%                             | 1.0%                 |
|                  |                 |                         |   | Ov                                      | ver the Co                                   | unter Ou                 | tlets   |  |  |                                  |                      |
| 1                | 1               | 644                     | 586                                       | N/A                                     | N/A  | 132                      | 122   | 122  | 3  | 2.5%                             |                      |
| 2                | 2               | 521                     | 444                                       | N/A                                     | N/A  | 81                       | 75  | 75   | 3  | 4.0%                             |                      |
| 3                | 3               | 736                     | 704                                       | N/A                                     | N/A  | 66                       | 65  | 64   | 2  | 3.1%                             |                      |
| 4                | 4               | 534                     | 523                                       | N/A                                     | N/A  | 47                       | 46  | 44   | 1  | 2.3%                             |                      |
| Total            |                 | 2,435                   | 2,257                                     |   |  | 326                      | 308   | 305  | 9  | 2.9%                             | 1.0%                 |
|                  |                 |                         |   |   | Vending                                      | Machine                  | S   |  |  |                                  |                      |
| 1                | 1               | 0                       | 5   | N/A                                     | N/A  | 2                        | 1   | 1  | 0  | 0.0%                             |                      |
| 2                | 2               | 0                       | 24  | N/A                                     | N/A  | 7                        | 4   | 4  | 1  | 25.0%                            |                      |
| 3                | 3               | 0                       | 0   | N/A                                     | N/A  | 2                        | 0   | 0  | 0  | 0.0%                             |                      |
| 4                | 4               | 0                       | 0   | N/A                                     | N/A  | 0                        | 0   | 0  | 0  | 0.0%                             |                      |
| Total            |                 | 0                       | 29  |   |  | 11                       | 5   | 5  | 1  | 20.8%                            | 16.9%                |

# SSES Table 3 (Synar Survey Sample Tally Summary)

STATE: KS FFY: 2013

| Disposition Code           | Description                                    | Count | Subtotal |
|----------------------------|--|-------|----------|
| EC                         | Eligible and inspection complete outlet        | 310   |          |
| Total (Eligible Completes) |  |       | 310      |
| N1                         | In operation but closed at time of visit       | 0     |          |
| N2                         | Unsafe to access                               | 2     |          |
| N3                         | Presence of police                             | 0     |          |
| N4                         | Youth inspector knows salesperson              | 1     |          |
| N5                         | Moved to new location but not inspected        | 0     |          |
|                            | Drive thru only/youth inspector has no drivers |       |          |
| N6                         | license  | 0     |          |
| N7                         | Tobacco out of stock                           | 0     |          |
| N8                         | Run out of time                                | 0     |          |
| N9                         | Other noncompletion                            | 0     |          |
| Total (Eligible            |  |       |          |
| Noncompletes)              |  |       | 3        |
| 11                         | Out of Business                                | 15    |          |
| 12                         | Does not sell tobacco products                 | 3     |          |
| 13                         | Inaccessible by youth                          | 5     |          |
| 14                         | Private club or private residence              | 0     |          |
| 15                         | Temporary closure                              | 0     |          |
| 16                         | Unlocatable                                    | 0     |          |
| 17                         | Wholesale only/Carton sale only                | 0     |          |
| 18                         | Vending machine broken                         | 1     |          |
| 19                         | Duplicate                                      | 0     |          |
| 110                        | Other ineligibility                            | 0     |          |
| Total (Ineligibles)        |  |       | 24       |
| Grand Total                |  |       | 337      |

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

STATE: KS FFY: 2013

| Gender      | Age      | Number of<br>Inspectors | Attempted<br>Buys | Successful<br>Buys |
|-------------|----------|-------------------------|-------------------|--------------------|
| Male        | 14       | 0                       | 0                 | 0                  |
|             | 15       | 6                       | 59                | 1                  |
|             | 16       | 7                       | 87                | 3                  |
|             | 17       | 2                       | 7                 | 0                  |
|             | 18       | 0                       | 0                 | 0                  |
|             | Subtotal | 15                      | 153               | 4                  |
| Female      | 14       | 0                       | 0                 | 0                  |
|             | 15       | 6                       | 94                | 2                  |
|             | 16       | 8                       | 49                | 2                  |
|             | 17       | 2                       | 14                | 2                  |
|             | 18       | 0                       | 0                 | 0                  |
|             | Subtotal | 16                      | 157               | 6                  |
| Other       |          | 0                       | 0                 | 0                  |
| Grand Total |          | 31                      | 310               | 10                 |

# **Frequency Distribution**

# Buy Rate in Percent by Age and Gender

| Age   | Male | Female | Total |
|-------|------|--------|-------|
| 14    | 0.0% | 0.0%   | 0.0%  |
| 15    | 1.7% | 2.1%   | 2.0%  |
| 16    | 3.4% | 4.1%   | 3.7%  |
| 17    | 0.0% | 14.3%  | 9.5%  |
| 18    | 0.0% | 0.0%   | 0.0%  |
| Other |      |        | 0.0%  |
| Total | 2.6% | 3.8%   | 3.2%  |

# **APPENDIXES B & C: FORMS**

#### Instructions

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

# APPENDIX B: SYNAR SURVEY SAMPLING METHODOLOGY

| State: | Kansas |
|--------|--------|
| FFY:   | 2013   |

# 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<br>Source | Description   | Updating Method and Cycle  |
|---|-------------------|---|--|
| Kansas Department of<br>Revenue (KDOR)<br>/Division of Taxation | 3                 | KDOR/Division of Taxation maintains a<br>database of all tobacco licenses and vending<br>machine permits in Kansas. | Licenses to sell cigarettes in the<br>State of Kansas are valid for a<br>maximum of two years. All licenses<br>expire on December 31 <sup>st</sup> of odd<br>years and must be renewed by<br>January 1 <sup>st</sup> of even years, regardless<br>of issue date. |

# 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?  $\square$  Yes  $\square$  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.

Kansas is about 400 miles long and 210 miles wide. These 82,823 square miles constitute 105 counties that for purposes of Synar sampling are divided into four strata based on natural population breakpoints from the 6-17 year-old population of the U.S. Census data to accurately reflect the current demographics in the state. Stratum 1 represents the two most populated counties in the state. The six counties in stratum 2 are considered "quasi-urban." Stratum 3 has 28 counties considered to be "medium-sized rural" and the majority of counties (69) reside in stratum 4, "sparse rural" areas.

# b. Is clustering used within the stratified sample?

| <b>Yes</b> | (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 formulas for determining the effective, target, and original outlet sample sizes.

The SSES sample size calculator is used to estimate the sample size. To ensure the study meets SAMHSA's precision requirement, a safety margin of 20% was applied. The formula for calculating the effective sample size,  $n_e$ , is based on page 35 (formula S3.4) of the Sample Design Guidance. It is written as:

$$n_e = \frac{1}{\left(\frac{(0.0182)^2}{P(1-P)} + \frac{1}{N}\right)},$$

where *P* is the expected Retail Violation Rate (RVR) (for which the previous year's RVR can be used), 0.0182 is the standard error of the estimate for 3% margin of error for one-sided 95% confidence interval, and *N* is the outlet population (frame) size. The target sample size should be derived as the effective sample size multiplied by the design effect ( $n_t = dn_e$ ).

The original sample size is determined by inflating the target sample size by the expected eligibility rate  $(r_l)$  and the expected completion rate  $(r_c)$ . The original sample size can be written as:

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

Where  $r_l$  = the eligibility rate from the previous year's survey and  $r_c$  = the completion rate from the previous year's survey.

- **10.** Provide the following information about sample size calculations for the current FFY Synar survey.
  - a. If the State uses the sample size formulas embedded in the Synar Survey Estimation System (SSES) Sample Size Calculator, please provide the following information:

**Inputs for Effective Sample Size:** RVR: 7.6% Frame Size: 2,435

**Inputs for Target Sample Size**: Design Effect: 1.0

**Inputs for Original Sample Size:** Safety Margin: 20% Accuracy (Eligibility) Rate: 85.8% Completion Rate: 94.4%

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

# **APPENDIX C: SYNAR SURVEY INSPECTION PROTOCOL**

State: Kansas FFY: 2013

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

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

| a.          | Consummated buy attempts?   |                                      |
|-------------|---|--------------------------------------|
|             | 🖂 Required  | 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            |
| •           | the agency(ies) or entity(ies) that actually c<br>respections of tobacco outlets. (Check all that | ,                                    |
| $\boxtimes$ | Law enforcement agency(ies)   |                                      |
|             | State or local government agency(ies) other th  | nan law enforcement                  |
|             | Private contractor(s)   |                                      |
|             | Other   |                                      |
|             | st the agency name(s): Kansas Department of ontrol (ABC).   | <u> Revenue – Alcoholic Beverage</u> |
|             |   |                                      |

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

| Always | Usually | Sometimes | Rarely | Never |
|--------|---------|-----------|--------|-------|
|--------|---------|-----------|--------|-------|

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

Youth are recruited from various sources throughout communities in the state, such as local substance abuse coalitions, health departments, schools, and home schooled youth. They are contacted by KDOR/ABC to schedule a meeting with them and their parents to explain the process, expectations and safeguards for the minors. If the youth are still interested, a background check is conducted to ensure that the youth do not have a criminal record. Community members (law enforcement, teachers, etc.) are interviewed to ensure the youth are of good character. If inspectors are satisfied with the screening, youth are hired. KDOR-ABC inspectors train all youth on inspection protocol and safety issues. All adults working with minors are KDOR commissioned inspectors.

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

| Legal      | Yes INO (If Yes, please describe.)   |
|------------|--|
|            | v provides for the immunity of minors participating in the tobacco<br>eks and alcohol sales. |
| Procedural | <b>Yes No</b> (If Yes, please describe.)   |
|            | Kansas State lav<br>compliance chec  |

- 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 Ves No** (If Yes, please describe.)

If either the minor or the inspector feels that the outlet is unsafe to enter at the time of inspection, the inspection is not attempted. Inspectors observe the minor during the transaction from either within or outside the establishment to ensure the safety of the minor and to monitor the transaction. In addition, some inspectors team up with another inspector in order to have an inspector present with the UCI at all times to ensure their safety and protection.

- 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.)

Youth must be at least 15 years of age but not older than 17 years 6 months.

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

During the course of inspections, youth inspectors are instructed to answer questions honestly; however, youth inspectors are instructed to respond "No" if asked the question "Are you working with law enforcement?"

# APPENDIX D: LIST SAMPLING FRAME COVERAGE STUDY

# (LIST FRAME ONLY)

State: Kansas FFY: 2013

- 1. Calendar year of the coverage study: 2012
- 2. a. Unweighted percent coverage found: 99%
  - **b. Weighted percent coverage found:** 98.8%
  - c. Number of outlets found through canvassing: 161
  - d. Number of outlets found matched on the list frame: 159
- **3. a. Describe how areas were defined.** (*e.g.*, *census tracts, counties, etc.*) Four areas were stratified in accordance with the Synar sampling process. In the most rural stratum, areas were defined as counties. In the remaining stratum, areas were defined as zip codes, clusters of zip codes, or segments of zip codes.

# b.Were any areas of the State excluded from sampling? \_\_Yes \_\_X\_ No

If Yes, please explain.

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

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

\_\_ Census (Go to Question 6.)

#### **Unstratified Statewide sample:**

- \_\_\_\_ Simple random sample (Respond to Part b.)
- \_\_\_\_ Systematic random sample (Respond to Part b.)
- \_\_\_\_\_ Single-stage cluster sample (Respond to Parts b and d.)
- \_\_\_\_ Multistage cluster sample (Respond to Parts b and d.)

#### **Stratified sample:**

- \_\_\_\_ Simple random sample (Respond to Parts b and c.)
- \_\_\_\_\_ Systematic random sample (Respond to Part b and c.)
- \_\_\_\_ Single-stage cluster sample (Respond to Parts b, c, and d.)
- \_X\_ Multistage cluster sample (Respond to Parts b, c, and d.)
- \_\_\_\_ Other (Please describe and respond to Part b.)

#### b. Describe the sample methods.

The coverage study employed a two-stage design approved by SAMHSA with a target sample size of about 170 outlets across the state. The area sample design for each stratum were as follows:

Stratum 4, sparse rural – Three counties in stratum four were randomly selected for canvassing. There was no second stage sampling in Stratum 4.

Stratum 3, medium-sized rural – three counties were randomly selected for the study. Each selected county was partitioned into smaller segments with approximately equal number of outlets per segment. Using the Kansas tobacco license list as a guide to approximate number of outlets, partitioning involved sorting zip codes in each county. Small zip codes (< 8 outlets) were combined, and large zip codes (>20 outlets) were partitioned into smaller units with a goal being an average segment area size of between 10 to 15 outlets. Large zip codes were segmented by logical geographic boundaries. Two segments per county were then randomly selected for canvassing.

Stratum 2, quasi-urban – Two counties were randomly selected and partitioned as described for stratum 3.

Stratum 1, urban – There are two counties in stratum 1 with large number of outlets. The primary sampling unit in this stratum was zip codes. Using the same clustering and partitioning process described above for counties, small zip codes were combined and large zip codes were partitioned geographically before selection. Two zip code segments were randomly selected for canvassing.

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

The coverage study used the same stratification used in the Synar sample. The 105 counties of Kansas are divided into four strata based on natural population breakpoints from the 6-17 year-old population. Stratum 1 represents the two most populated counties in the state. The six counties in Stratum 2 are considered "quasi-urban". Stratum 3 has 28 counties considered to be "medium-sized rural" and the majority of counties (69) reside in Stratum 4, "sparse rural" areas.

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

As described in 4.b., clustering of small zip codes areas (< 8 outlets) and partitioning or large zip codes (> 20 outlets) occurred prior to random selection to try to ensure relatively equal number of outlets per segment using logical geographic boundaries when possible.

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

\_X\_Yes \_\_\_No

6. Were all sampled areas visited by canvassing teams?

**\_X\_Yes** (Go to Questions 7.) **\_\_No** (Respond to Parts a and b.)

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- a. Was the subset of areas randomly chosen? \_\_\_Yes \_\_\_No
- b. Describe how the subsample of visited areas was drawn. Include the number of areas sampled and number of areas canvassed.
- 7. Were field observers provided with a detailed map of the canvassing areas? \_X\_Yes \_\_No

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

8. Were field observers instructed to find all outlets in the assigned area? \_X\_Yes \_\_\_No

If No, respond to Question 9.

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

# **Field Canvasser Data Collection Instructions**

Please canvass the outlined area on the map provided:

- 1. Check all stores in the identified area. Write down the name and address of each outlet that sells tobacco products (e.g., Quick Stop, 123 W. Elm Street). Those that do not sell tobacco products do not need to be recorded.
- 2. In areas with large buildings or other types of complexes it may be necessary to check throughout the entire complex or to speak with the management to identify tobacco outlets operating within. This could apply to malls, recreational areas, campuses, etc.
- 3. If a location has an age-restriction (bar, liquor store, etc.) please write the name and location and check the box indicating that they are not youth accessible. If a store appears to be unsafe to enter but appears that it might sell cigarettes, record the name and address but indicate that no one entered the store to verify.
- Information can be collected on any paper and (1) typed into Word or Excel and emailed to <u>lisa.schossow@greenbush.org</u> or (2) faxed to Lisa Schossow at (620) 724-6284. All data must be submitted by August 3<sup>rd</sup>, 2012.
- 5. If you have any questions please contact Lisa Schossow at <u>lisa.schossow@greenbush.org</u> or call at (620)724-6281.

Thank you!

# 9. If a full canvassing was not conducted:

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

- b. What were the starting points for each area?
- c. Were these starting points randomly chosen? \_\_ Yes \_\_ No
- d. Describe the selection of starting points.
- e. Please describe the canvassing instructions given to the field observers, including predetermined routes.

# **10. Describe the process field observers used to determine if an outlet sold tobacco.** Field canvassers checked all stores in their assigned area and wrote down the name and address of each outlet that sold tobacco products. If they could not see tobacco products or were unsure whether the establishment sold tobacco products, they were requested to ask. Because field canvassers included adolescents, if a location has an age-restriction (bar, liquor store, etc.) canvassers were asked to write the name and location and check the box indicating that they are not youth accessible. If a store was unsafe to enter but appeared that it might sell cigarettes, canvassers recorded the name and address of the business but indicated that no one entered the store to verify. These sites could then be checked against the license list and follow-up verification could be done if needed.

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

An outlet found during canvassing was considered a match to the list frame when the store name, address and/or geospatial location was the same. Canvassing data collection forms were compared to the current tobacco license list. If discrepancies were found (e.g. name or location provided by canvasser could not be found in the list), information was sent to KDOR for examination/clarification. If KDOR was able to determine that the canvasser had the wrong address or name, and were able to provide the correct information for that location found, it was considered a match.

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

|                          | Col. A     | Col. B        | Col. C | Col. D        |               |         |
|--------------------------|------------|---------------|--------|---------------|---------------|---------|
|                          | Population | Proportion of | Sample | Proportion    | Weight        | Applied |
|                          | Ν          | Population    | n      | of sample     | <u>Col. B</u> | weights |
|                          |            | Col. A        |        | <u>Col. C</u> | Col. D        |         |
|                          |            | 2435          |        | 161           |               |         |
| Stratum 1                | 644        | .26           | 50     | .31           | .83           | 41.5    |
| Stratum 2                | 521        | .21           | 33     | .20           | 1.05          | 34.7    |
| Stratum 3                | 736        | .30           | 54     | .34           | .88           | 47.5    |
| Stratum 4                | 534        | .22           | 24     | .15           | 1.47          | 35.3    |
| Total                    | 2435       |               | 161    |               |               | 159     |
| 159 / 161 = <b>98.8%</b> |            |               |        |               |               |         |

Post-stratification weights were applied as outlined in the table below:

# APPENDIX E: CIGARETTE AND TOBACCO ENFORCMENET (CATE) COMPLIANCE RATES BY COUNTY

*Note: Compliance rates are not reported for counties with fewer than five retailers* 

| COUNTY          | Inspections<br>Completed | No Sale | Percent<br>Compliance |
|-----------------|--------------------------|---------|-----------------------|
| AL - ALLEN      | 17                       | 16      | 94                    |
| AN - ANDERSON   | 12                       | 11      | 92                    |
| AT - ATCHISON   | 16                       | 16      | 100                   |
| BA - BARBER     | 3                        | 3       | 100                   |
| BB - BOURBON    | 14                       | 14      | 100                   |
| BR - BROWN      | 11                       | 11      | 100                   |
| BT - BARTON     | 29                       | 29      | 100                   |
| BU - BUTLER     | 50                       | 48      | 96                    |
| CA - CLARK      | 4                        | 4       | 100                   |
| CD - CLOUD      | 10                       | 8       | 80                    |
| CF - COFFEY     | 3                        | 3       | 100                   |
| CK - CHEROKEE   | 27                       | 25      | 93                    |
| CL - COWLEY     | 29                       | 27      | 93                    |
| CM - COMANCHE   | 6                        | 6       | 100                   |
| CN - CHEYENNE   | 4                        | 4       | 100                   |
| CQ - CHAUTAUQUA | 6                        | 6       | 100                   |
| CR - CRAWFORD   | 15                       | 13      | 87                    |
| CS - CHASE      | 5                        | 5       | 100                   |
| CY - CLAY       | 5                        | 5       | 100                   |
| DC - DECATUR    | 4                        | 3       | 75                    |
| DG - DOUGLAS    | 64                       | 56      | 88                    |
| DK - DICKINSON  | 17                       | 17      | 100                   |
| DP - DONIPHAN   | 11                       | 11      | 100                   |
| ED - EDWARDS    | 6                        | 6       | 100                   |
| EK - ELK        | 4                        | 4       | 100                   |
| EL - ELLIS      | 27                       | 27      | 100                   |
| EW - ELLSWORTH  | 12                       | 12      | 100                   |
| FI - FINNEY     | 45                       | 41      | 91                    |
| FO - FORD       | 14                       | 13      | 93                    |
| FR - FRANKLIN   | 34                       | 34      | 100                   |
| GE - GEARY      | 34                       | 32      | 94                    |
| GH - GRAHAM     | 4                        | 3       | 75                    |
| GL - GREELEY    | -                        | -       | <5 retailers          |
| GO - GOVE       | 5                        | 5       | 100                   |
| GT - GRANT      | 8                        | 7       | 88                    |
| GW - GREENWOOD  | 12                       | 12      | 100                   |
| GY - GRAY       | -                        | -       | <5 retailers          |

| HG - HODGEMAN    | 5   | 4   | 80           |
|------------------|-----|-----|--------------|
| HM - HAMILTON    | 9   | 7   | 78           |
| HP - HARPER      | 10  | 9   | 90           |
| HS - HASKELL     | 7   | 7   | 100          |
| HV - HARVEY      | 47  | 43  | 91           |
| JA - JACKSON     | 9   | 9   | 100          |
| JF - JEFFERSON   | 29  | 29  | 100          |
| JO - JOHNSON     | 289 | 272 | 94           |
| JW - JEWELL      | 15  | 14  | 93           |
| KE - KEARNEY     | -   | -   | <5 retailers |
| KM - KINGMAN     | 3   | 3   | 100          |
| KW - KIOWA       | 4   | 4   | 100          |
| LB - LABETTE     | 22  | 21  | 95           |
| LC - LINCOLN     | 3   | 21  | 67           |
| LE - LANE        | -   |     | <5 retailers |
| LG - LOGAN       | 5   | 5   | 100          |
| LN - LINN        | 28  | 27  | 96           |
| LV - LEAVENWORTH | 59  | 55  | 93           |
| LY - LYON        | 32  | 28  | 88           |
| MC - MITCHELL    | 7   | 7   | 100          |
| ME - MEADE       | 6   | 6   | 100          |
| MG - MONTGOMERY  | 34  | 33  | 97           |
| MI - MIAMI       | 27  | 27  | 100          |
| MN - MARION      | 12  | 12  | 100          |
| MP - MCPHERSON   | 22  | 17  | 77           |
| MR - MORRIS      | 0   | 0   | NaN          |
| MS - MARSHALL    | 21  | 19  | 90           |
| MT - MORTON      | -   | -   | <5 retailers |
| NM - NEMAHA      | 24  | 23  | 96           |
| NO - NEOSHO      | 22  | 20  | 91           |
| NS - NESS        | 5   | 5   | 100          |
| NT - NORTON      | 7   | 6   | 86           |
| OB - OSBORNE     | 9   | 9   | 100          |
| OS - OSAGE       | 40  | 36  | 90           |
| OT - OTTAWA      | 9   | 5   | 56           |
| PL - PHILLIPS    | 6   | 6   | 100          |
| PN - PAWNEE      | -   |     | <5 retailers |
| PR - PRATT       | 9   | 9   | 100          |
| PT -             |     | -   |              |
| POTTAWATOMIE     | 19  | 18  | 95           |
| RA - RAWLINS     | 5   | 5   | 100          |
| RC - RICE        | 17  | 15  | 88           |
| RH - RUSH        | 5   | 5   | 100          |
| RL - RILEY       | 42  | 39  | 93           |

| RN - RENO       | 5    | 5    | 100          |
|-----------------|------|------|--------------|
| RO - ROOKS      | 8    | 7    | 88           |
| RP - REPUBLIC   | 6    | 6    | 100          |
| RS - RUSSELL    | 11   | 10   | 91           |
| SA - SALINE     | 42   | 41   | 98           |
| SC - SCOTT      | 4    | 3    | 75           |
| SD - SHERIDAN   | 4    | 4    | 100          |
| SF - STAFFORD   | 6    | 6    | 100          |
| SG - SEDGWICK   | 351  | 334  | 95           |
| SH - SHERMAN    | 8    | 8    | 100          |
| SM - SMITH      | 5    | 5    | 100          |
| SN - SHAWNEE    | 154  | 145  | 94           |
| ST - STANTON    | -    | -    | <5 retailers |
| SU - SUMNER     | 19   | 18   | 95           |
| SV - STEVENS    | 5    | 4    | 80           |
| SW - SEWARD     | 17   | 16   | 94           |
| TH - THOMAS     | 21   | 19   | 90           |
| TR - TREGO      | 4    | 3    | 75           |
| WA - WALLACE    | -    | -    | <5 retailers |
| WB - WABAUNSEE  | 6    | 6    | 100          |
| WH - WICHITA    | -    | -    | <5 retailers |
| WL - WILSON     | 13   | 11   | 85           |
| WO - WOODSON    | 10   | 10   | 100          |
| WS - WASHINGTON | 28   | 26   | 93           |
| WY - WYANDOTTE  | 109  | 98   | 90           |
| STATE TOTALS    | 2355 | 2207 | 94           |