

ANNUAL SYNAR REPORT

42 U.S.C. 300x-26

OMB № 0930-0222

FFY 2022

State: North Carolina

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INTRODUCTION

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

How the Synar report helps the Center for Substance Abuse Prevention

In accordance with the tobacco regulations, states are required to provide detailed information on progress made in enforcing youth tobacco access laws (FFY 2021 Compliance Progress) and future plans to ensure compliance with the Synar requirements to reduce youth tobacco access rates (FFY 2022 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 onsite technical assistance consultation.

How the Synar report can help states

The information gathered for the Synar report can help states describe and analyze substate needs for program enhancements. These data can also be used to report to the state legislature and other state and local organizations on progress made to date in enforcing youth tobacco access laws when aggregated statistical data from state Synar reports can demonstrate to the Secretary the national progress in reducing youth tobacco access problems. This information will also provide Congress with a better understanding of state progress in implementing Synar, including state difficulties and successes in enforcing retailer compliance with youth tobacco access laws.

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) 276-2550 and ask for your respective State Project Officer or contact your State Project Officer directly by telephone or email. If you have questions about fiscal or grants management issues, you may call the Grants Management Officer, Office of Financial Resources, Division of Grants Management, at (240) 276-1422.

Where and when to submit the Synar report

The ASR must be received by SAMHSA no later than December 31, 2021 and must be submitted in the format specified by these instructions. Use of the approved format will avoid delays in the review and approval process. The chief executive officer (or an authorized designee) of the applicant organization must sign page one of the ASR certifying that the state has complied with all reporting requirements.

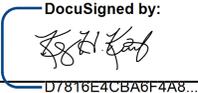
The state must upload one copy of the ASR using the online WebBGAS (Block Grant Application System). In addition, the following items must be uploaded to WebBGAS:

- FFY 2022 Synar Survey Results: States that use the Synar Survey Estimation System (SSES) must upload one copy of *SSES Tables 1–8* (in Excel) to WebBGAS. **Please note that, in the FFY 2022 ASR, SSES will generate Tables 6, 7, and 8, which are based on the optional microdata on product type, retail outlet type, and whether identification was requested. If your state does not submit these optional data, Tables 6, 7, and 8 will be blank. Tables 6, 7, and 8 are generated for the convenience of the state, and states are not required to submit completed versions of Tables 6, 7, or 8.** 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), as well as a database with the raw inspection data 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. This document should be different than the Appendix C attached to the Annual Synar Report.
- A scanned copy of the signed Funding Agreements/Certifications

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

FFY 2022: FUNDING AGREEMENTS/CERTIFICATIONS

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

PUBLIC HEALTH SERVICES ACT AND SYNAR AMENDMENT	
42 U.S.C. 300x-26 requires each state to submit an annual report of its progress in meeting the requirements of the Synar Amendment and its implementing regulation (45 C.F.R. 96.130) to the Secretary of the Department of Health and Human Services. By signing below, the chief executive officer (or an authorized designee) of the applicant organization certifies that the state has complied with these reporting requirements and the certifications as set forth below.	
SYNAR SURVEY SAMPLING METHODOLOGY	
The state certifies that the Synar survey sampling methodology on file with the Center for Substance Abuse Prevention and submitted with the Annual Synar Report for FFY 2022 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 2022 is up-to-date and approved by the Center for Substance Abuse Prevention.	
State: North Carolina	
Name of Chief Executive Officer or Designee:	kody kinsley
Signature of CEO or Designee:	 D7816E4CBA6F4A8...
Title: Deputy Secretary for Behavioral Health & IDD	Date Signed: 11/30/21 9:02 AM EST
If signed by a designee, a copy of the designation must be attached.	

SECTION I: FFY 2021 (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 upload a copy of the state law to WebBGAS. (see 42 U.S.C. 300x-26).

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

Yes No

If Yes, current minimum age: 19 20 21

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

Yes No

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

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

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

- Licensing of tobacco vendors Yes No
 Penalties for sales to minors Yes No
 Vending machines Yes No
 Added product categories to youth access law Yes No

2. Describe how the Annual Synar Report (see 45 C.F.R. 96.130(e)) was made public within the state prior to submission of the ASR. (Check all that apply.)

- Placed on file for public review
 Posted on a state agency Web site *(Please provide exact Web address and the date when the FFY 2022 ASR was posted to this Web address.)*

Web address: <https://www.ncdhhs.gov/divisions/mental-health-developmental-disabilities-and-substance-abuse/reports/annual-synar-report>

Date published: 12/06/2021

- Notice published in a newspaper or newsletter
 Public hearing

- Announced in a news release, a press conference, or discussed in a media interview
- Distributed for review as part of the SABG application process
- Distributed through the public library system
- Published in an annual register
- Other *(Please describe.)* _____

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:

NC Department of Health and Human Services, Division of Mental Health
Developmental Disabilities and Substance Abuse 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:

NC Department of Public Safety, State Bureau of Investigation, Alcohol Law
Enforcement Branch (ALE).

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):

NC Department of Public Safety, State Bureau of Investigation, Alcohol Law
Enforcement Branch.

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

- Yes No

4. Identify the following agencies and describe their relationship with the agency responsible for the oversight of the Synar requirements.

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

NC Department of Health and Human Services, Division of Public Health, Tobacco
Prevention and Control Branch.

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

- Yes No

c. Describe the coordination and collaboration that occur between the agency responsible for tobacco prevention and the agency responsible for oversight of

the Synar requirements. (Check all that apply.) The two agencies

- Are the same
- Have a formal written memorandum of agreement
- Have an informal partnership
- Conduct joint planning activities
- Combine resources
- Have other collaborative arrangement(s) *(Please describe.)* _____
- No relationship

d. Does a state agency contract with the Food and Drug Administration’s Center for Tobacco Products (FDA/CTP) to enforce the youth access and advertising restrictions in the Family Smoking Prevention and Tobacco Control Act?

- Yes No (if no, go to Question 5)

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

NC Department of Health and Human Services, Division of Mental Health
Developmental Disabilities and Substance Abuse Services.

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

- Yes No

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

- Are the same
- Have a formal written memorandum of agreement
- Have an informal partnership
- Conduct joint planning activities
- Combine resources
- Have other collaborative arrangement(s) *(Please describe.)* _____
- No relationship

h. Does the state use data from the FDA enforcement inspections for Synar survey reporting?

- Yes No

5. Please answer the following questions regarding the state's activities to enforce the state's youth access to tobacco law(s) in FFY 2021 (see 42 U.S.C. 300x-26 and 45 C.F.R. 96.130(e)).

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

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

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

PENALTY	OWNERS	CLERKS	TOTAL
Number of <u>citations issued</u>	UNK	UNK	79
Number of <u>finest assessed</u>	UNK	UNK	UNK
Number of <u>permits/licenses suspended</u>	NA		NA
Number of <u>permits/licenses revoked</u>	NA		NA
Other (Please describe.)	NA	NA	NA

Note: Data on the number of citations issued was collected from the Administrative Office of the Courts (AOC) and includes calendar year 2020 only. AOC data can only be obtained for complete calendar years. Therefore, data for calendar year 2021 will be provided on the FFY 2023 ASR submission. The 79 citations issued to owners/clerks resulted in eight convictions. Not included in the table are 67 written warnings issued for not posting the required signage; and four minors under the age of 18 charged with 14-313-(C) (purchase/received cigarettes/tobacco) which resulted in three convictions.

c. 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 5c, 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:

For the FFY 2022 ASR, those retailers/clerks that intended to sell a tobacco product to the youth inspector do receive additional merchant education training from ALE and a follow-up Synar Recheck Inspection using a consummated protocol. If the retailer/clerk sells to the minor on the follow-up Synar Recheck Inspection, a citation is issued.

d. Which one of the following best describes the level of enforcement of state youth

access to tobacco laws carried out in your state? *(Check one category only.)*

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

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

- Yes No

f. What additional activities are conducted in your state to support enforcement and compliance with state youth tobacco access law(s)? *(Check all that apply and briefly describe each activity in the text boxes below each activity.)*

- Merchant education and/or training

Due to COVID-19, the number of LME/MCOs merchant education visits declined. There were 528 merchant education visits conducted in 18 counties and were conducted either in-person or by telephone. During these visits, tobacco laws were reviewed, and the outlets received the Red Flag Merchant Education packet.

ALE's Online Tobacco Training Survey: From July 1, 2020, through June 30, 2021, 528 individuals participated in ALE's Online Tobacco Training. This is an increase from the previous year's 180, however opportunities to increase participation continue to exist.

ALE conducted 819 "Be A Responsible Seller/Server-BARS" trainings to 1,873 retail personnel on state laws and penalties for selling tobacco or alcohol to minors. The number of trainings is slightly down from the previous reporting period due to COVID-19. These trainings occurred in two formats. First, during regular ALE outlet inspections the ALE Agent spent approximately 15 minutes reviewing ALE's scripted PowerPoint training that reviewed tobacco laws and the Red Flag Merchant Education packet. This is a slight decrease from the previous year and can be attributed to COVID-19.

- Incentives for merchants who are in compliance (e.g., nonenforcement compliance checks in which compliant retailers are given positive reinforcement and noncompliant retailers are warned about youth access laws)

- Community education regarding youth access laws

LME/MCOs conducted virtual community trainings with local agencies and other partners in their catchment areas that provided education on youth tobacco use, state/federal youth access laws, and how communities can be involved in state efforts to reduce youth access.

Media use to publicize compliance inspection results

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

The DHHS Training and Technical Assistance Center and the Governor’s Institute hosted virtual workshops for the LME/MCOs. Among other things, the workshops were designed to increase awareness of the state’s RVR, explore solutions to reduce the RVR, solicit LME/MCO assistance, and improve LME/MCO reporting on tobacco related activities. LME/MCOs are required by the Single State Authority (SSA) to provide community mobilization, community and merchant education, public relations, and/or law enforcement activities for a minimum of 48 hours during each 6-month reporting period.

Other activities (*Please list.*) _____

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 2021 (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.

a. If yes, describe how and when this change was communicated to SAMHSA

While the above response was not checked “Yes”, please note the following:

On October 3, 2019, North Carolina submitted a revised Appendix B increasing the number of randomly selected counties during the first stage of selection from two to three. Approval was granted on November 25, 2019. Due to COVID-19 this approved sampling methodology was implemented but inspections were not conducted. Therefore, inspections for the FFY 2022 ASR were conducted for the first time using the newly approved sampling methodology.

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, upload a copy of SSES tables 1–8 (in Excel) to WebBGAS. Then go to Question 8. If No, continue to Question 7b.

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

Unweighted RVR _____

Weighted RVR _____

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

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

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

plus times

Accuracy rate _____

Completion rate _____

c. **Fill out Form 1 in Appendix A (Forms 1–5).** *(Required regardless of the sample design.)*

d. **How were the (weighted) RVR estimate and its standard error obtained?**
(Check the one that applies.)

- Form 2 (Optional) in Appendix A (Forms 1–5) *(Attach completed Form 2.)*
- Other *(Please specify. Provide formulas and calculations or attach and explain the program code and output with description of all variable names.)*

e. **If stratification was used, did any strata in the sample contain only one outlet or cluster this year?**

- Yes No No stratification

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

f. **Was a cluster sample design used?**

- Yes No

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

If No, go to Question 7g.

Were any certainty primary sampling units selected this year?

- Yes No

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

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

	Sample Size
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 noncompletion)	
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 Sampling frame coverage study: 2019

b. Percent coverage from the latest Sampling frame coverage study: 87.6

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: 2022

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. If Yes, describe how and when this change was communicated to SAMHSA.

b. Provide the inspection period: From 07/27/2021 to 09/30/2021
MM/DD/YY MM/DD/YY

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

Twelve

NOTE: If the state uses SSES, please ensure that the number reported in 9b matches that reported in SSES Table 4, or explain any difference.

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d. 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 2022 (Intended Use):

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

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

- Synar sampling methodology Yes No
 Synar inspection protocol Yes No

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

2. Please describe the state’s plans to maintain and/or reduce the target rate for Synar inspections to be completed in FFY 2022. 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 Laws

ALE conducts the Synar survey for DHHS. Established protocols mandate that Synar inspections resulting in an “intent to sell” by the retailer/clerk receive additional ALE merchant education training followed by a follow-up Synar re-check inspection. If during the follow-up Synar re-check inspection the retailer sells to the minor, a citation will be issued. For the inspections completed for the FFY 2022 ASR, ALE will reinstitute the practice of conducting targeted follow-up inspections on those retailers/clerks who “intended to sell” tobacco products to the youth inspector during Synar inspections. In addition, DHHS will collaborate with ALE to target additional state inspections to evaluate overall tobacco control activities such as targeted education or tobacco compliance checks using the FDA public website.

Activities That Support Law Enforcement Efforts to Enforce Youth Tobacco Access Laws

LME/MCOs and their provider agencies will continue reporting their regional efforts in merchant education, law enforcement-related activities, and media/public relations into the statewide electronic database. This information will be further analyzed to determine if their efforts are effective, which in turn will inform DHHS’s approach and directives on their future activities. For example, the SSA could direct the providers to conduct more targeted merchant education in high RVR areas and coordinate more retailer trainings in those catchment areas.

Anticipated Changes in Youth Tobacco Access Legislation or Regulation

While the state does not anticipate any immediate changes to its youth tobacco access laws, efforts are increasing to implement tobacco licensing and raise the minimum-age for tobacco to twenty-one. Current state law prevents the introduction of 18–20-year-old inspectors to be included in both Synar and FDA inspections. DHHS will continue to seek any opportunities

to address policies that would strengthen the law. The state will continue to be diligent in its efforts to reduce youth tobacco use and access.

3. Describe any challenges the state faces in complying with the Synar regulation. (Check all that apply and describe each challenge in the text box below it.)

- Limited resources for law enforcement of youth access laws

COVID-19 has and continues to impact law enforcement resources. Initial onset of COVID-19 resulted in ALE’s decision to not conduct Synar inspections and was supported by DHHS. This decision also paralleled the FDA’s Stop Work Order on North Carolina’s FDA contract. Current policy also requires (with some exceptions) that all members of the inspection team are vaccinated against COVID-19 including the youth inspectors. As a result of this policy, it has introduced new recruitment challenges.

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

- Limitations in the state youth tobacco access laws

Federal laws increased the minimum-age to purchase tobacco to 21, i.e., Tobacco 21. The FDA incorporated the age increase into their inspection program and recently SAMHSA published a new guidance document which encourages states to incorporate Tobacco 21 into their Synar programs. However, North Carolina’s minimum-age remains at 18 for tobacco purchases. This creates a challenge for ALE’s established enforcement activities and protocols. The established protocol includes the initial Synar survey inspections, followed by merchant education to those retailers who intended to sell, which is then followed by Synar recheck inspections on those retailers who received the additional training. Any violations during the Synar rechecks result in a citation. Since ALE does not have the authority to enforce the federal Tobacco 21 laws and can only enforce state law, they are unable to conduct inspections using 18-20-year-olds on any inspections.

- Limited public support for enforcement of youth tobacco access laws

- Limitations on completeness/accuracy of list of tobacco outlets

North Carolina does not license its tobacco retailers and prior to the FFY 2020 ASR used an area frame for Synar sampling. For the FFY 2020 ASR, a list frame sampling methodology was implemented by combining multiple lists. While the combined list does achieve the required accuracy and coverage rates, its development does create the challenges associated with combining multiple lists. However, North Carolina continues to effectively collaborate with its partners such as the FDA, Eastern Carolina University, the State reporting system (ECCO), various commercially available lists to improve the list of tobacco retailers within the state. Through multiple discussions, DHHS now has a structured plan to collaborate with its partners to effectively improve the list while also reducing duplicative efforts performed by each partner.

During this year’s Synar inspections, a slight decrease in list accuracy was observed due to “Out of Business” locations. The assumption is the closures are related to the impact the retail environment has experienced due to COVID-19.

- Limited expertise in survey methodology

- Laws/regulations limiting the use of minors in tobacco inspections

- Difficulties recruiting youth inspectors

Beginning with the FFY 2020 ASR inspections, DHHS increased the desired number of youth inspectors significantly. The purpose was to reduce the potential for bias in the RVR calculations from having too few youth inspectors. The number recruited for the FFY 2020 ASR was 19, substantially more than the four recruited for the two previous ASR cycles. For the FFY 2021 ASR inspections, recruitment of youth inspectors and resulting challenges was not fully realized since no inspections were conducted due to COVID-19. The number of youth inspectors recruited for the FFY 2022 ASR was 14, slightly less than the previous nineteen. The decrease can be attributed to the new policy in which all inspection team members must be vaccinated against COVID-19. DHHS anticipates some challenges in recruiting youth inspectors for the immediate future with continued COVID-19 concerns. As previously mentioned, incorporating 18-20-year-olds into the Synar survey is prevented by ALE's inability to use these older youth inspectors as part of their inspection protocol

- Issues regarding the balance of inspections conducted by youth inspectors age 15 and under

- Issues regarding the balance of inspections conducted by one gender of youth inspectors

- Geographic, demographic, and logistical considerations in conducting inspections

- Cultural factors (e.g., language barriers, young people purchasing for their elders)

- Issues regarding sources of tobacco under tribal jurisdiction

- Other challenges (*Please list.*) COVID-19

As previously cited throughout the ASR, COVID-19 presented challenges and it is expected these challenges will continue during the upcoming year. Most significant of these challenges is providing a safe environment for members of the inspection teams and recruitment of youth inspectors.

APPENDIX A: FORMS 1–5

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

Complete Form 1 to report sampling frame and sample information and to calculate the unweighted retailer violation rate (RVR) using results from the current year’s Synar survey inspections.

Instructions for Completing Form 1: In the top right-hand corner of the form, provide the state name and reporting federal fiscal year (FFY 2022). Provide the remaining information by stratum if stratification was used. Make copies of the form if additional rows are needed to list all the strata.

Column 1: *If stratification was used:*

- 1(a) Sequentially number each row.
- 1(b) Write in the name of each stratum. All strata in the state must be listed.

If no stratification was used:

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

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

- Column 2: 2(a) Report the number of over-the-counter (OTC) outlets in the sampling frame in each stratum.
 2(b) Report the number of vending machine (VM) outlets in the sampling frame in each stratum.
 2(c) Report the combined total of OTC and VM outlets in the sampling frame in each stratum.

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

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

- Column 4: 4(a) Report the number of eligible OTC outlets for which an inspection was completed, for each stratum.
 4(b) Report the numbers of eligible VM outlets for which an inspection was completed, for each stratum.
 4(c) Report the combined total of eligible OTC and VM outlets for which an inspection was completed, for each stratum.

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

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

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

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

Instructions for Completing Form 2: In the top right-hand corner of the form, provide the state name and reporting federal fiscal year (FFY 2022).

- 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: <u>2022</u>
(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 RVR
- s.e. - standard error of the stratum RVR

FORM 3 (Required when a cluster design is used for all states not using the Synar Survey Estimation System [SSES] to analyze the Synar survey data.)

Complete Form 3 to report information about primary sampling units when a cluster design was used for the Synar survey.

Instructions for Completing Form 3: In the top right-hand corner of the form, provide the state name and reporting federal fiscal year (FFY 2022).

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: 2022 _____				
(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 2022).

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: 2022	
(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		Ran 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 2022).

Column 1: Enter the number of attempted buys by youth inspector age and gender.

Column 2: Enter the number of successful buys by youth inspector age and gender.

If the inspectors are age eligible but the gender of the inspector is unknown, include those inspections in the “Other” row. Calculate subtotals for males and females in rows marked “Male Subtotal” and “Female Subtotal.” Sum subtotals for Male, Female, and Other and record in the bottom row marked “Total.” Verify that the total of attempted buys and successful buys equals the total for Column 4(c) and Column 5(c), respectively, on Form 1. If the totals do not match, please explain any discrepancies.

Synar Survey Inspector Characteristics		
		State: _____
		FFY: 2022 _____
	(1) Attempted Buys	(2) Successful Buys
Male		
15 years		
16 years		
17 years		
18 years		
19 years		
20 years		
Male Subtotal		
Female		
15 years		
16 years		
17 years		
18 years		
19 years		
20 years		
Female Subtotal		
Other		
Total		

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) and respond to Question #10 of Appendix B to provide the requested information about sample size calculations for the Synar survey conducted in FFY 2021.

APPENDIX B: SYNAR SURVEY SAMPLING METHODOLOGY

State: North Carolina
 FFY: 2022

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

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

a. Is any area left out in the formation of the area frame?

- Yes No

If Yes, what percentage of the state’s population is not covered by the area frame?
 _____%

4. Federal regulation requires that vending machines be inspected as part of the Synar survey. Are vending machines included in the Synar survey?

- Yes No

If No, please indicate the reason(s) they are not included in the Synar survey. Please check all that apply.

- State law bans vending machines.
- State law bans vending machines from locations accessible to youth.

State has a contract with the FDA and is actively enforcing the vending machine requirements of the Family Smoking Prevention and Tobacco Control Act.

Other (*Please describe.*) _____

If Yes, please indicate how likely it is that vending machines will be sampled.

Vending machines are sampled separately to ensure vending machines are included in the sample

Vending machines are sampled together with over-the-counter outlets, so it is possible that no vending machines were sampled, however they are included in the sampling frame and have a non-zero probability of selection

Other reasons (*Please describe.*) _____

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

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

Unstratified statewide sample:

Simple random sample (*Go to Question 9.*)

Systematic random sample (*Go to Question 6.*)

Single-stage cluster sample (*Go to Question 8.*)

Multistage cluster sample (*Go to Question 8.*)

Stratified sample:

Simple random sample (*Go to Question 7.*)

Systematic random sample (*Go to Question 6.*)

Single-stage cluster sample (*Go to Question 7.*)

Multistage cluster sample (*Go to Question 7.*)

Other (*Please describe and go to Question 9.*) _____

6. Describe the systematic sampling methods. (After completing Question 6, go to Question 7 if stratification is used. Otherwise go to Question 9.)

7. Provide the following information about stratification.

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

b. Is clustering used within the stratified sample?

Yes (*Go to Question 8.*)

No (*Go to Question 9.*)

8. Provide the following information about clustering.

- a. Provide a full description of how clusters are formed.** *(If multistage clusters are used, give definitions of clusters at each stage.)*

- b. Specify the sampling method (simple random, systematic, or probability proportional to size sampling) for each stage of sampling and describe how the method(s) is (are) implemented.**

9. Provide the following information about determining the Synar Sample.

- a. Was the Synar Survey Estimation System (SSES) used to calculate the sample size?**

- Yes** *(Respond to part b.)*
 No *(Respond to part c and Question 10c.)*

- b. SSES Sample Size Calculator used?**

- State Level** *(Respond to Question 10a.)*
 Stratum Level *(Respond to Question 10a and 10b.)*

- c. Provide the formulas for determining the effective, target, and original outlet sample sizes.**

10. Provide the following information about sample size calculations for the Synar survey conducted in FFY 2021.

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

Inputs for Effective Sample Size:

RVR:

Frame Size:

Input for Target Sample Size:

Design Effect:

Inputs for Original Sample Size:

Safety Margin:

Accuracy (Eligibility) Rate:

Completion Rate:

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

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

APPENDIX C: SYNAR SURVEY INSPECTION PROTOCOL SUMMARY

State: North Carolina

FFY: 2022

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

1. How does the state Synar survey protocol address the following?

a. Consummated buy attempts?

- Required
 Permitted under specified circumstances (Describe: _____)
 Not permitted

b. Youth inspectors to carry ID?

- Required
 Permitted under specified circumstances (Describe: _____)
 Not permitted

c. Adult inspectors to enter the outlet?

- Required
 Permitted under specified circumstances (Describe: Permitted under specified circumstances (Describe: The ALE Agent enters the outlet first to facilitate their assessment of the outlet’s safety. If the ALE Agent detects an unsafe condition before or after entering the outlet, they return to the vehicle before the Youth Inspector leaves the vehicle. Once inside the outlet, the ALE Agent will position themselves to see and hear the transaction. However, there may be occasions when only one mode of observation is possible. The ALE Agent’s position should also facilitate their ability to intercede if a problem arises involving the Youth Inspector.

After the Agent enters the outlet, the Youth Inspector waits 15-20 seconds before exiting the vehicle. This allows the ALE Agent inside the outlet to assess its safety. After 15-20 seconds have elapsed, the Youth Inspector leaves the vehicle at the direction of the second ALE Agent who remains in the vehicle. It is the responsibility of the ALE Agent that remains in the vehicle to monitor (direct line of sight) the Youth Inspector’s safety during their approach to the outlet.

On rare occasions it is permissible for the Youth Inspector to enter the outlet without the presence of the ALE Agent. These occasions usually occur when the outlet is very small, and it is difficult for the ALE Agent and Youth Inspector to enter without appearing to be together.)

- Not permitted

d. Youth inspectors to be compensated?

- Required
- Permitted under specified circumstances (Describe:)
- Not permitted

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

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

List the agency name(s): North Carolina Alcohol Law Enforcement (ALE)

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

- Always
- Usually
- Sometimes
- Rarely
- Never

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

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

- Cigarettes
- Small Cigars
- Cigarillos
- Smokeless Tobacco
- Electronic Cigarettes/Electronic Nicotine Delivery Systems (ENDS)
- Other (Hookah)

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

Beginning with the FFY 2022 ASR, North Carolina made eligible for inspection all tobacco products. The quantity allotment of each type of tobacco product is pre-determined and assigned within the Data Collection Template. If the assigned tobacco product is not available at the tobacco retailer, the inspection team automatically defaults to cigarettes for the purchase attempt.

The brands of tobacco products requested is determined by: DHHS provides a list of eligible products by category (cigarettes and smokeless tobacco) to ALE. The inspection team chooses the product(s) to be requested from the DHHS list of eligible products at the beginning of the inspection shift and the Youth Inspector requests the selected product(s) for the remainder of the day.

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

Adult supervisors are ALE Agents and are selected to participate based on the geographic location of the randomly selected outlets and ALE Districts. ALE Agents receive compliance check training for alcohol and tobacco through their agency. In addition, ALE inspection procedures have been amended to include Synar specific inspection protocols.

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

Youth inspectors are generally recruited by the ALE Agents within their network of contacts and can include Youth Inspectors from other programs such as FDA inspections. If ALE Agents have trouble recruiting in a specific area, ALE will contact DHHS to assist in recruitment.

Once recruited, the Youth Inspector candidates undergo age testing to ensure their perceived age meets DHHS guidelines. If the Youth Inspector candidate meets the age testing requirements they are then hired by ALE.

ALE agents provide Synar specific training to the youth inspectors prior to conducting any Synar inspections. The instructions include specific information on the role and responsibilities of the Youth Inspector, followed by role-play exercises covering various scenarios to prepare the Youth Inspector for the types of questions they should expect from retail employees and their correct responses.

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

a. Legal

Yes No

(If Yes, please describe.)

NCGS 14-313 makes it illegal for a person less than 18 years of age to purchase, acquire or receive tobacco products or cigarette wrapping papers. The two exceptions are if the minor is enlisted by a police or sheriff's department to test compliance or if the minor is working with the NC Department of Health and Human Services to conduct annual, random, unannounced inspections. In both situations prior parental consent is required.

b. Procedural

Yes No

(If Yes, please describe.)

7. Are there specific legal or procedural requirements instituted by the state to address the issue of the safety of youth inspectors during all aspects of the Synar inspection

process?

a. Legal

Yes No

(If Yes, please describe.)

b. Procedural

Yes No

(If Yes, please describe.)

When meeting the Youth Inspector to start the inspection shift, the ALE Agent will direct the Youth Inspector to inform their parent(s) they are with the inspection team. When the inspection shift ends, the inspection team will return the Youth Inspector to a location pre-approved by their parents and direct the Youth Inspector to contact their parent(s) to inform them the inspection shift has ended, and they are no longer with the inspection team. Meeting and dropping off the Youth Inspectors must include the presence of two ALE Agents.

Prior to arriving at a randomly selected outlet, the inspection team will discuss an inspection plan for the outlet. The discussion will include: 1) who will enter the outlet and in what order, 2) what type of tobacco product is to be attempted for purchase, 3) from where the tobacco product purchase attempt is made, e.g., self-service display, over-the-counter or vending machine, and 4) a review of safety measures specific to the outlet.

Upon arriving at each outlet, the driver will attempt to park in a location that is not visible to the clerk. The inspection team should also scan for exterior CCTV cameras which may also alert the clerk.

The safety of the inspection team is DHHS’s number one priority, and any outlet randomly selected for inspection can be omitted when there is a safety concern. Any member of the inspection team can deem the location unsafe. A signal for aborting the location due to safety concerns should be established prior to any member of the team entering the location. It is always preferred the Youth Inspector is directly supervised and the ALE Agents maintain a direct line of sight on the Youth Inspector during the entire purchase attempt including: 1) their departure from the vehicle until entering the outlet; 2) while in the outlet; and 3) departure from the outlet and returning to the vehicle. The preferred order to enter the outlet is:

The ALE Agent enters the outlet first to facilitate their assessment of the outlet’s safety. If the ALE Agent detects an unsafe condition before or after entering the outlet, they return to the vehicle before the Youth Inspector leaves the vehicle. Once inside the outlet, the ALE Agent will position themselves to see and hear the transaction. However, there may be occasions when only one mode of observation is possible. The ALE Agent’s position should also facilitate their ability to intercede if a problem arises involving the Youth Inspector.

After the Agent enters the outlet, the Youth Inspector waits 15-20 seconds before exiting the vehicle. This allows the ALE Agent inside the outlet to assess its safety. After 15-20 seconds have elapsed, the Youth Inspector leaves the vehicle at the direction of the second ALE Agent who remains in the vehicle. It is the responsibility of the ALE Agent that remains in the vehicle to monitor (direct line of sight) the Youth Inspector's safety during their approach to the outlet.

On rare occasions it is permissible for the Youth Inspector to enter the outlet without the presence of the ALE Agent. These occasions usually occur when the outlet is very small, and it is difficult for the ALE Agent and Youth Inspector to enter without appearing to be together.

Upon the Youth Inspector's departure from the outlet, the ALE agent will also leave the outlet and return to the vehicle but doing so discretely as to not bring undue attention to the inspection team. This may require a slight delay before the ALE Agent leaves after the Youth Inspector. When all members of the inspection team return to the vehicle, the team will drive to a safe location to complete the inspection form and debrief the inspection.

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

a. Legal

Yes No

(If Yes, please describe.)

b. Procedural

Yes No

(If Yes, please describe.)

All youth inspectors shall participate in age verification testing before being allowed to participate. Youth Inspectors participating in Synar activities should be age tested every 3-6 months.

A total of twelve (12) State Employees will be used to conduct age testing for each underage person. Ten ALE Supervisors opinion's will be combined with two opinions from DHHS/DMH representatives. The opinions of the underage person's age shall be recorded on the form approved and prescribed by DHHS/DMH and Division Headquarters. DHHS/DMH and SBI/ALE should make every effort to secure opinions from varied participants that include differences in age, sex, race, and ethnicity. When twelve (12) opinions have been secured and recorded on the testing form, DHHS/DMH and SBI/ALE shall average the results and record the average in the appropriate box on the form.

If the age verification testing average age of the underage person is not within the appropriate age parameters, the underage person cannot be utilized in investigations

of alcohol sales or tobacco product distribution to underage persons. If the age verification testing average age of the underage person is within the appropriate age parameters, the underage person shall be processed for participation in investigations of alcohol sales or tobacco product distribution to underage persons

Synar Inspections: No person older than 17 years 10 months of age shall be employed as underage persons.

Compliance employees shall not be used in these operations between the hours of 11 p.m. and 5 a.m. if the underage person has school the next day.

APPENDIX D: LIST SAMPLING FRAME COVERAGE STUDY

(LIST FRAME ONLY)

State: North Carolina
FFY: 2022

1. Calendar year of the coverage study: _____

2. a. Unweighted percent coverage found: _____%
b. Weighted percent coverage found: _____%
c. Number of outlets found through canvassing: _____
d. Number of outlets matched on the list frame: _____

3. a. Describe how areas were defined. (e.g., census tracts, counties, etc.)

b. Were any areas of the state excluded from sampling?

Yes No

If Yes, please explain.

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

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

Census (Go to Question 6.)

Unstratified statewide sample:

Simple random sample (Respond to Part b.)

Systematic random sample (Respond to Part b.)

Single-stage cluster sample (Respond to Parts b and d.)

Multistage cluster sample (Respond to Parts b and d.)

Stratified sample:

Simple random sample (Respond to Parts b and c.)

Systematic random sample (Respond to Parts b and c.)

Single-stage cluster sample (Respond to Parts b, c, and d.)

Multistage cluster sample (Respond to Parts b, c, and d.)

Other (Please describe and respond to Part b.) _____

b. Describe the sampling methods.

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

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

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

Yes No

6. Were all sampled areas visited by canvassing teams?

Yes (*Go to Question 7.*) No (*Respond to Parts a and b.*)

a. Was the subset of areas randomly chosen?

Yes No

b. Describe how the subsample of visited areas was drawn. Include the number of areas sampled and the number of areas canvassed.

7. Were field observers provided with a detailed map of the canvassing areas?

Yes No

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

8. Were field observers instructed to find all outlets in the assigned area?

Yes No

If No, respond to Question 9.

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

9. If a full canvassing was not conducted:

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

b. What were the starting points for each area? _____

c. Were these starting points randomly chosen?

Yes No

d. Describe the selection of the starting points.

- e. **Please describe the canvassing instructions given to the field observers, including predetermined routes.**

- 10. Describe the process field observers used to determine if an outlet sold tobacco.**

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

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