

# Pennsylvania Synar Survey



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## 2023 Instruction Manual

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# Pennsylvania Synar Survey 2023

## I. Introduction

### Synar Survey History

In July 1992, Congress enacted the Alcohol, Drug Abuse, and Mental Health Administration Reorganization Act (PL 102-321), which includes an amendment (section 1926) aimed at decreasing youth access to tobacco. This amendment, named for its sponsor, Congressman Mike Synar of Oklahoma, requires states (that is, all states, the District of Columbia, Puerto Rico, the U.S. Virgin Islands, and six Pacific jurisdictions) to enact and enforce laws prohibiting the sale or distribution of tobacco products to individuals under the age of 18. States must comply with the Synar Amendment in order to receive their full Substance Abuse Prevention and Treatment Block Grant (SABG) awards.

The Synar Amendment was developed in the context of a growing body of evidence about the health problems related to tobacco use by youth, as well as evidence about the ease with which youth could purchase tobacco products through retail sources. The Synar program has been successful in preventing youth tobacco use.

Because it plays a lead federal role in substance abuse prevention, the Substance Abuse and Mental Health Services Administration (SAMHSA) was charged with implementing the Synar Amendment. In January 1996, SAMHSA issued the Synar regulation to provide guidance to the states. The regulation requires that states:

- Enact laws prohibiting any manufacturer, retailer, or distributor of tobacco products from selling or distributing such products to any individual younger than age 18;
- Enforce these laws;
- Conduct annual, unannounced inspections that provide a valid probability sample of tobacco sales outlets accessible to minors;
- Negotiate interim targets and a date to achieve a noncompliance rate of no more than 20% (SAMHSA requires that each state reduce its retailer violation rate to 20% or less by FY 2003); and
- Submit an annual report detailing activities to enforce the law.

The Center for Substance Abuse Prevention (CSAP) assists states in complying with the Synar Amendment's goals by issuing programmatic requirements and guidance. CSAP is charged with overseeing the states' implementation of the Synar requirements and provides technical assistance on the requirements and youth tobacco access issues in general. CSAP also provides guidance to states regarding the conduct of random, unannounced inspections. Specifically, in conducting their annual Synar surveys, states must:

- Develop a sampling frame that includes both over the counter and vending machine locations accessible to youth;
- Ensure that the sampling frame includes, at a minimum, 80% of the tobacco outlets in the state (CSAP requires states that use a list frame to conduct and report the results of a coverage study designed to assess the completeness of the sampling frame.);

- Design a sampling methodology and implementation plan that are based on sound survey sampling methodology;
- Sample a large enough number of outlets to meet SAMHSA’s precision requirement (one-sided 95% confidence interval);
- Obtain a completion rate of 90% or better;
- Record the actual steps of the survey process in the field and keep records of all sources of sample attrition in the field; and
- Weight the results of the Synar survey to account for unequal probabilities of selection, differences in percentages of eligible outlets between strata or clusters, and other deviations from the intended design.

In addition to setting targets for the states, the Synar Amendment established penalties for noncompliance. The penalty for a state is loss of up to 40% of its SABG funds. Since these funds account for a large percentage of all state expenditures for substance abuse prevention and treatment, imposition of this penalty could present a severe problem to a state.

On December 20, 2019, the President signed legislation amending the Federal Food, Drug, and Cosmetic Act, and raising the federal minimum age for sale of tobacco products from 18 to 21 years. This legislation (known as “Tobacco 21” or “T21”) became effective immediately, and it is now illegal for a retailer to sell any tobacco product – including cigarettes, cigars, and e-cigarettes – to anyone under 21. The new federal minimum age of sale applies to all retail establishments and persons with no exceptions.

The original Synar Amendment, required, among other things, states to adopt state laws setting the tobacco sale age at 18 in order to receive their SABG grant money. However, that part of the Synar amendment was repealed in the new legislation, and states are not required to pass their own laws to update their tobacco sales age to 21. States will still need to demonstrate compliance with the federal age of 21 as a condition of the grant. Specifically, under 42 U.S.C. 300x-26, a funding agreement for the SABG under Section 1921 requires the states involved to (1) annually conduct random, unannounced inspections to ensure that retailers do not sell tobacco products to individuals under the age of 21, and (2) report such findings to the federal government annually.

The annual survey is designed to assess the effectiveness of the State’s enforcement program. It is conducted with youth participants who attempt to purchase tobacco products from randomly selected retailer outlets. The survey produces a probability estimate of retailer’s compliance with the tobacco access law.

### [Pennsylvania Partnerships](#)

The first Pennsylvania Synar survey was conducted in 1996 and has been conducted every year thereafter. The Department of Health and Department of Drug and Alcohol has been charged with the responsibility of all phases of the Synar Survey. The responsibilities are divided as follows:

#### [Division of Health Informatics \(Statistical Services and Survey Analysis Section\):](#)

- Design and implement the sampling method and survey design based on sound statistical methodologies
- Define sampling procedures
- Develop and maintain the sampling frame database

- Determine sample size needed to maintain the precision criteria set by CSAP
- Prepare the sample
- Create instruction manual and survey forms
- Train field staff
- Monitor fieldwork and survey integrity
- Support field staff
- Create and implement supplemental sample system
- Create and maintain the database for collected data
- Review, clean, recode and prepare collected data
- Weight the results to account for unequal probabilities of selections, deviations from an equal probability design, non-completion and ineligible outlets
- Analyze the data
- Interpret and explain the results
- Prepare detailed explanation of the survey design the Annual Synar Report (ASR)
- Report results on department website
- Complete survey portions of the ASR
- Provide feedback to field staff
- Respond to CSAP questions

#### Division of Tobacco Prevention and Control:

- Organize field operations
- Review the instruction manual and forms
- Train staff
- Monitor fieldwork and survey integrity
- Complete the enforcement portions of the ASR

#### Regional Primary Contractors:

- Conduct survey field work
- Supervise and monitor contractors
- Review, organize and submit the survey collection forms

#### Department of Drug and Alcohol Programs:

- Collect individual pieces of the ASR from Division of Health Informatics and Division of Tobacco Prevention and Control
- Edit and submit the ASR to CSAP

**Figure 1a. Division of Health Informatics (DHI) Contacts**

Bureau of Informatics and Information Technology Division of Health Informatics Statistical Services and Survey Analysis Section	
Stephen Muccioli Statistician Supervisor smuccioli@pa.gov (717) 547-3634	Nathanael Tinik Statistician ntinik@pa.gov (717) 547-3646

**Figure 1b. Division of Tobacco Prevention and Control (DTPC) Contacts**

Bureau of Health Promotion and Risk Reduction Division of Tobacco Control and Prevention	
Vita King Public Health Program Administrator vitaking@pa.gov (717) 547-3538	William Sunday Public Health Program Manager wsunday@pa.gov (717) 547-3059

### Pennsylvania Law (Act 112)

In 2002, Pennsylvania’s legislature passed Act 112, which amended Titles 18 (Crimes and Offenses) and 53 (Municipalities Generally). This act clarified Pennsylvania’s underage tobacco laws. The following is only a summary of the portions of the act pertaining to the Synar survey which is an authorized compliance check. This summary is for information only and it does not have the force of law or regulation. The complete version of the Act can be viewed at the Legislative Reference Bureau’s (an agency of the Pennsylvania General Assembly) website located at [www.palrb.us/](http://www.palrb.us/) In Nov. 2019, Act 112 was amended again to raise the minimum age of sale for all tobacco products from 18-21. The Act:

- Prohibits sales of tobacco products to an underage purchaser (individuals under 21 years of age).
- Prohibits the furnishing of a tobacco product to underage purchasers (selling tobacco to an individual under 21 years of age).
- Prohibits vending machines to be in any place where an underage purchaser can gain access without the supervision of a parent or guardian.
- Restricts displaying or offering for sale a cigarette out of a pack.
- Restricts access to tobacco products by non-employees.



## II. Survey Planning

### Survey Field Work

The Regional Primary Contractors (RPCs) coordinate and lead the fieldwork for their district. The RPCs conduct the survey but must keep the Division of Tobacco Prevention & Control and Division of Health Informatics (DHI) informed of their activities with regular reports.

Prior to the start of the survey, each RPC is issued an electronic list containing the outlets sampled within their area of responsibility. **Review the sample list as soon as it is received.** Using your knowledge of the area and internet mapping resources, determine that all outlets on your list are in your survey area, without physically visiting them, before the survey begins. **If the outlet is not in your area or there is another problem with the sample list, contact DHI (see Figure 1a) immediately.**

It may be necessary for the RPC to obtain information from local sources or to contact the outlet to determine location information or its hours of operation. Phone numbers can be found by using the internet. Outlets should only be called for location information or to determine the hours of operation. The Synar survey should never be mentioned. The survey is required by law to be “unannounced” so survey participants should never disclose any information about the survey to anyone, especially a business that sells cigarettes.

Occasionally, the location of an outlet is not in the county listed on the sample list. This occurs because the outlets are sampled according to zip codes and zip codes do not always conform to county boundaries. The outlet must still be completed. **Contact DHI immediately (see Figure 1a) if you cannot complete it.**

In some instances, the sample list may contain incorrect information. For example, a retail outlet may not be located at the listed address, the address may be incomplete or the location may not be open to the public. Using experience, knowledge of the area or a search tool such as the internet, review the list to determine which compliance checks cannot be completed. The internet can be a useful tool to verify addresses or to find outlet phone numbers. If it is determined that the list has 5 or more locations that cannot be completed, the RPC should contact DHI (see **Figure 1a**) for additional sample, called supplemental sample (see **Appendix 6**). **Never substitute other outlets for locations on the list.**

Outlet locations previously determined to be out-of-business or no longer selling cigarettes must be rechecked and visited during the current year if they have not been checked within the last 12 months. These locations may have begun to sell cigarettes since they were last checked and they must not be excluded from the survey.

## Mapping

Before the survey begins, map the sample outlets and determine the most efficient order to visit the outlets. There are many methods available to map routes including free online options such as MapQuest Route Planner ([www.mapquest.com/routeplanner](http://www.mapquest.com/routeplanner)). Routes are mapped so that the total distance traveled is minimal. Do not visit the outlets in the order they were sampled, i.e. from sample number 1 to 17. The visit order of the outlets is determined using travel distances. Assume the letters in **Figure 2** are sampled outlets and the order they were sampled correspond to the letter. For example, outlet A was sampled first and its sample number is 001, outlet B was sampled second and its sample number is 002, and so on. A proper mapping order (order to be visited) is as follows:

1. J
2. H
3. I
4. C
5. D
6. E
7. A
8. B
9. G
10. F

**Figure 2** reveals that it is very inefficient to visit the outlets in the order they were sampled. By visiting A first, then crossing Route 83 to visit B second, then crossing Route 83 again to return to the original area to visit C, many unnecessary miles and minutes are added to the survey process. Smart mapping dictates completing all outlets in the same area consecutively.

**Figure 2. Mapping Example**



Normal business hours of the outlet are also taken into consideration when mapping. For example, don't schedule to visit a pizza shop at 9:00AM because they probably won't be open. Timing of the inspection is also considered. Inspections are not conducted during school hours, as this may mislead the clerk into assuming that the youth participant is older or it may tip off the clerk that an inspection is taking place. Finally, according to Synar protocol, inspections are limited to daylight hours, i.e., 6:00AM to 8:30PM.

## Survey Participants

The RPC recruits and trains team leaders, adult supervisors, adult drivers and underage purchasers who are within traveling distance of the survey areas. **It is strongly recommended that all adult leaders and supervisors attend the annual Synar training along with the RPC.** The RPC provides instructions and arranges for training of the adult and underage purchasers. The RPC will provide a recording of the training to adult supervisors. The RPC or survey team leader provides directions and street maps to the driver.

### Adult Supervisors

Each survey team is recommended to have two adults (along with the underage purchasers). One adult should navigate while the other drives. Both adults will manage the underage purchasers and maintain their security and safety. An adult supervisor should be the first to enter the outlet to assess safety and collect survey information such as gender of clerk and visibility of warning signs. The adult supervisors are also responsible for maintaining the morale of the underage purchaser during the survey.

The other adult on the survey team is designated as a driver. Use the following guidelines to select a safe driver.

- Non-smoker
- Good driving record (ask this of each potential driver)
- Agrees to drive defensively and wear seat belts
- Current driver's license and evidence of current insurance for the vehicle and occupants, as required by law
- Comfortable with young people, able to set appropriate limits (e.g., requiring use of seat belts), and provide support by encouraging discussion of each outlet experience

### Underage Purchasers

The goal of the Synar program is to reduce the number of outlets selling to youth and the goal of the Synar survey is to accurately measure the progress toward that goal. Keep the program goal in mind when recruiting underage purchasers for the survey. Use the following criteria to select the underage purchasers.

- No tobacco use within the last three months with intention to remain tobacco-free. Should understand why the use of tobacco is a serious health problem and addictive for both youth and adults.
- Should know that selling tobacco to youth under the age of 21 is illegal in PA.
- Recruit approximately equal number of male and female underage purchasers and give them equal workloads. An equal number of inspections must be conducted by each gender of underage purchasers. Even distribution of outlets to the underage purchasers by age and gender is important because gender can influence the buy rate. Females may be able to purchase tobacco products easier than males. It is also important that the same distribution is maintained from year to year to make valid year to year comparison.
- Use underage purchasers who are between the ages of 16 and 19 years old, inclusive.
- Assign underage purchasers to neighborhoods that match their racial and ethnical characteristics. For example, if the area is predominantly white, send a white underage purchaser to do the checks or if the area is predominantly Puerto Rican, send a Puerto Rican

underage purchaser to do the checks. The compliance checks should appear like normal purchases from the usual type of customers. If a sample area is one in which a team feels conspicuous or uncomfortable because of the racial and/or ethnic makeup of the neighborhood, recruit a team more closely matched to the area.

## Survey Training

The RPCs and adult leaders and supervisors are provided an annual training from DHI and DTTC that includes survey planning, survey training, survey procedures, collection form completion, etc. This training will be recorded. The RPCs will use the information from the training and this manual to train the adult supervisors (who did not already attend the annual training) and underage purchasers. The RPCs will also provide a recording of the annual training and copies of the training materials. The training of participants and other partners should include but not be limited to the following:

1. An explanation of the purpose of the statewide Synar survey (Section I “Introduction”).
2. A brief explanation of the history of the Synar survey in Pennsylvania and the laws that govern the sale and purchase of cigarettes as it pertains to underage purchasers. (Section I “Introduction”).
3. A thorough explanation of the survey procedures (Section III. “Survey Procedures”) and a demonstration of how to complete an inspection. Remind the participants and other partners to act naturally, be confident, and dress normally. Stress that they should not try to influence the outcome.
4. An explanation of mapping (**Section II “Survey Planning”**)
5. An explanation of completing forms (**Appendices 1, 3, 4 and 5**)
6. An explanation of non-completions (**Appendix 2**)
7. An explanation of supplemental sample procedures (**Appendix 6**)
8. Prepare the underage purchasers for the variety of circumstances they will encounter during the inspections. Cover subjects such as, the outlet environment, possible signs, placement of tobacco products, and questions that might be asked by the clerk. A prepared underage purchaser is a better surveyor.
9. An explanation to the adult supervisors about their responsibilities in ensuring the safety of underage purchasers.
10. A review of the script that each underage purchaser should use when attempting to purchase cigarettes.
11. A few minutes of role-playing for the underage purchasers. Going through the motions and saying the words (i.e., role-playing) will build confidence. Some situations to cover are:
  - a. Cigarettes are sold without comment.
  - b. Clerk gets angry with buyer.
  - c. Buyer is asked age and the sale is refused.
  - d. Another customer tells the clerk not to sell to buyer.
  - e. Someone the buyer knows, walks in during the attempt.

## III. Survey Procedures

### Conducting a Valid Survey

Probability theory allows the use of well-defined segments (sample) of a population to estimate characteristics describing that population. Pennsylvania's Synar survey uses probability theory and a small sample of cigarette outlets to estimate the proportion of cigarette outlets which sell cigarettes to youth under the age of 21. Since a small sample is used to make inferences about the entire population, any errors or biases are magnified many times. To prevent inaccurate results and ensure the integrity and validity of the survey, surveyors must employ the following characteristics or follow the "SCRIPT".

### **Secret Consistent Rigorous Impartial Patient Tenacious**

**Secret.** Keep the survey a secret. The survey is "unannounced" and cannot be mentioned to the public for the entire survey period. Participants should not initiate conversations about their participation in this survey with persons outside the survey team, except for their parents. If asked about the survey, it is acceptable to explain that a yearly survey is conducted to estimate the rate that retailers sell cigarettes to underage purchasers, but do not give specifics of the sampled outlets or the timeframe of the survey.

**Consistent.** The same survey procedures must be followed throughout the state. Any variation in procedures will bias the survey results. Every store must be attempted in exactly the same manner. Strictly comply with the survey rules and procedures. An approximately equal number of inspections must be conducted by male and females throughout the state and a consistent distribution of male and female inspectors must be maintained from year to year to make valid year to year comparison.

**Rigorous.** Rigorously complete the electronic collection form and all accompanying forms. The electronic collection form is the primary tool for the Synar survey. Properly complete all forms. The survey results are meaningless if the data on the form is inaccurate. Consult the manual or contact DHI (see **Figure 1a**). Give detailed explanations when they are required. The more information given, the easier it is to identify and correct problems.

**Impartial.** Remain impartial to the inspection outcome. Do not bias the outcome with your actions. A successful inspection is NOT achieved by enticing a sale or a refusal. A successful inspection is defined as one where the surveyor follows survey procedures and documents exactly what happened. Even though a high "Refusal" rate is desired, as surveyors it is your responsibility to be indifferent to the outcome of the inspection. Any actions taken to lower the violation rate are done before or after the entire survey period, not during the survey.

**Patient.** Remain patient throughout the entire survey process. Surveys rely on many different people with many different personalities. Unexpected delays should be expected.

**Tenacious.** Don't quit until all eligible outlets on the list are inspected. If the outlet is eligible and safe, complete the inspection. The completion rate or the percent of completed eligible outlets is very important to survey validity. A low completion rate negatively affects the validity of the survey.

## Procedures for Attempting to Purchase Tobacco

### Checklist before Departure

- A list of outlets, directions and maps
- A Letter of Verification
- Cash for purchases
- Forms for recording the results of each compliance check
- Black ink pens
- A plastic bag to hold the cigarettes purchased
- Parental permission slips for the underage purchasers

### Prior to Inspection (before entering the outlet)

#### *Adult supervisor:*

- Ensure the vehicle is parked out of sight of outlet personnel.
- Evaluate the outlet for safety from the outside.
- Evaluate the outlet for eligibility. Although the outlet may be included on the sample list, locations inaccessible to the public (e.g., private clubs, prisons, and private homes) are not part of the survey but must be accounted for on the collection forms. If there is a sign on the entrance stating that no one under the age of 21 is permitted, do not allow the underage purchaser to enter that outlet.

#### *Underage purchaser:*

- Decide which brand of cigarettes will be attempted before entering the outlet.
- Decide on a similar back-up brand in the event that the first choice is not in stock.
- Carry more than enough money to cover the cost of the cigarettes.

### During Inspection

#### *Adult supervisor:*

- Enter the outlet before the underage purchaser.
- Evaluate the outlet for safety from the inside. If it is deemed unsafe, leave immediately and stop the underage purchaser from entering.
- Locate where cigarettes are located and look for warning signs.
- Observe the gender of the clerk.
- Determine whether the outlet sells alcohol for on-site consumption.
- If the outlet sells alcohol, determine whether the cigarettes are sold from behind the bar.
- If the outlet is a non-completion, gather enough information to satisfy the collection forms.
- If budgeted, the adult can purchase a small item to appear inconspicuous.
- In some cases, the outlet may be too small for the adult to enter without tipping off the clerk. If the supervisor does not enter the outlet, an explanation is given on the Electronic Collection Form and the Collection Form Worksheet.

#### *Underage purchaser:*

- Enter the outlet after the adult supervisor had enough time to establish that the inside of the outlet is safe.
- Attempt to purchase cigarettes.

Both the adult supervisor and the underage purchaser should appear as inconspicuous as possible in the outlet and not wear or carry anything that will make them stand out. Do not take the data collection forms or note pads into the outlet.

#### Post Inspection (After leaving the outlet)

##### *Adult supervisor:*

- Immediately after exiting the outlet, complete the Collection Form Worksheet with the underage purchaser. Instructions for completing the form are located in **Appendix 1** of this manual. Then enter the data into the Electronic Collection Form.
- After each sale, place the purchase in a plastic bag and mail purchase to RPC.
- Discuss the experience with the underage purchaser.

##### *Underage purchaser:*

- Assist the adult with the Collection Form Worksheet and Electronic Collection Form.
- Discuss your experience with the adult and voice any concerns.

#### General Survey Procedures

- The Synar survey uses “**Address Based Sampling.**” When an address is visited and the business name is different than what is listed on the sample list, inspect the outlet at the address, regardless of the name.
- If the underage purchaser enters a sampled outlet that is accessible to youth under 21 and finds that it only sells cigarettes through a **vending machine**, the underage purchaser **must** attempt to buy cigarettes from the vending machine.
- Make only **one attempt** to purchase per outlet.
- Adult supervisors will not wear **uniforms** or visible forms of **identification**.
- Underage purchasers will not wear clothing that could be perceived as "gang related".
- Underage purchasers will not take their **IDs** into the outlets.
- Serving **alcohol** is NOT a valid non-completion reason. An outlet is NOT inaccessible just because it serves alcohol.
- Underage purchasers will NOT attempt to purchase cigarettes if someone in the outlet **knows them**. The outlet must be revisited at another time.
- **Survey procedures** must be the same for every outlet. A **script** should be followed when attempting to purchase cigarettes to avoid biasing survey results.
- Underage purchasers will **answer all questions honestly**. If the clerk asks for whom the cigarettes are being purchased, the underage purchaser is to respond "me".
- The underage purchaser will give his/her **age** accurately, if asked by the clerk. It is against the law to knowingly and falsely represent oneself to be 21 years of age or older to purchase cigarettes.
- **Do not argue with the clerk**. If the clerk refuses to sell to the underage purchaser, leave the outlet quietly and do not argue or try to persuade the clerk to sell.
- **Complete the entire sample list**. It is very important to attempt every outlet on the sample list. The completion rate is an important aspect of any survey.
- **NEVER** use underage purchasers under the age of **15**.

- The definition of a “**Sale**” is when money changes hands and the underage purchaser leaves the counter with cigarettes OR the underage purchaser obtains cigarettes from a vending machine, the transaction is considered a “sale”, even if the employee follows the underage purchaser outside and demands that they return the cigarettes.
- A **refusal** is when the underage purchaser asks for cigarettes and is refused by the clerk.
- A **non-completion** is when the underage purchaser does not have the chance to attempt to buy cigarettes because of one of the non-completion reasons described in **Appendix 2**.

### Medical Emergency Procedures

Each survey team should have underage purchasers and their parent/guardian complete a Youth Surveyor Medical Release Form prior to conducting checks. Adult survey team members should keep the completed form with them during the time of the checks in case of an emergency. Medical problems can range from minor cuts and bruises to life threatening emergencies. It is important to remain calm and be prepared. The following general procedures should be followed in a medical emergency.

1. Assess the situation to determine if 911 should be called. Call 911 if there is any doubt.
  - a. If the person is conscious, talk to them to determine if 911 should be called.
  - b. If the person is unconscious, call 911.
  - c. Do not move the person unless they are in imminent danger of further injury (e.g., oncoming traffic, an approaching fire, etc.).
  - d. Call 911 if the emergency requires professional assistance.
  - e. Use the first aid kit if necessary.
2. You may render first aid if you are knowledgeable and willing, but medical attention should be done by qualified medics. Do not come into contact with blood, vomit, or other bodily fluids without the use of rubber gloves.
3. After the medical emergency is over, the injured person, witness, and/or supervisor should formally report injuries.

Every survey team should have an up-to-date first aid kit in the vehicle. The Red Cross recommends that all first aid kits (for four persons) should include the following

(<http://www.redcross.org/prepare/location/home-family/get-kit/anatomy>):

- 2 absorbent compress dressings (5 x 9 inches)
- 25 adhesive bandages (assorted sizes)
- 1 adhesive cloth tape (10 yards x 1 inch)
- 5 antibiotic ointment packets (approximately 1 gram)
- 5 antiseptic wipe packets
- 2 packets of aspirin (81 mg each)
- 1 blanket (space blanket)
- 1 breathing barrier (with one-way valve)
- 1 instant cold compress
- 2 pair of nonlatex gloves (size: large)
- 2 hydrocortisone ointment packets (approximately 1 gram each)
- Scissors
- 1 roller bandage (3 inches wide)



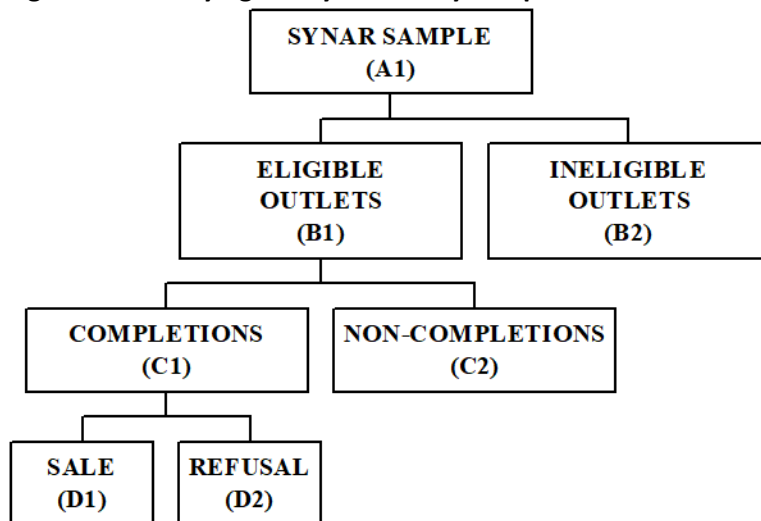
- 1 roller bandage (4 inches wide)
- 5 sterile gauze pads (3 x 3 inches)
- 5 sterile gauze pads (4 x 4 inches)
- Oral thermometer (non-mercury/non-glass)
- 2 triangular bandages
- Tweezers
- First aid instruction booklet

### Completion Rate

The completion rate is the ratio of the number of completions to the number of eligible outlets in the original sample. When eligible outlets aren't completed, the integrity of the survey is compromised. The survey results can be severely biased if eligible outlets are not completed and they have different characteristics than the outlets that were completed. It is impossible to know the level of bias introduced by non-completions, so the best practice is to avoid them altogether. Additionally, CSAP requires a low non-completion rate, i.e., a high completion rate.

The completion rate is calculated using the sample data. Every sampled outlet is classified as either eligible or ineligible by examining the non-completion reasons (see **Appendix 2**). Only eligible outlets are used in the survey analysis. An outlet is defined as eligible when it is accessible to youth, open to the public and it sells cigarettes. Eligible outlets are classified as either completions or non-completions. A completion is an outlet where an attempt to purchase cigarettes was made. The completion rate is calculated by dividing the total number of eligible outlets completed by the total number of eligible outlets sampled. Using **Figure 3**, Completion Rate =  $C1/B1$ . Every surveyor should strive to keep non-completions to a minimum.

**Figure 3. Classifying the Synar Survey Sample**



### Revisits

If an accessible outlet cannot be completed during the time of the visit, then it must be revisited at a time when the inspection can be completed. Make a note of what happened during the first attempt to visit in the notes section of both the Electronic Collection Form and Collection Form Worksheet.


Scenarios for a revisit may include: 1) the buyer knows someone in the outlet, 2) the outlet is closed at

the time of the visit or 3) there is a dangerous situation at the establishment. All of these situations require a revisit. Please review the instructions given in **Appendix 1** on how to complete the Electronic Collection Form and Collection Form Worksheet when an outlet has to be revisited.

In addition to the automatic revisits mentioned above, other sample locations may require revisits if the statistician determines it to be necessary. The most common circumstances are outlets classified as Unlocatable (UNL), which can be located, and other non-completions which are misclassified. Avoid revisits by providing detailed explanations on the Electronic Collection Form and Collection Form Worksheet and checking with DHI (see **Figure 1a**) if there are any doubts.


## Vending Machines

Since Act 112 prohibits the placement of vending machines in locations accessible to underage purchasers, vending machines are no longer sampled for the Synar survey. However, some vendors illegally place vending machines in locations accessible to underage purchasers. If a location containing only a vending machine is sampled, **the underage purchaser must attempt to purchase cigarettes.**


 *If an outlet on the sample list only sells through a vending machine, THE UNDERAGE PURCHASER MUST ATTEMPT TO PURCHASE CIGARETTES FROM IT.*

## Alcohol

Outlets that sell cigarettes can also serve alcohol for on-site consumption (e.g., delicatessen, cafes, pizza shops, sub shops, bars and taverns). These types of outlets present a unique problem for the Synar survey.

 *Serving alcohol is NOT a valid non-completion reason. An outlet is NOT inaccessible just because it serves alcohol.*

When an alcohol-serving outlet is encountered, the first thing to check for is whether there is a sign posted that prohibits underage purchasers from entering. If that is the case, mark it as a “BNA” and do not enter. If there is a bouncer watching the door, mark it as a “BNA” and do not enter.

 *Check for a sign prohibiting underage purchasers. This is always the first step when any outlet is encountered that is suspected of serving alcohol.*

The accessibility of alcohol serving outlets must be determined and documented by the adult supervisor. The following definitions are provided to guide the adult supervisor in determining the outlets accessibility.

### Inaccessible Alcohol-Serving Outlet

The fact that an outlet serves alcohol does not affect whether it is ineligible or inaccessible. Alcohol serving outlets are part of the survey but may be ineligible for other reasons. If an outlet is suspected or known to serve alcohol and it is open to the public, the adult must do the following:

1. Look for a sign or a bouncer prohibiting the underage purchaser from entering. If there is a sign or a bouncer, the outlet is inaccessible, do not enter and categorize the non-completions BNA.
2. If there is neither a sign nor a bouncer, the adult enters the outlet to determine where the cigarettes are sold. If they are sold from behind the bar counter, categorize the non-completions as CBB (see **Appendix 7** for a definition of bar counter).

If reason (2) is used, the adult must enter the outlet. It must be noted on the Electronic Collection Form and Collection Form Worksheet that they entered the outlet. Reason (2) cannot be used without entering the outlet.

## IV. Survey Forms

The Synar survey contains many important forms designed to collect data, limit errors and fulfill legal obligations. A successful survey demands that each form is accurately completed in its entirety. When the survey package arrives, use the checklist included to verify that all the forms were included.

### Legal Forms

When persons who are not employees of the Pennsylvania Department of Health volunteer their assistance, it is necessary to obtain signatures on consent forms. Copies of these forms are at the end of this manual.

1. **Statewide Tobacco Outlet Survey Inspection Underage Purchaser Form** must be signed by both the underage purchaser and the underage purchaser's parent/guardian.
2. **Statewide Tobacco Outlet Survey Inspection Parent/Guardian Permission Form** must be signed by the underage purchaser's parent/guardian.
3. **Statewide Tobacco Outlet Survey Inspection Designated Adult Supervisor Form** must be signed by adult drivers and supervisors who are NOT employees of the Pennsylvania Department of Health.
4. Each survey team should have underage purchasers and their parent/guardian complete a **Underage Purchaser Medical Release Form** prior to conducting checks. Adult survey team members should keep the completed form with them during the time of the checks in case of an emergency.
5. Each adult supervisor should carry a **Letter of Verification** from the survey organization or state agency verifying the legitimacy of the inspection activities. This Letter includes the names of two staff persons who can be reached in case of an emergency.

### Data Collection Forms

The following are the lists and forms that are in the Statewide Synar survey package. See the appendices for complete instructions on how to complete these forms.

1. **Sample List** – List of outlets sampled within a district. The list is sent in electronic and paper form.
2. **Collection Form Worksheet** – The Collection Form Worksheet is the hard-copy data collection form for the survey. One Collection Form Worksheet is issued for each outlet (see **Appendix 1**).
3. **Compliance Sheet** – The Compliance Sheets contain a list of sampled outlets separated by area. It is used as a quality control measure (see **Appendix 4**).
4. **Batch Control Sheet** – The Batch Control Sheet is a tool used by the team leaders and the regional primary contractors (RPCs) to monitor form completion. In addition, the statistician uses the control sheet to compare it to the Collection Form Worksheets and Compliance Sheets to identify discrepancies (see **Appendix 3**).
5. **Area Accounting Form** – The Area Accounting Form is an additional form used to account for non-completions in a cluster or random sample area (see **Appendix 5**).

**Table 1. District Quantity of Forms**

<i>Survey Forms</i>	<i>Quantity</i>
Batch Control Sheet	1 per cluster
Batch Control Sheet (blank form)	1 per district
Area Accounting Form	1 per cluster
Area Accounting Form (blank form)	1 per district
Sample List	1 per district
Compliance Sheets	3 per cluster
Collection Form Worksheets	1 per outlet

## V. Finishing the Day's Work

The following activities need to be completed by the survey team leader or regional primary contractor (RPC) at the end of each day's work:

- Review each Collection Form Worksheet for completeness and accuracy.
- Verify that all locations are complete on the list, including any supplemental locations.
- Verify that each outlet is identified on the Collection Form Worksheet the same way it appears on the list of sample outlets.
- Complete the Area Accounting Form for non-completed locations.
- Complete the Batch Control Sheet.
- Package the forms in accordance with this manual.
- Copy all survey forms, file and **retain the copies until July 1st of the following year.**

## VI. Submitting/Mailing Completed Forms

The RPCs or survey team leaders are responsible for collecting all forms for the areas they surveyed. An “area” is the clustered or random area that is identified by the area number. The words “clustered” or “random” describe how the outlets were selected within the area. The area consists of all outlets within that area. When all the paper forms for an entire area have been collected and checked and all electronic forms have been submitted, the RPC checks that the forms are correctly completed, verifies that they are correctly packaged and mails them to the Division of Health Informatics. ALL FORMS FOR THE ENTIRE AREA MUST BE COMPLETE BEFORE MAILING. Each district must submit their forms to the Division of Health Informatics on a flow basis. The following is a guide for the RPCs.

- 5% - 15% should be submitted by the end of the 2nd week of the survey.
- 16% - 40% should be submitted by the end of the 3rd week of the survey.
- 41% - 70% should be submitted by the end of the 4th week of the survey.
- 71% - 90% should be submitted by the end of the 5th week of the survey.
- 100% should be submitted by the end of the 6th week of the survey.

**Example:** Assume a district has 204 sampled outlets (12 areas). That district is expected to complete the required forms for at least 1 to 2 areas (10 to 31 outlets) and mail them to Harrisburg by the end of the second week. Remember, only submit completed areas. **Table 2** shows what is expected week by week. The 10 and 31 was calculated with the following equations:

Lower Limit: (total sampled outlets) x (minimum percent expected) = 204 x .05 = 10

Upper Limit: (total sampled outlets) x (maximum percent expected) = 204 x .15 = 30

**Table 2. Example – Expected Outlets by Week (Area 204)**

Survey Week	Outlets Completed	Areas
2	10 to 31	1 to 2
3	33 to 82	2 to 5
4	84 to 143	5 to 8
5	145 to 184	9 to 11
6	204	12

Do not hold forms. When a cluster or random area is completed and edited, mail it. Please contact DHI (see **Figure 1a**) if there are deviations from this schedule.

### Packaging procedure for collection forms

- Place all Compliance Sheets of the same area (see above for area explanation) together and in numerical order.
- Place all Collection Form Worksheets in numerical order according to sample number within each area.
- Place the Batch Control Sheet on top of the Area Accounting Form.
- **Do not fold any forms.**

- **Do not staple any forms.**
- For each area, place the Batch Control sheet on top followed by the Area Accounting Form, then the Compliance Sheets, and finally the Collection Form Worksheets.
- Place all forms in a large envelope so they do not bend.

The RPC must mail all **original** data collection forms to:

**Nathanael Tinik**  
**Statistical Support Team**  
**Health & Welfare Building**  
**625 Forster St., 10<sup>th</sup> Floor**  
**Harrisburg, PA 17120**

The RPC should mail forms directly to the above address, unless a prior agreement was reached among the following parties: the RPC, the independent contractor, the Division of Tobacco Prevention & Control and the Division of Health Informatics.

## VII. Final Details

- The regional primary contractor (RPC) is responsible for providing the list of outlets, maps and directions to the Adult Supervisor.
- The RPC should know each survey team's schedule and should be available by telephone on the survey day until all teams have completed their work for the day.
- Because the statewide Synar survey fulfills a requirement of a funding source, RPCs will document how they kept and used the sample with dates and names of the volunteers to whom the sample was issued.
- Questions about survey procedures, data collection forms, classifying non-completions, survey quality, conducting a valid survey, survey design, supplemental sample or anything contained in this manual should be directed to DHI (see **Figure 1a**).

# Appendix 1

## Electronic Collection Form/Collection Form Worksheet Instructions

The Electronic Collection Form (**Figure 4**) and the Collection Form Worksheet (**Figure 9**) are the primary tools used to capture the Synar survey data. **Both forms are required.** Complete the forms very carefully to prevent erroneous data. The forms contain information for every outlet in an area.

**Figure 4. Electronic Collection Form**

Survey123 for ArcGIS

Synar Collection Form 20XX

License Number: \*  
70190015

Area Number:  
301

Sample Number:  
24

Business Name:  
Thrift Drug Inc

Business Name 2:  
Rite Aid #10976

Business Address:  
431 Commons Drive

Business Address 2:

City:  
Dubois

Submit Button

## Uninstallation/Installation

If you have previously downloaded the Survey123 application on a phone/tablet, your application should be up-to-date. However, please be sure to check for any updates in your app store. If you have previously installed Survey123 on a desktop/laptop computer, you will need to uninstall and reinstall the application to make sure that it is the most up-to-date version.

To uninstall:

1. Right-click on the Survey123 for ArcGIS icon on your desktop and click on "Properties."
2. Click on "Open File Location."
3. Double-click on "Uninstall Survey123forArcGIS.exe."
4. Make sure "Remove all components" is selected.
5. Click "Next."
6. Click "Uninstall."
7. Click "Finish."

Please follow the instructions below to reinstall Survey123 on your desktop/laptop computer.

If this is the first time using the Electronic Collection Form, the application must be installed on any machine being used to enter the survey data (i.e., phone, tablet, desktop/laptop computer, etc.). Go to the website ([ArcGIS Survey123](#)). Depending on the operating system, click one of the blue buttons (Windows x64, macOS, Linux) under “ArcGIS Survey123 field app” to install the free application. Alternatively, press the appropriate black button to download the application from the corresponding app store for your phone/tablet/other mobile device. Follow the instructions after clicking on the appropriate button.

The sample of outlets are provided in an htm file (**Table 3**). The file contains the list of sampled outlets for an area. Each outlet has the following variables: Area number (Area), Sample Number (Number), Business Name 1, Business Name 2, Business Address 1, Business Address 2, City, ZIP, County and a hyperlink (URL) titled “Open Form”. To access the Electronic Collection Form (**Figure 4**) for an outlet, click on the hyperlink. Each hyperlink is unique to each sampled outlet. To complete the survey for (Area 101, Number 1), click on the hyperlink in the same row.

**Table 3. Sample File Example**

2017 Synar Sample - Area 101									
Area	Number	Business Name 1	Business Name 2	Business Address 1	Business Address 2	City	ZIP	County	URL
101	1	550 Trading Company	Fillmore General Store	2781 Buffalo Run Rd		Bellefonte	16823	Centre	<a href="#">Open Form</a>
101	2	United Refining Co Of Pennsylvania	United Refining Co Of Pennsylvania	Kwik Fill M40	915 Pleasant View Blvd	Bellefonte	16823	Centre	<a href="#">Open Form</a>
101	3	Reggies Quick Stop Inc	Reggies Quick Stop Inc	186 West Main Street		Millheim	16854	Centre	<a href="#">Open Form</a>
101	4	Daniel Yoder	Mountainside Bulk Foods	172 Vonada Lane		Aaronsburg	16820	Centre	<a href="#">Open Form</a>
101	5	Gail Confer	G & Js Store	Centre Cty Grange Fair En	Box 271 Route 144	Centre Hall	16828	Centre	<a href="#">Open Form</a>
101	6	Dunne Manning Stores LLC	Bestway Travel Center #307	Routes I80 - 115 South		Milesburg	16853	Centre	<a href="#">Open Form</a>
101	7	Bald Eagle Fuel & Tire Inc	Snappys	216 S Water St		Bellefonte	16823	Centre	<a href="#">Open Form</a>
101	8	G Mini Stop LLC	G Mini Stop LLC	280 Walnut St		Howard	16841	Centre	<a href="#">Open Form</a>
101	9	Wildcat LLC	Best Way Travel Center	Rte I80 & 115 S		Milesburg	16853	Centre	<a href="#">Open Form</a>
101	10	Weis Markets Inc	Weis Markets Inc 32	945 E Bishop St		Bellefonte	16823	Centre	<a href="#">Open Form</a>
101	11	Fishers Market Todd R Fisher	Fisher S Market	100 Turnpike St		Milesburg	16853	Centre	<a href="#">Open Form</a>
101	12	DolgenCorp LLC	Dollar General Store #5820	644 E Sycamore Rd		Snow Shoe	16874	Centre	<a href="#">Open Form</a>
101	13	Recreation Ventures LLC	Recreation Ventures LLC	149 Main Park Rd		Howard	16841	Centre	<a href="#">Open Form</a>
101	14	Mary Hettinger	Hettingers Grocery	135 E Main St	Box 109	Rebersburg	16872	Centre	<a href="#">Open Form</a>
101	15	Dunne Manning Stores LLC	Bestway	Routes I80 115 South		Milesburg	16853	Centre	<a href="#">Open Form</a>
101	16	DolgenCorp LLC	Dollar General Store #2263	141 S Spring St		Bellefonte	16823	Centre	<a href="#">Open Form</a>
101	17	Snow Shoe Travel Plaza Inc	Snow Shoe Travel Plaza Inc	529 E Sycamore Rd		Snow Shoe	16874	Centre	<a href="#">Open Form</a>

**Note:** Every time a hyperlink is clicked on, a new version of the Electronic Collection Form will open. The fields that were already completed will not be there. If you want to open the form with the fields you already completed, you can save the form as a draft or you can select “Send Later” after selecting the submit button. You can then access the form through the Collection Form Navigation Area (**Figure 8**). These options are explained below.

The survey questions have not changed and should be completed in accordance with traditional survey rules. However, there are some cosmetic differences because of the transition from a paper report form to an electronic collection form.

First, complete the “Date and time of visit”. The current date and time is pre-filled. **You need to change the date and time to the date and time of the visit.**

Next, complete the “What was the outcome” question after date and time. The response to this question will cause the relevant questions to appear depending on what you select. In other words, if you mark “Sale” only the questions required for “Sale” will appear. Same with “Refusal” and “Non-completion.” Finally, complete the remaining questions in accordance with survey rules (see below).



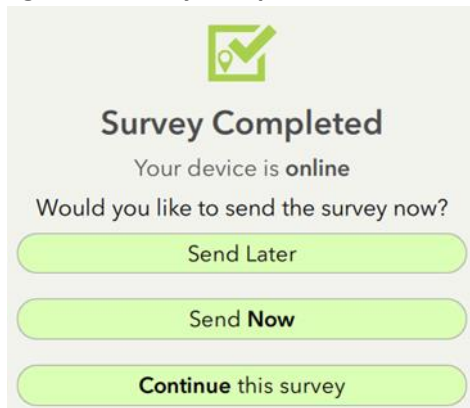
## Submitting/Saving Information (Electronic Collection Form)

Submit the data by selecting the submit button in the lower right corner of the Electronic Collection Form (**Figure 4**). This opens the Survey Completed screen (**Figure 5**) which displays the options: “Send Later”, “Send Now” or “Continue this survey”. Select “Send Now” to submit now.

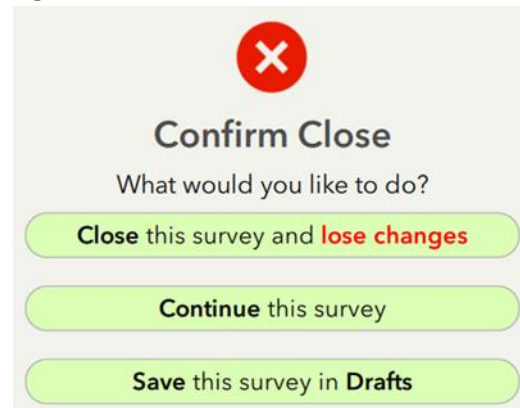
When you select “Send Now”, the data is submitted and a copy of the completed form will be in the Sent Area. You can open the form, with the fields you completed by clicking “Sent” in the Collection Form Navigation Area (Figure 8). Select the “Send Later” button to send a copy of the form to the outbox when you are not finished inputting data and want to finish later. Selecting “Send Later” will not submit the data. However, the form can be opened from the Outbox and finished later. Do not forget to submit the data when you are finished.

Another option to finish inputting the information later is to save by clicking the “X” in the upper LEFT-HAND corner of the Electronic Collection Form to open the Confirm Close screen (**Figure 6**). You are given 3 choices: “Close this survey and lose changes”, “Continue this survey” or “Save this survey in Drafts”. If you select “Save this survey in Drafts”, the form can be accessed later with the information you have already entered. Selecting “Close this survey and lose changes” or “Save this survey in Drafts” takes you to the My Surveys Area (**Figure 7**).

**Figure 5. Survey Completed**



**Figure 6. Confirm Close**



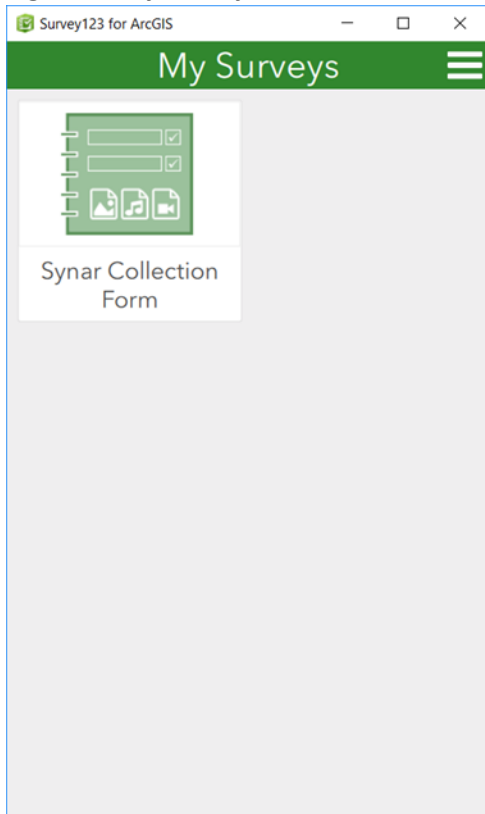
**⚠ The data for every outlet needs to be submitted (“Send Now”)!**

You can temporarily save as a draft or “Send Later” but you must submit the data using “Send Now” at some point.

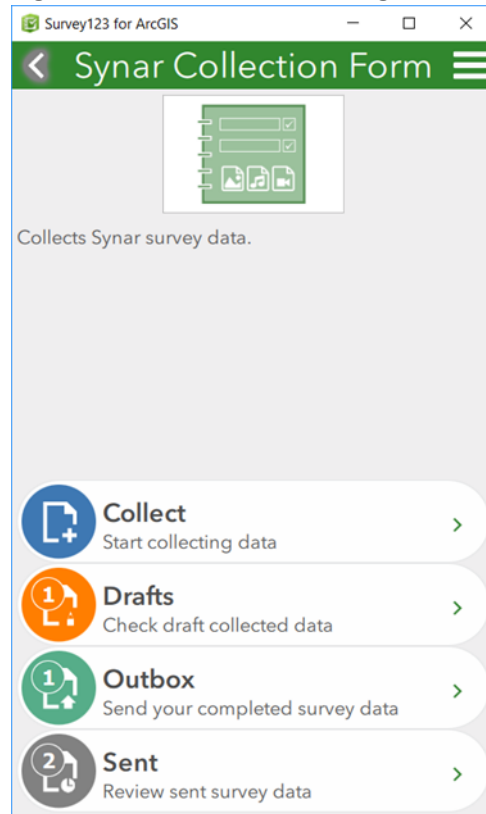
## Electronic Collection Form Navigation Area

To get to the Collection Form Navigation Area (**Figure 8**), open any link to the surveys, click the “X” in the upper left-hand corner of the collection form to open the Confirm Close screen (**Figure 6**), select “Close this survey and lose changes” to get to the My Surveys Area (**Figure 7**), then click on the Synar Collection Form icon to get to the Collection Form Navigation Area (**Figure 8**). In this area, there is always a “Collect” icon. There also may be a “Drafts” icon, a “Sent” icon or an “Outbox” icon depending if a draft was created, a form was submitted or a form was saved to be sent later. Click the appropriate icon to go to the appropriate area.

**Figure 7. My Surveys Area**



**Figure 8. Collection Form Navigation Area**



### Collection Form Worksheet

The Collection Form Worksheet (**Figure 9**) combines all the collected data for all the outlets in an area. You can use the information on the Collection Form Worksheet to complete the Electronic Collection Form. For every outlet, the Electronic Collection Form AND the Collection Form Worksheet need completed. We require this information as a quality control measure when reviewing both electronic and paper forms.

**Figure 9. Collection Form Worksheet**

2018 Collection Form Worksheet																																											
Area: 101	Sample: 1	License: 14174895																																									
Alan Luse Luse Grange Fair #75 107 Second St Post Office Box 34 Centre Hall 16828 Centre	Date:	Time: AM / PM																																									
	Notes:																																										
<table style="width: 100%; border: none;"> <tr> <td style="width: 33%; vertical-align: top;"> <p><b>1 What was the outcome?</b></p> <input type="checkbox"/> Sale  <input type="checkbox"/> Refusal  <input type="checkbox"/> Non-completion                 </td> <td style="width: 33%; vertical-align: top;"> <p><b>7 Race of buyer:</b></p> <input type="checkbox"/> White  <input type="checkbox"/> Black  <input type="checkbox"/> Asian  <input type="checkbox"/> Other:                 </td> <td style="width: 33%;"></td> </tr> <tr> <td style="vertical-align: top;"> <p><b>2 Type of outlet (select one):</b></p> <table style="width: 100%; border: none;"> <tr> <td><input type="checkbox"/> Bar/tavern</td> <td><input type="checkbox"/> News outlet</td> </tr> <tr> <td><input type="checkbox"/> Beer distributor</td> <td><input type="checkbox"/> Restaurant/deli</td> </tr> <tr> <td><input type="checkbox"/> Convenience/gas</td> <td><input type="checkbox"/> Supermarket</td> </tr> <tr> <td><input type="checkbox"/> Convenience/grocery/no gas</td> <td><input type="checkbox"/> Tobacco</td> </tr> <tr> <td><input type="checkbox"/> Dollar store</td> <td><input type="checkbox"/> EMP-LOT-PVR-UNL</td> </tr> <tr> <td><input type="checkbox"/> Pharmacy/drug store</td> <td><input type="checkbox"/> Other:</td> </tr> </table> </td> <td style="vertical-align: top;"> <p><b>8 Does the outlet serve alcohol for on-site consumption?</b></p> <input type="checkbox"/> Yes  <input type="checkbox"/> No                 </td> <td style="vertical-align: top;"> <p><b>9 Was adult supervisor in the outlet?</b></p> <input type="checkbox"/> Yes  <input type="checkbox"/> No                 </td> </tr> <tr> <td style="vertical-align: top;"> <p><b>3 Type of non-completion (select one):</b></p> <table style="width: 100%; border: none;"> <tr> <td><input type="checkbox"/> (CBB) Cigarettes Behind Bar</td> <td><input type="checkbox"/> (OCN) Outlet Closed/Not Acc.</td> </tr> <tr> <td><input type="checkbox"/> (BNA) Bar Not Accessible</td> <td><input type="checkbox"/> (ONA) Other/Not Acc.</td> </tr> <tr> <td><input type="checkbox"/> (DNS) Does Not Sell</td> <td><input type="checkbox"/> (PCL) Private Club</td> </tr> <tr> <td><input type="checkbox"/> (DUP) Duplicate</td> <td><input type="checkbox"/> (PVR) Private Residence</td> </tr> <tr> <td><input type="checkbox"/> (EMP) Empty Building</td> <td><input type="checkbox"/> (UNL) Unlocatable</td> </tr> <tr> <td><input type="checkbox"/> (ITV) Itinerant Vendor</td> <td><input type="checkbox"/> (ACC) Accessible-Other</td> </tr> <tr> <td><input type="checkbox"/> (LOT) Empty Lot</td> <td><input type="checkbox"/> (ODG) Outlet Dangerous</td> </tr> </table> </td> <td style="vertical-align: top;"> <p><b>10 Was buyer asked to show ID?</b></p> <input type="checkbox"/> Yes  <input type="checkbox"/> No                 </td> <td style="vertical-align: top;"> <p><b>11 Was buyer asked his/her age?</b></p> <input type="checkbox"/> Yes  <input type="checkbox"/> No                 </td> </tr> <tr> <td style="vertical-align: top;"> <p><b>4 Sex of buyer:</b></p> <input type="checkbox"/> Male  <input type="checkbox"/> Female  <input type="checkbox"/> Other:                 </td> <td style="vertical-align: top;"> <p><b>12 Were warning signs visible?</b></p> <input type="checkbox"/> Yes  <input type="checkbox"/> No                 </td> <td style="vertical-align: top;"> <p><b>13 Sex of clerk:</b></p> <input type="checkbox"/> Male  <input type="checkbox"/> Female  <input type="checkbox"/> Other:                 </td> </tr> <tr> <td style="vertical-align: top;"> <p><b>5 Age of buyer:</b></p> <input type="checkbox"/> 15  <input type="checkbox"/> 16  <input type="checkbox"/> 17                 </td> <td style="vertical-align: top;"> <p><b>6 Is buyer of Hispanic, Latino or Spanish origin?</b></p> <input type="checkbox"/> Yes  <input type="checkbox"/> No                 </td> <td style="vertical-align: top;"> <p><b>14 Were location fields accurate?</b></p> <input type="checkbox"/> Yes  <input type="checkbox"/> No                 </td> </tr> </table>			<p><b>1 What was the outcome?</b></p> <input type="checkbox"/> Sale <input type="checkbox"/> Refusal <input type="checkbox"/> Non-completion	<p><b>7 Race of buyer:</b></p> <input type="checkbox"/> White <input type="checkbox"/> Black <input type="checkbox"/> Asian <input type="checkbox"/> Other:		<p><b>2 Type of outlet (select one):</b></p> <table style="width: 100%; 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<p><b>1 What was the outcome?</b></p> <input type="checkbox"/> Sale <input type="checkbox"/> Refusal <input type="checkbox"/> Non-completion	<p><b>7 Race of buyer:</b></p> <input type="checkbox"/> White <input type="checkbox"/> Black <input type="checkbox"/> Asian <input type="checkbox"/> Other:																																										
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Questions? Contact Nathanael Tinik at the Division of Health Informatics (717-547-3646)

Every question is important and should be completed, but some questions are mandatory. The information obtained from these questions is required for the block grant application. Expect a call from the statistician if any of the mandatory questions are incomplete. Use the following checklist as a way to verify that all mandatory questions are complete. Never mail the worksheet without completing the mandatory questions listed below.

To obtain a new Collection Form Worksheet when one is damaged or has too many mistakes, contact DHI (see **Figure 1a**).

If the inspection was a completion (either a Sale or Refusal), questions 1, 2, 4, 5, 6, 7, 8, 9, 10, 11, 12, 13 and 14 must be answered but the form CANNOT be submitted without at least completing the following questions:

- 1. What was the outcome?
- 2. Type of retail outlet (Select one)

- 4. Gender of buyer
- 5. Age of buyer
- 6. Hispanic, Latino or Spanish origin
- 7. Race of buyer

If the inspection was a Non-Completion, the following 3 questions must be completed:

- 1. What was the outcome?
- 2. Type of retail outlet (Select one)
- 3. Non-completion type (Select one)

**Revisit:** If an accessible outlet cannot be completed during the time of the visit then it must be revisited at a time when the inspection can be completed. Some possible reasons for a revisit are that the buyer knows someone in the outlet or the outlet is closed at the time of the visit.

**⚠ If Question #3 is marked EMP, LOT, PVR or UNL then Question #2 MUST be marked EMP-LOT-PVR-UNL...No exceptions.**

**The Electronic Collection Forms and Collection Form Worksheets are only completed after the FINAL visit.** If an outlet isn't completed during the first visit and needs revisited, do not complete any questions on the Collection Form Worksheet for the first visit. Make a note (e.g., "1st visit – knew clerk") of what happened during the first visit in the notes section of the Electronic Collection Form and Collection Form Worksheet but do not complete anything else for that first visit. Only one answer is marked for question 3 and it is determined by the outcome of the final visit to the outlet. Never mark the category ACC (Accessible-Other) unless the RPC has spoken to the statistician in Harrisburg and he agreed.

Surveyors complete the Collection Form Worksheet immediately after leaving the outlet. The surveyor checks the worksheets and delivers the originals to the regional primary contractor (RPC). The RPC checks the forms for completeness and accuracy and mails the original forms to the Division of Health Informatics.

**⚠ Important:**

- Clearly mark all boxes.
- Make all characters and numbers legible.
- Use a pencil or black pen to fill out the worksheet.
- Use a red pen to correct any mistakes on the worksheet.
- Complete one worksheet for all outlets listed in an area (both completions and non-completions).
- On each worksheet, verify that the necessary questions are completed.
- Mail Collection Form Worksheets to the Division of Health Informatics.

## [Question-by-Question Explanation of the Electronic Collection Form and the Collection Form Worksheet](#)

### Outlet Location

All identifying outlet information is pre-printed on the top of the Electronic Collection Form and on the left-hand side of each outlet on the Collection Form Worksheet. The fields are: Area, Sample, License,

Name 1, Name 2, Address 1, Address 2, City, Zip and County. The Area number identifies the cluster. The Sample number identifies the outlet within a particular cluster. The License number is the unique number given to every outlet that purchases a license to sell cigarettes; it is created by the Department of Revenue. These are essential fields that must be completed on every form. (Completions and Non-Completions)

#### Question 1 – What was the outcome?

If the underage purchaser purchased cigarettes, mark the choice labeled "Sale". If the clerk refused to sell cigarettes to the underage purchaser, mark the choice labeled "Refusal". In all other circumstances, mark the choice labeled "Non-Completion". This is an essential field that must be completed on every form. (Completions and Non-Completions)

- ⚠️ If money changes hands and the underage purchaser leaves the counter with cigarettes OR the underage purchaser obtains cigarettes from a vending machine, the transaction is considered a "sale", even if the employee follows the underage purchaser outside and demands that they return the cigarettes.

Do not confuse a non-completion with a refusal. A refusal is when the underage purchaser asks for cigarettes and is refused by the clerk. The underage purchaser must ask for cigarettes or try to use a vending machine before it can be considered a refusal. A non-completion is when the underage purchaser does not have the chance to attempt to buy cigarettes because of one of the non-completion reasons described in **Appendix 2**. This is a critical distinction. If there are any doubts or questions, contact DHI (see **Figure 1a**).

#### Question 2 – Type of retail outlet

Mark the box associated with the type of vendor. (Completions and Non-Completions)

- ⚠️ **Mark only one.**

#### *Outlet Type Definitions*

In many establishments, it is difficult to distinguish between outlet types because they have properties from multiple categories. For example, some restaurants have a bar, golf courses may have restaurants and hotels have bars. The rule of thumb is to classify based on where the cigarettes are sold. In other words, IF the cigarettes are sold near the bar counter THEN classify as bar/tavern, IF the cigarettes are sold in the restaurant area THEN classify it as a restaurant/deli and IF the cigarettes are sold in the golf shop or hotel THEN classify it as other with a description.


- Bar/tavern – These establishments serve alcoholic drinks (beer, wine, liquor, and cocktails) for consumption on the premises. A bar/tavern is required to have a bar counter with at least one beer tap behind it.
- Beer distributor – A beer distributor sells beer by the case and is primarily engaged in the merchant wholesale distribution of alcoholic beverages. It may provide either walk-in or drive-thru service or both. It does not allow on-site consumption and it may also sell other items such as soda or snacks.
- Convenience/gas – These establishments are engaged in retailing a limited line of goods that generally includes milk, bread, soda, and snacks AND must be selling gasoline or diesel fuel at the location. These establishments may be part of a regional or national chain of stores with

multiple outlets in Pennsylvania. These establishments can be a local gas station unique to the city or independently owned. The store is usually open long hours for the convenience of customers. It may sell over-the-counter drugs or provide take-out foods. Here is a list of the more popular outlets that should be placed in this category:

- Turkey Hill, Sheetz, Rutters, Wawa, Sunocco A-Plus, Hess, BP, Exxon, Citgo, Valero, Shell, Getty, 7-Eleven, Giant Gas Kiosk, Lehigh Gas, CoGo's, Kwik Fill, Pit Stop, Uni Marts, Circle K, GetGo
- Convenience/grocery/no gas – These establishments are engaged in retailing a limited line of goods that generally includes milk, bread, soda, and snacks but do not sell gasoline at the location. These establishments can be independently owned or belong to a regional or national chain. These outlets can be referred to as country stores, corner stores, general stores, local markets, mini markets, convenience stores, grocery stores or “Mom & Pop” establishments. These outlets may or may not be open for long hours.
- Dollar store – These establishments are variety stores that sell a wide range of inexpensive household goods. These establishments often sell all goods at a single price. Product lines at these establishments may include: food and drink, personal hygiene products, small home and garden tools, office supplies, decorations, electronics, garden plants, toys, pet supplies, motor and bike consumables. Larger stores may sell frozen foods and fresh produce.
- Pharmacy/drug store – These establishments can be retail stores centrally featuring a pharmacy selling prescription and over-the-counter medications. These establishments may sell not only medicines, but also miscellaneous items such as: candy, cosmetics, cleaning supplies, magazines, and paperback books. These stores may sell light refreshments, milk, bread and frozen food. They may be part of a national or regional chain of outlets or owned and operated by an independent pharmacist. Their major image is as a pharmacy.
- News outlet – News outlets sell newspapers and magazines. They usually sell other items like candy, but their main purpose is selling newspapers and magazines. Include outdoor newsstands in this category.
- Restaurant/deli – These establishments are primarily engaged in providing food services to patrons who order. They can be served in the following scenarios: while seated (i.e. waiter/waitress service) and pay after eating, or where patrons generally order or select items and pay before eating. For the Synar, if the cigarettes are sold near the bar counter, categorize it as a bar/tavern. If the cigarettes are sold in the restaurant area, categorize it as a restaurant. These establishments may provide carry out services. A list of establishments that may fall under this category are: diner, pizza shop, sub shop, Chinese take-out, café, coffee shop, or delicatessen.
- Supermarket – Supermarkets sell food and household items in a large facility. It is a departmentalized self-service store offering a wide variety of food and household merchandise. It is larger in size and has a wider selection than a traditional grocery store. The supermarket typically has meat, produce, dairy and baked goods departments. Along with the items for sale in the various departments, additional items for sale may include canned and packaged goods as well as various nonfood items such as household cleaners, pharmacy products, and pet supplies. This category will include the major chains such as:
  - Weis, Giant, Walmart, Kmart, ACME, Clemens, Food Lion, Giant Eagle, Karns, Save-A-Lot, Shop 'n Save.

- Tobacco – The tobacco category covers all tobacco outlets, cigarette outlets and cigar shops. These outlets sell tobacco (cigarettes, cigars and/or smokeless tobacco) as their main product.
- EMP-LOT-PVR-UNL – This category is reserved for those outlets that meet both of the following criteria:
  - The outcome of the check is a non-completion
  - The non-completion type is UNL, PVR, EMP or LOT.
  - ⚠ This category must be used for all outlets marked as one of the above non-completion types, even if it is possible to place them into another category.
- Other – **This is a last resort category.** Use this category for locations that do not fit in any of the above categories. Describe the type of outlet in the space provided next to the other category. Category examples: check cashing outlets, Laundromats, golf pro shops, hotels, motels, record outlets, clothing outlets, book stores, hardware stores, video stores, campgrounds, prisons, bowling lanes (not in the bar), fire halls, Gateway clipper (boat), train stations, auto auctions, bait shops, car dealerships, etc.

### Question 3 – Non-Completion type

 Before answering this question, review **Appendix 2**.

Place the non-completion outlet into the correct category. Only answered if the outcome is a non-completion. Only select ONE category. A detailed explanation is required in the “Notes” section. Do not repeat the category name in the notes section by writing explanations such as, “too dangerous” or “bar not accessible”. Examples of acceptable explanations are “Q3-sign prohibiting youth under 21”, “Q3-looked up phone number and called” or “Q3-known drug traffic and high crime area”. (Non-Completion only)

### Question 4 – Gender of buyer

Record the gender of the underage purchaser who surveyed the outlet. (Completions only)

### Question 5 – Age of buyer

Record the age of the underage purchaser who surveyed the outlet. **Buyer age can NOT be less than 15.** (Completions only)

### Question 6 – Ethnicity of buyer

Ask the underage purchaser if they are of Hispanic, Latino or Spanish origin. (Completions only)

### Question 7 – Race of buyer

Ask the underage purchaser which race that they most identify with. Select one option. If the underage purchaser identifies with more than one race, select other. (Completions only)

### Question 8 – Does the outlet serve alcohol for on-site consumption?

This item applies to outlets that serve alcohol that can be consumed on-site, such as, bars, taverns, restaurants, etc. Use the “Unknown” category when it cannot be determined.


- ⚠ Beer distributors do not serve alcohol to be consumed on site. Therefore, they are marked “no” for Question 8.

#### Question 9 – Was the adult supervisor in the outlet?

If the adult supervisor was in the outlet when the attempt to purchase cigarettes was made, mark "Yes", otherwise mark "No". Note any unusual situations in the "Notes" section. (Completions only)

#### Question 10 – Was the buyer asked to show ID?

If the clerk asked the underage purchaser to show proof of age, fill the circle for "Yes". If the underage purchaser was not asked for proof of age, fill the circle for "No". (Completions only)

 Underage purchasers should NOT carry IDs into the outlet.

#### Question 11 – Was buyer asked his/her age?

If the clerk asked the underage purchaser his/her age, fill the circle for "Yes". If the clerk did not ask the underage purchaser his/her age, fill the circle for "No". (Completions only)

#### Question 12 – Were warning signs visible?

If the outlet displays signs indicating that it does not sell tobacco to persons under the age of 18 or under the age of 21, fill the circle for "Yes". If display-warning signs were not visible, fill the circle for "No". (Completions only)

#### Question 13 – Gender of clerk

Gender of the clerk who waited on the underage purchaser. (Completions only)

#### Question 14 – Location fields are accurate

Check the outlet location section of the Electronic Collection Form and Collection Form Worksheet and verify that all information accurately represents the present outlet. If the information is incorrect then select "No", if all information is valid, select "Yes". Provide the updated information in the Notes section. For example, "Q14: Business name is incorrect; business should be Dollar General." This question, along with your input in the notes section, will be used to improve the quality of the sampling list. This is not a valid non-completion reason.

#### Date of visit

Fill the month, day and year of the compliance check (MM/DD/YY). (Completions only)

#### Time of visit

Fill the time the outlet was visited. (Completions only)

#### Notes

Enter any noteworthy aspects of the surveyed outlet. Let the statistician know which question is being referred to by placing the letter "Q" and the question number in front of the note. For example, when referring to question 4, write "Q4" in the notes. These notes are necessary to verify that the outlet is correctly classified and to provide information to CSAP when they audit the PA survey. All non-completions must be explained in the notes section. If BNA was selected for the question 3, either "Q3-bouncer" OR "Q3-sign" + exact wording of the sign must be placed in the notes section. For example, "Q3-sign- No one under 21 permitted". If an outlet was determined to be ineligible during the last 12 months while conducting FDA enforcement, write an explanation along with the date of the FDA compliance check. If more room is needed, make note of it on the front and continue on the back of the Worksheet. See **Figure 10** for real examples of proper notes.



Questions should be directed to the DHI (see **Figure 1a**).

**Figure 10. Non-completion Example Notes**

**BNA**

**Notes:**

Q3 - Sign on door. "No one under 18 permitted in bar."

**DNS**

**Notes:**

Q3 - The owner said he doesn't sell tobacco. "Go to Koch's," he said.

**EMP**

**Notes:**

Q3 - "Closed/For Sale" sign posted in window. All doors (two) locked. Looked inside windows, building was empty.

**EMP**

**Notes:**

Q3 - Sign that says "Out of Business - For Sale" - Door locked; windows boarded; looked empty.

**LOT**

**Notes:**

Q3 - Fire destroyed building February 2010; building demolished; now empty lot; verified by site visit.

**DUP**

**Notes:**

Q3 - Duplicate to Sample 010.

**ONA**

**Notes:**

Q3 - Apartment building; no public entrance; verified by site visit.

**PVR**

**Notes:**

Q3 - Private residence; spoke briefly with homeowner; verified by site visit.

# Appendix 2

## Documenting Outlets Not Inspected (Non-completions)

Every valid survey utilizes methods to ensure survey quality. The Synar survey uses many methods such as monitoring the completion rate and documenting non-completions. A key component of survey quality is the completion rate, which is divided into the categories: 1) outlet completion rate and 2) item (question) completion rate. This appendix is concerned with outlet completion rate, which is defined as the number of outlets where inspections were completed, divided by the total number of eligible outlets. Survey quality is directly proportional to survey completion rate. The higher the completion rate, the higher the survey quality. Conversely, the lower the completion rate, the lower the survey quality. The goal for the Synar survey is to have the highest number of outlets inspected and the lowest number of non-completions.

Not every non-completion affects the quality of the survey. Some outlets are considered ineligible locations or locations that, under normal conditions, are not accessible by youth under 21. For this reason, it is important to accurately categorize and document why the inspection was not completed. The statistician analyzes the non-completions and decides whether they must be completed (an eligible outlet) or if they are inaccessible (an ineligible outlet). **In addition, CSAP requires explanations for all non-completions.**

A non-completion classification system was devised to simplify the processes of determining eligibility. It is the surveyor's responsibility to correctly classify the non-completed outlet in question 3 on the Electronic Collection Form (see **Figure 4**) and Collection Form Worksheet (see **Figure 9**).

**⚠ Non-completion classification is extremely important. The team leader should review this appendix very carefully.**

The surveyor must explain the reason(s) an attempt was not made in the "Notes" section of the Electronic Collection Form and Collection Form Worksheet (see **Appendix 1**). More detailed explanations than writing "Bar" or "Not accessible" must be provided in the notes section. Some examples may be: "Q3-sign prohibiting youth under 21", "Q3-looked up phone number and called", "Q3-known drug traffic and high crime area", etc. If BNA is marked, put either "Q3-bouncer" or "Q3-sign- No one under 21 permitted" in the notes. The sign must specifically prohibit youth from entering. The explanation allows the statistician to classify the sample locations correctly. In addition to the Electronic Collection Form and Collection Form Worksheet documentation, every non-completion location must also be recorded and accounted for on the Area Accounting Form (see **Appendix 5**).

Correctly categorizing the outcome of the inspection is one of the most important aspects of your duty as a surveyor. A definition for the difference between refusals and non-completions has been provided below but if there are any questions, contact DHI (see **Figure 1a**).

**⚠ Refusal vs. Non-completion** – A refusal is when the underage purchaser asks for cigarettes but is refused by the clerk. The underage purchaser has to ask for cigarettes before it can be considered a refusal. A non-completion is when the underage purchaser does not have the chance to attempt to buy cigarettes because of one of the non-completion reasons below.

Completion rate is vital to the survey’s validity so every eligible outlet must be inspected. When eligible outlets are not inspected, vital information is lost and the survey results are weakened. Additionally, CSAP requires a high completion rate.

**Figure 11. Electronic Collection Form – Q3**

**Non-completion type (select one) \***

- (CBB) Cigarettes Behind Bar
- (BNA) Bar Not Accessible
- (DNS) Does Not Sell
- (DUP) Duplicate
- (EMP) Empty Building
- (ITV) Itinerant Vendor
- (LOT) Empty Lot
- (OCN) Outlet Closed/Not Access.
- (ONA) Other/Not Accessible
- (PCL) Private Club
- (PVR) Private Residence
- (UNL) Unlocatable
- (ACC) Accessible - Other
- (ODG) Outlet Dangerous

**Figure 12. Collection Form Worksheet – Q3**

3. Non-completion type	
<input type="checkbox"/>	(CBB) Cigarettes Behind Bar
<input type="checkbox"/>	(BNA) Bar Not Accessible
<input type="checkbox"/>	(DNS) Does Not Sell
<input type="checkbox"/>	(DUP) Duplicate
<input type="checkbox"/>	(EMP) Empty Building
<input type="checkbox"/>	(ITV) Itinerant Vendor
<input type="checkbox"/>	(LOT) Empty Lot
<input type="checkbox"/>	(OCN) Outlet Closed / Not Acc.
<input type="checkbox"/>	(ONA) Other/Not Acc.
<input type="checkbox"/>	(PCL) Private Club
<input type="checkbox"/>	(PVR) Private Residence
<input type="checkbox"/>	(UNL) Unlocatable
<input type="checkbox"/>	(ACC) Accessible-Other
<input type="checkbox"/>	(ODG) Outlet Dangerous

### Non-completion Classifications

A three-letter code is provided to relate these categories to the summary sheet. The three-letter code should always be accompanied by an explanation.

#### (CBB) Cigarettes Behind Bar

Use this category if the outlet serves alcohol for on-site consumption AND the cigarettes are sold from behind the bar counter. A bar counter is defined as: the serving area for alcoholic beverages where drinks are mixed by a bartender and the location where the beer taps are located. Many steps must be followed and details explained to use this category. The following requirements must be met before categorizing an outlet as a CBB. **Explanation required.**

1. **The adult supervisor must enter the establishment.**
2. **The following questions MUST be answered on the Collection Form in the notes section:**
  - a. Does outlet serve alcohol?
  - b. Was there a sign prohibiting youth from entering?
  - c. Was there a bouncer at the door?
  - d. Did the adult enter?
    - ⚠ If (a) & (b) are answered “Yes”, then mark outlet as BNA, do not use CBB.
    - ⚠ If (a) & (c) are answered “Yes”, then mark outlet as BNA, do not use CBB.

#### (BNA) Bar Not Accessible

Use this category if the bar has a sign or a bouncer prohibiting youth from entering. **There must be a sign prohibiting youth OR a bouncer AND the outlet type must be a bar/tavern.** The sign must explicitly prohibit youth from entering. For example, “No one under 21 permitted”, “You must be 21 or older to enter”, “Youth under 21 prohibited”, etc. A “Smoking Permitted” sign does NOT qualify. **It is mandatory**

**to place the exact wording of the sign in the notes section of the Electronic Collection Form and Collection Form Worksheet.** For example, “Q3-sign-No one under 21 permitted”, “Q3-sign-Youth under 21 not allowed”, etc. If there is not a sign prohibiting neither youth under 21 nor a bouncer, this code cannot be used. A sign specifying the location as an alcohol serving establishment does not indicate the establishment is inaccessible. ***Explanation required.***

- ⚠ If BNA is used, the notes section must have either “Q3-Bouncer” OR the exact wording of the sign. For example, “Q3-sign- No one under 21 permitted”.
- ⚠ A “Smoking Permitted” sign does NOT qualify
- ⚠ If a picture of the sign is taken, write the exact wording of the sign in the notes section and specify that a picture was taken.
- ⚠ If a beer distributor has a sign prohibiting youth from entering, mark as ONA, do not mark as BNA.

#### (DNS) Does Not Sell

The outlet does NOT sell tobacco. Explain how it was determined that the outlet does not sell tobacco. ***Explanation required.***

#### (DUP) Duplicate

Use this code if the outlet is a duplicate listing. Duplicate listings are two outlets that have the exact same address. Only one of the duplicates can be marked DUP, the other outlet must be completed.

***Explanation required.***

- ⚠ The AREA and SAMPLE numbers of the duplicate outlet must be placed in the Notes section.

#### (EMP) Empty Building

Use this code or description if there is an empty building at the location. There isn’t any business operating at the address but there is still a building there. Describe the location in the notes section.

***Explanation required.***

#### (ITV) Itinerant Vendors

Mobile vendors. Itinerant vendors have the capability to move from place to place. These vendors are not part of our survey since they do not have a permanent address and our survey samples addresses. Do not try to find these vendors. Examples include food carts along sidewalks and the little trucks at sporting events or locations where crowds gather.

#### (LOT) Empty Lot

Use this code or description if there is an empty lot at the location. There isn’t any business operating at the address AND there is not a building present. There probably was a building at one time but it was torn down. Describe the location in the notes section. ***Explanation required.***

#### (OCN) Outlet Closed, Not Accessible

Use this code if the outlet is closed during the entire survey period but is not permanently out of business OR if the outlet is not open during surveying hours. Find a phone number for the establishment to determine hours of operation. This category is used to establish time sensitivity. For example, the normal Synar survey period is July 1st to mid-August. If a seasonal outlet such as, a ski lodge, is visited during the survey period, it is likely the lodge will be closed during the entire survey

period because a ski lodge is usually only open in winter months. In this situation, mark the outlet as OCN because it is not out-of-business but is closed during the entire survey period.

Also use OCN if the outlet isn't open during daylight hours (surveying hours). The Synar survey should not be conducted before sunrise or after sunset. Surveying hours are from 6 AM to 8:30 PM. If an outlet opens at 9:00 PM and closes at 2 AM, then it is a non-attempt and should be classified as OCN.

**Explanation required.**

#### (ONA) Other, Not Accessible

A variety of locations are not accessible to youth but don't fit in another category, such as stadiums, concert venues, lunchrooms in a factory, adult bookstores, state prisons, office buildings, airports, apartment buildings and warehouses. Use this category if any of the following conditions apply:

1. The building is inaccessible to the general public and doesn't fit into another category.
2. The establishment is NOT a bar/tavern but has a sign prohibiting youth from entering.
3. The establishment requires money to enter (e.g., arenas, racetracks, airports, stadiums, etc.)
4. The establishment only sells cigarettes by the carton (no individual packs).
5. The establishment is a beer distributor with a sign prohibiting youth under 21 from entering.

#### (PCL) Private Club

Membership only locations. This category includes but is not limited to volunteer fire companies, veterans' organizations, fraternal organizations and motorcycle clubs. **Explanation required.**

#### (PVR) Private Residence

Use this category when the address is a private home or private residence. Before classifying as a PVR, make sure the surveyor is at the exact address on the Collection Form Worksheet. There have been incidences when the surveyor marked it as PVR but they were at the wrong address. **Explanation required.**

#### (UNL) Unlocatable


Use this category when an address was not found after exhausting all resources. An outlet should rarely be marked as an Unlocatable. There are many resources available for locating establishments. We recommend: 1) the surveyor's knowledge of the area 2) a GPS system 3) an extensive internet search. Use all the information provided to acquire an outlet's phone number. A company's store locator web site is a valuable resource for address, business name and telephone information. A google search is also an effective method. Exhaust all resources. If a phone number is found, call the outlet to get directions without revealing the purpose of the visit. If all resources have been exhausted and the outlet still can't be found, categorize the outlet as UNL. In the notes section of the Electronic Collection Form and Collection Form Worksheet write "UNL" along with an explanation of the steps that were taken to find the outlet. **Explanation required.**

#### (ACC) Accessible-Other

**THIS IS A TEMPORARY DISPOSITION CODE.** If an accessible outlet cannot be completed during the time of the visit and it must be revisited at another time, write this code in the notes section of the Electronic Collection Form and Collection Form Worksheet to let the statistician know that the outlet was visited but not inspected. Also put the date of the ACC visit in the notes section. This is not a permanent category. This category is only provided so the outlet isn't forced into another category where it doesn't

belong. This code can never be used as a final disposition. This code should only be placed in the notes section of the Electronic Collection Form and Collection Form Worksheet. If a form is submitted with question 3 of the Electronic Collection Form and Collection Form Worksheet marked as ACC, the outlet will have to be revisited.


 This outlet must be revisited.

 Example when to use: If the youth knows the clerk or someone in the store, the youth will leave the outlet to return at another time. The adult will write “mm/dd/yy - first visit ACC, youth knew someone in the store” in the notes section of the Electronic Collection Form and Collection Form Worksheet.

(ODG) Outlet Dangerous

 **Do not enter the outlet!**

The safety of the survey participants is the most important consideration during the survey. Use this category if a survey team member thinks there may be risk involved in conducting an inspection AND it can't be classified into any other non-completion category. CSAP does not accept ODG as a valid non-completion reason so it must be verified that the outlet cannot be classified as any other non-completion category. **Explanation required.**

 The following questions MUST be answered on the Electronic Collection Form and Collection Form Worksheet in the notes section:

1. Was there a sign prohibiting youth from entering?
2. Was there a bouncer at the door?
3. Did the adult enter?
4. If outlet is a bar, were the cigarettes sold from behind the bar area?
5. Were cigarettes sold through a vending machine?
6. How was it determined that the outlet sells cigarettes?

# Appendix 3

## Batch Control Sheet Instructions

The Batch Control Sheet is a vital piece of the Synar survey. The information collected from this form is required by CSAP and is reported in the Annual Synar Report. This form assists the team leaders and the Regional Primary Contractors (RPCs) to assemble materials that are mailed to Harrisburg. Before mailing the Batch Control Sheets, edit them carefully for accuracy and completeness. **Complete one form for each area.** Some of the forms have pre-printed information. Do not write over the printed information.

### Health District

If blank, enter the appropriate health district or random area [(Northcentral (NC), Northeast (NE), Northwest (NW), Southcentral (SC), Southeast (SE), Southwest (SW), Allegheny (AL), Delaware (DE), Erie (ER) or Philadelphia (PH)].

Health District:	<input type="text"/>
------------------	----------------------

### Area Surveyed

Description of the area surveyed, such as "Juniata County, entire county" or "York City area".

Area Surveyed:	<input type="text"/>
----------------	----------------------

### Area Number (from sample)

If not pre-filled, place the area number (3- digit code given to each area or cluster) of the batch of forms being monitored on the provided line.

Area Number:	<input type="text"/>
--------------	----------------------

### Batch Start & End Dates

Enter the date the survey team began its fieldwork and the date work ended for the outlets in the area monitored by the batch control sheet.

Batch Start Date:	<input type="text"/>
-------------------	----------------------

Batch End Date:	<input type="text"/>
-----------------	----------------------

### Designated Adult Supervisors

Enter the name of each adult who accompanied the youth participants and their organizational affiliation, training call attendance, and email address (e.g., "John Doe, Philadelphia Dept. of Health, Yes, [ido@pa.gov](mailto:ido@pa.gov)").

Designated Adult Supervisors:

NAME	ORGANIZATION	Attended June 6 <sup>th</sup> Training Call (Yes or No)	Email

### Complete List of Underage Purchasers Used for this Cluster

This section of the batch control sheet is required by CSAP. Enter the name, age, gender and the number of outlets each underage purchaser visited. Each underage purchaser should only be listed once. Please print clearly. Add up the "Outlets Visited" column and write the total in the space provided. The total outlets visited must equal the "Total Completions" cell. If more than 6 different underage purchasers were involved in the sample area, write the information for the remaining youth on the back of the form and make a note on the front that the back of the sheet was used.

Complete List of Youth Participants used for this Cluster:

	NAME	AGE	GENDER	Outlets Visited
1				
2				
3				
4				
5				
6				
Total Outlets Visited:				

### Collection Form Accountability

Tally the number of outlets that resulted in a sale, refusal or non-completion. "TOTAL COMPLETIONS + NON-COMPLETIONS" must equal the total number of outlets issued, including both the original sample and supplemental sample. There should be as many outlets completed as the number in the "TOTAL COMPLETIONS + NON-COMPLETIONS" cell.

Survey Report Forms Accountability:

OUTCOME	COUNT	TOTALS	COUNT
SALE		TOTAL COMPLETIONS (Sale + Refusal)	
REFUSAL		TOTAL COMPLETIONS + NON-COMPLETIONS	
NON-COMPLETION			



# Appendix 4

## Compliance Sheet Instructions

The Compliance Sheet contains a list of the sample sorted by area within each district. The district name, area number, county name, outlet name and address information are pre-printed on the Compliance Sheet. There are up to 9 outlets listed on each page. Record the outcome of the outlet compliance check by placing an "X" on one of the lines provided ("Sale", "Refusal" or "Non-Completion"). If the outcome is a non-completion, put the 3-letter code (see **Table 5**) for the non-completion reason on the line provided.

**Figure 13. Compliance Sheet Sample**

Synar 2008 Compliance Sheet		Centre			
North Central Area Number 101		Sale	Refusal	Non-Com	Non-Completion Type (3 Letter Code)
1	Ta Operating LLC Travel Centers Of American 875 N Eagle Valley Road  Milesburg 16853	_____	_____	_____	_____
2	Puff Discount Cigarette Inc Puff Discount Cigarette Inc 2255 N Eagle Valley Roa  Howard 16841	_____	_____	_____	_____

**Table 4. Non-completion codes**

<b>Code</b>	<b>Non-Completion Reason</b>
CBB	Cigarettes Behind Bar
BNA	Bar Not Accessible
DNS	Does Not Sell
DUP	Duplicate
EMP	Empty Building
ITV	Itinerant Vendor
LOT	Empty Lot
OCN	Outlet Closed/Not Accessible
ONA	Other/Not Accessible
PCL	Private Club
PVR	Private Residence
UNL	Unlocatable
<b>ACC</b>	<b>Accessible-Other</b>
<b>ODG</b>	<b>Outlet Dangerous</b>

# Appendix 5

## Area Accounting Form Instructions

Every non-completion location is recorded on the Area Accounting Form. One Area Accounting Form is completed for each area, both clustered and random areas (e.g., Allegheny, Delaware, Erie and Philadelphia counties).

In the space provided for Health District, enter the appropriate code (NC, NE, NW, SC, SE, SW, AL, DE, ER or PH). In the space provided for Area Number, enter the Area number. In the space provided for the Area Description, describe the area (e.g., Centre, Allegheny, Erie, etc.). In the unshaded portion of the first row of the table under the title Sample Number Not Attempted, enter the sample number of each outlet that was not attempted. Enter an "X" in the appropriate row, depending on the reason an attempt was not made. Once all non-attempt data is recorded, sum each non-attempt reason in the far-right column titled Total. Sum the Total column in the far-right cell of the Total row. (This number should equal the number of non-completions marked on the Collection Form Worksheet for that cluster or area).

**Figure 14. Area Accounting Form Sample**

**AREA ACCOUNTING FORM**  
NON-COMPLETIONS  
(Synar 2011)

Health District: \_\_\_\_\_ Area Description: \_\_\_\_\_

Area Number: \_\_\_\_\_

	SAMPLE NUMBER										
REASON											TOTAL
(CBB) Cigarettes Behind Bar											
(BNA) Bar Not Accessible											
(DNS) Does Not Sell											
(DUP) Duplicate											
(EMP) Empty Building											
(ITV) Itinerant Vendor											
(LOT) Empty Lot											
(OCN) Outlet Closed / Not Accessible											
(ONA) Other/Not Accessible											
(PCL) Private Club											
(PVR) Private Residence											
(UNL) Unlocatable											
(ACC) Accessible-Other											
(ODG) Outlet Dangerous											
TOTAL											

# Appendix 6

## Supplemental Sample

### Overview

Supplemental sample is defined as additional sample issued in areas when the minimum number of completions is not achieved. Supplemental sample is necessary to ensure a sufficient final sample size for the clustered areas and randomly sampled areas (i.e., Allegheny, Delaware, Erie and Philadelphia counties). A completion is when the result of an inspection is a “sale” or a “refusal”. The minimum number of completions required is 13 per each clustered area. The minimums for the random areas are: 70 for Allegheny County, 70 for Delaware County, 60 for Erie County and 170 for Philadelphia County.

Immediately review the sample list to determine which outlets are non-completions. If an outlet was visited for enforcement (FDA or Act 112) during the past 12 months and found to be ineligible, the outlet can be marked as ineligible. Categorize the outlet in the correct Synar non-completion category. The date of the enforcement check and the person who verified the establishment’s ineligibility must be recorded in the notes section of the Electronic Collection Form and Collection Form Worksheet. Do NOT visit EVERY outlet BEFORE the survey begins. However, outlets suspected to be ineligible should be verified before the survey. Verifying suspected outlets before the survey is beneficial because the youth’s time isn’t wasted. If 5 or more outlets in a clustered area are non-completions (12 or fewer completions) then request supplemental sample for that cluster before the survey begins. There are five situations when an outlet can be marked as a non-completion BEFORE it is visited.

1. The outlet was visited within the last 12 months AND the non-completion type was either BNA, DNS, OCN, EMP, or PCL.
2. The outlet has a duplicate address on the sample list.
3. The non-completion type was LOT, PVR or ITV during an enforcement visit in the past 12 months.
4. The address is a corporate office or private building.

All other non-completions are determined after they are visited. If an outlet is marked as a non-completion before the survey, according to **Appendix 2**, the date it was last visited and the name of the person who determined the non-completion status must be placed in the notes section of the Electronic Collection Form and Collection Form Worksheet.

### Requesting Supplemental Sample Procedures

Contact DHI (see **Figure 1a**) to request supplemental sample if 13 completions are not achieved for any one cluster in the clustered areas, 70 completions have not been achieved in Allegheny county, 70 completions have not been achieved in Delaware county, 60 completions have not been achieved in Erie county or 170 completions have not been achieved in Philadelphia County. Every supplemental outlet must be attempted and every supplemental outlet that is eligible must be completed. Do not over-estimate the number of supplemental sample needed. If 10 supplemental outlets are requested, then 10 attempts are made and 10 Electronic Collection Forms and 10 supplemental outlets on the Collection Form Worksheets are completed.

**All issued supplemental sample must be completed. You can't return sample.**

**Figure 15** demonstrates how a Supplemental Sample email request should look. Every request must contain the following information:

- The subject line should read “Supp 609” – if 609 is the ANUM being requested.
- The total number of supplemental outlets requested is the first line in the body of the email.
- Complete list of every outlet that cannot be completed in the ANUM with the following information included for each one:
  - Sample number (SNUM)
  - Non-completion 3 letter abbreviation
  - Date last visited
  - Detailed explanation of the Non-Completion

**Figure 15. Supplemental Request - Email layout**

The screenshot shows an email client interface with the following fields:

- To...: \*ntinik@pa.gov\*
- Cc...: \*smuccioli@pa.gov\*
- Bcc...: (empty)
- Subject: Supp 609

The email body contains the following text:

Need 5 Supplemental

- 4 – EMP – 7/19/16: Building empty, doors locked with empty shelves
- 5 – ONA – 7/13/16: Beer distributor with a sign posted “No one under age 21 permitted”
- 6 – PCL – 7/13/16: Door is locked and you need a membership key to enter; knocked on door and talked with bartender
- 8 – BNA – 7/19/16: Sign posted “No one under the age of 21 permitted”
- 9 – DNS – 7/19/16: Entered auto garage and spoke with mechanic; they do not sell cigarettes
- 10 – PVR – 7/13/16: Home with 555 posted
- 11 – BNA – 7/13/16: Sign posted “No one under 21 permitted”
- 13 – DNS – 7/19/16: Entered hair salon and spoke with beautician; they do not sell cigarettes
- 15 – EMP – 7/13/16: Building empty with locked doors and empty shelves

Every non-completed outlet must be listed for every request. If this is the second request for Supplemental sample, do not forward a previous request by adding new outlets. All non-completions must be listed together in the same message for every request. Create a comprehensive list of Non-Completions per cluster when requesting Supplemental Sample.

For each ANUM a separate request must be made. Do not request different ANUMS in the same email. For example, area 604 and 605 must be in separate email requests.

If a request needs to be made while working in the field, call Nathanael Tinik at 717-547-3646. The same information contained in an email request needs to be communicated over the phone (i.e., area number, each sample number and a detailed explanation for the non-completion code for each sample number). After each phone request is finished, a follow-up email will be sent containing the Collection Form Worksheet, Compliance sheet and htm files for the supplemental sample issued over the phone.

**All information must be contained within the body of the email. Do not send attachments containing the information.**

# Appendix 7

## Glossary

**Adult Participant** – Any adult involved in conducting the compliance checks. An adult participant can also be referred to as an “Adult Supervisor” or “Adult Driver”.

**Adult Supervisor** – The adult responsible for supervising the compliance checks. The supervisor’s responsibilities include: supervising underage purchasers, ensuring the safety of the underage purchasers, observing the outlet before the underage purchaser enters and maintaining underage purchaser morale. The supervisor can also be the driver.

**Adult Driver** – The adult responsible for driving the underage purchaser from outlet to outlet. Adult driver can be the supervisor but doesn’t have to be.

**Annual Synar Report** – Name of the report sent to CSAP that describes the results of the Synar Survey. The report is part of the Substance Abuse Prevention and Treatment block grant.

**Bar Counter** – The serving area or counter area surrounding or in front of the alcohol in an outlet that serves alcohol for on-site consumption. It is normally where drinks are mixed by a bartender and the place where the beer taps are located.

**Check** – See *Compliance Check*.

**Cigarette License File** – The Department of Revenue’s database containing the identification information for every establishment that purchased a license to sell cigarettes in Pennsylvania. According to state law, an establishment must purchase a license to sell cigarettes and provide the name and address of the outlet selling the cigarettes. This file is used to create the Synar sampling frame.

**Cigarette Outlet** – An establishment where cigarettes are sold by the pack.

**Cigarette Vendor** – The person or group that owns the license to sell cigarettes.

**Clerk** – The employee who asks for and collects the money for cigarettes. This is the person who decides whether or not to sell cigarettes to the underage purchaser.

**Cluster** – Group of licensed cigarette outlets that are geographically close to one another. The number of outlets in a cluster will vary from 40 to a number lower than the sampling interval of the stratum.

**Cluster Area (Clustered Area)** – Areas that use cluster sampling. All areas use cluster sampling except for Allegheny County, Delaware County, Erie County and Philadelphia County.

**Cluster Sampling** – A type of multi-stage sampling plan involving groups (clusters) of sampling units. For the Synar Survey, clusters are sampled then units within the cluster are sampled.

**Completion** – The outcome of a compliance check when the result is a “Sale” or a “Refusal”.

**Completion Rate** – The ratio of the number of completions to the number of eligible outlets in the original sample.

**Compliance Check** – The act of attempting to purchase cigarettes by an underage purchaser. Compliance Checks are used to determine if an outlet is in “compliance” with the tobacco law. If the outlet does not sell cigarettes to the underage purchaser, they are compliant.

**Confidence Interval (CI)** – The tool used with sample data to make an inference about the population. All confidence intervals involve a probability level and an interval computed from the survey data. CSAP requires each state to report their Synar results as a right-sided 95% confidence interval assuming a normal distribution.

**Contractor** – Person or group contracted by the Department of Health responsible for conducting the Synar survey within a specific area.

**Coverage Survey** – A survey used to test the under-coverage of the sampling frame. The survey is separate from the Synar survey that uses the sampling frame.

**CSAP** – The Center for Substance Abuse Prevention is the federal agency in charge of overseeing the implementation of the Synar regulation. CSAP is a sub-group of SAMHSA.

**Eligible Outlet** – An outlet that sells cigarettes and is accessible to all youth.

**Field** – The venue in which cigarette outlets are visited, survey data are collected and the paperwork is completed. This is where the compliance checks are conducted. Field can also refer to a section of a collection form where data is entered.

**Fieldwork** – All work involved with conducting a compliance check and completing the survey forms.

**Field Representatives** – See *Field Staff*.

**Field Staff** – Volunteers, staff and contractors that conduct the compliance checks and complete the survey forms. Adult and underage purchasers comprise the field staff.

**Inspection** – See *Compliance Check*.

**Non-completion** – The outcome of a compliance check that does not result in a “Sale” or a “Refusal”.

**Outcome** – The result of a compliance check. It can be a “Sale”, “Refusal” or “Non-completion”.

**Over-coverage** – A term used to describe a sampling frame that contains ineligible elements. Over-coverage for the Synar survey means the frame contains outlets such as those inaccessible to youth, with duplicate addresses, out-of-business or no longer selling cigarettes.

**Population** – The total set of all elements being studied. A sample is selected from this group to make an inference about the population. The Synar population is every outlet in Pennsylvania that sells cigarettes and is accessible to underage purchasers. For the Synar survey, this population is also called the “target population”.

**PPS** – Probability Proportional to Size (PPS) is the name of a sampling technique where sampling units are selected with a probability proportional to the size of the unit. In the Synar survey, the cluster is the sampling unit and the size is the number of outlets within the cluster. In short, a cluster with a greater number of outlets has a greater chance of being selected than one with fewer outlets.

**Probability Sample** – A sample taken from a population where every element of the population has a chance to be selected into the sample. In other words, every element in the population of a probability sample has a known nonzero probability of being selected into the sample.

**PSU** – The Primary Sampling Unit is selected in the first stage of sampling in a multistage design. The PSU for the Synar Survey is the cluster.

**Random Area** – Areas where simple random sampling (SRS) was used. The random areas are Allegheny, Delaware, Erie and Philadelphia.

**Refusal** – The outcome of the survey characterized by the clerk refusing to sell cigarettes to the underage purchaser.

**Response Rate** – See *Completion Rate*.

**RPC** – The Regional Primary Contractors are in charge of coordinating all fieldwork in their District.

**Sale** – The outcome of the survey characterized by the clerk selling cigarettes to the underage purchaser.

**SAMHSA** – The Substance Abuse and Mental Health Services Administration is an agency of the U.S. Department of Health and Human Services. SAMHSA oversees CSAP who regulates the Synar survey.

**Sample** – A subset or small portion of a population.

**Sample Design** – A set of rules or procedures that specify how a sample is selected.

**Sample Location** – The address of an outlet selected for the survey.

**Sampling Frame List** – A list that identifies every element in the population. The sample is selected from this list.

**Sampling Interval** – The sampling interval is the rate that clusters are sampled or, where  $i$  is the sampling interval,  $N$  is the total number of outlets in the stratum and  $n$  is the total number of clusters in the stratum.

**SAPT** – The Substance Abuse Prevention and Treatment block grant is the reporting vessel for the Synar Survey. The actual report is called the Annual Synar Report, but it is part of the SAPT block Grant.

**Simple Random Sampling (SRS)** – The most basic type of probability sampling. Elements are randomly selected without clustering or stratification.

**Standard Error** – See *Survey Error*.

**Stratum (pl. Strata)** – A mutually exclusive and exhaustive subgroup of the population. For the Synar survey, the entire population to be sampled is divided into separate and distinct subpopulations or strata. Every eligible outlet location on the sampling frame is grouped into 10 mutually exclusive and exhaustive geographical strata consisting of the Northcentral Health District (NC), Northeast Health District (NE), Northwest Health District (NW), Southcentral Health District (SC), Southeast Health District (SE), Southwest Health District (SW), Allegheny (AL), Delaware (DE), Erie (ER) and Philadelphia (PH).

**Supplemental Sample** – Additional sample issued when the minimum number of completions is not achieved.

**Survey** – A technique of collecting information from a sample of a population and using that information to make an inference about the entire population.

**Survey Error** – The positive square root of the sampling variance for a sampling distribution of an estimator. For the Synar survey, the survey error is computed for the violation rate estimator.

**Survey Rate** – See *Violation Rate*.

**Survey Validity** – Generic term given to describe the confidence we have that the survey can realistically describe the population. Noncompletions and bias are aspects that will negatively affect the validity of the survey and lessen our confidence that the survey is truly describing the population.

**Team Leader** – Person in charge of compliance checks for a particular area. This person is responsible for recruiting adults and youth to participate in the survey. They may also serve as a supervisor or driver.

**Underage Purchaser** – Any youth involved in conducting the compliance checks.

**Under-coverage** – A term used to describe a sampling frame that is missing eligible elements (outlets). Reasons for not being on the list can range from the outlet is selling cigarettes without a license to the address was incorrectly entered into the database.

**Vending Machine** – A coin/bill operated machine that dispenses cigarettes.

**Violation Rate** – The primary estimate produced by the Synar survey. It represents the percent of outlets that violated the law prohibiting retailers to sell cigarettes to underage purchasers. It is the ratio of outlets that sold cigarettes (to underage purchasers) to all eligible outlets in the survey.

**Visit** – See *Compliance Check*.



# Appendix 8

## Attachments

### Form Examples

Collection Form Worksheet

Compliance Sheet

Batch Control Sheet

Area Accounting Form

### Agreement/Consent Forms

Statewide Tobacco Outlet Survey Inspection Underage Purchaser Form

Statewide Tobacco Outlet Survey Inspection Parent/Guardian Permission Form

Statewide Tobacco Outlet Survey Inspection Designated Adult Supervisor Form

Underage Purchaser Medical Release Form

### Survey Verification

Letter of Verification

### Additional Information

Synar Cheat Sheet