

ANNUAL SYNAR REPORT

42 U.S.C. 300x-26

OMB № 0930-0222

FFY 2020

State: Iowa

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Public Burden Statement: An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number. The OMB control number for this project is 0930-0222. Public reporting burden for this collection of information is estimated to average 18 hours per respondent, per year, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to SAMHSA Reports Clearance Officer, 5600 Fishers Lane, Rockville, MD 20857.

INTRODUCTION

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

How the Synar report helps the Center for Substance Abuse Prevention

In accordance with the tobacco regulations, states are required to provide detailed information on progress made in enforcing youth tobacco access laws (FFY 2019 Compliance Progress) and future plans to ensure compliance with the Synar requirements to reduce youth tobacco access rates (FFY 2020 Intended Use Plan). These data are required by 42 U.S.C. 300x-26 and will be used by the Secretary to evaluate state compliance with the statute. The information to be reported is public (45 CFR 96.130 (f)) and is not confidential. Part of the mission of the Center for Substance Abuse Prevention (CSAP) is to assist states¹ by supporting Synar activities and providing technical assistance helpful in determining the type of enforcement measures and control strategies that are most effective. This information is helpful to CSAP in improving technical assistance resources and expertise on enforcement efforts and tobacco control program support activities, including state Synar program support services, through an enhanced technical assistance program involving conferences and workshops, development of training materials and guidance documents, and onsite technical assistance consultation.

How the Synar report can help states

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

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

Getting assistance in completing the Synar report

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

Where and when to submit the Synar report

The ASR must be received by SAMHSA no later than December 31, 2019 and must be submitted in the format specified by these instructions. Use of the approved format will avoid delays in the review and approval process. The chief executive officer (or an authorized designee) of the applicant organization must sign page one of the ASR certifying that the state has complied with all reporting requirements.

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

- FFY 2020 Synar Survey Results: States that use the Synar Survey Estimation System (SSES) must upload one copy of *SSES Tables 1–8* (in Excel) to WebBGAS. **Please note that, beginning with the FFY 2019 ASR, SSES will generate Tables 6, 7, and 8, which are based on the optional microdata on product type, retail outlet type, and whether identification was requested. If your state does not submit these optional data, Tables 6, 7, and 8 will be blank. Tables 6, 7, and 8 are generated for the convenience of the state, and states are not required to submit completed versions of Tables 6, 7, or 8.** States that do not use SSES must upload one copy of ASR Forms 1, 4, and 5, and Forms 2 and 3, if applicable, (in Excel), as well as a database with the raw inspection data to WebBGAS.
- Synar Inspection Form: States must upload one blank copy of the inspection form used to record the result of each Synar inspection.
- Synar Inspection Protocol: States must upload a copy of the protocol used to train inspection teams on conducting and reporting the results of the Synar inspections. This document should be different than the Appendix C attached to the Annual Synar Report.
- A scanned copy of the signed Funding Agreements/Certifications

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

FFY 2020: FUNDING AGREEMENTS/CERTIFICATIONS

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

PUBLIC HEALTH SERVICES ACT AND SYNAR AMENDMENT	
42 U.S.C. 300x-26 requires each state to submit an annual report of its progress in meeting the requirements of the Synar Amendment and its implementing regulation (45 C.F.R. 96.130) to the Secretary of the Department of Health and Human Services. By signing below, the chief executive officer (or an authorized designee) of the applicant organization certifies that the state has complied with these reporting requirements and the certifications as set forth below.	
SYNAR SURVEY SAMPLING METHODOLOGY	
The state certifies that the Synar survey sampling methodology on file with the Center for Substance Abuse Prevention and submitted with the Annual Synar Report for FFY 2020 is up-to-date and approved by the Center for Substance Abuse Prevention.	
SYNAR SURVEY INSPECTION PROTOCOL	
The state certifies that the Synar Survey Inspection Protocol on file with the Center for Substance Abuse Prevention and submitted with the Annual Synar Report for FFY 2020 is up-to-date and approved by the Center for Substance Abuse Prevention.	
State: Iowa	
Name of Chief Executive Officer or Designee: Dr. Jeff Kerber; Ph.D., LMFT	
Signature of CEO or Designee: Jeff Kerber, Ph.D., LMFT Signed copy uploaded in attachments.	
Title: Director; Division of Behavioral Health	Date Signed: December 3, 2019
If signed by a designee, a copy of the designation must be attached.	

SECTION I: FFY 2019 (Compliance Progress)

YOUTH ACCESS LAWS, ACTIVITIES, AND ENFORCEMENT

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

1. Please indicate any changes or additions to the state tobacco statute(s) relating to youth access since the last reporting year. If any changes were made to the state law(s) since the last reporting year, please upload a copy of the state law to WebBGAS. (see 42 U.S.C. 300x-26.)

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

Yes No

If Yes, current minimum age: 19 20 21 Other (Please specify.)

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

Yes No

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

Changed to require that law enforcement conduct inspections of tobacco outlets

Changed to make it illegal for youth to possess, purchase or receive tobacco

Changed to require ID to purchase tobacco

Changed definition of tobacco products

Other change(s) (Please describe.) _____

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

Licensing of tobacco vendors Yes No

Penalties for sales to minors Yes No

Vending machines Yes No

Added product categories to youth access law Yes No

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

Placed on file for public review

Posted on a state agency Web site (Please provide exact Web address and the date when the FFY 2020 ASR was posted to this Web address.)

Web address: <http://www.idph.iowa.gov/block-grant>

Date published: December 19, 2019

Notice published in a newspaper or newsletter

Public hearing

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

3. Identify the following agency or agencies (see 42 U.S.C. 300x-26 and 45 C.F.R. 96.130).

a. The state agency(ies) designated by the Governor for oversight of the Synar requirements:

Iowa Department of Public Health

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

- Yes No

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

Iowa Department of Commerce; Alcoholic Beverages Division (Iowa ABD)

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

- Yes No

c. The state agency(ies) responsible for enforcing youth tobacco access law(s):

Iowa Department of Commerce; Alcoholic Beverages Division (Iowa ABD)

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

- Yes No

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

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

Iowa Department of Public Health; Division of Tobacco Use Prevention and Control

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

- Yes No

c. Describe the coordination and collaboration that occur between the agency responsible for tobacco prevention and the agency responsible for oversight of the Synar requirements. (Check all that apply.) The two agencies

- Are the same
- Have a formal written memorandum of agreement

- Have an informal partnership
- Conduct joint planning activities
- Combine resources
- Have other collaborative arrangement(s) *(Please describe.)* _____
- No relationship

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

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

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

Iowa Department of Commerce; Alcoholic Beverages Division (Iowa ABD)

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

- Yes No

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

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

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

- Yes No

5. Please answer the following questions regarding the state's activities to enforce the state's youth access to tobacco law(s) in FFY 2019 (*see 42 U.S.C. 300x-26 and 45 C.F.R. 96.130(e)*).

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

Enforcement is conducted exclusively by local law enforcement agencies.

Enforcement is conducted exclusively by state agency(ies).

Enforcement is conducted by both local *and* state agencies.

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

PENALTY	OWNERS	CLERKS	TOTAL
Number of <u>citations issued</u>	unk	233	233
Number of <u>finest assessed</u>	unk	218	218
Number of <u>permits/licenses suspended</u>	unk		0
Number of <u>permits/licenses revoked</u>	unk		0
Other (Please describe.) <i>Dismissed =13; Deferred Judgement =2</i>	unk	15	15

- c. Are citations or warnings issued to retailers or clerks who sell tobacco to minors for inspections that are part of the Synar survey?

Yes No

If “Yes” to 5c, please describe the state’s procedure for minimizing risk of bias to the survey results from retailers alerting each other to the presence of the survey teams:

Contract with local law enforcement-local law enforcement officials will ticket clerks, as well as retailers, when conducting compliance checks. Law enforcement agents have the complete list of all retail tobacco permits holders and are required to conduct annual compliance checks of these outlets. To see a complete list of penalties see: <https://abd.iowa.gov/tobacco/legal-resources>

To prevent a potential problem of handling the Synar-sampled permit holders differently, law enforcement. Agencies and officers do not have access to the Synar sample. The compliance checks are done uniformly for all permit holders and the compliance results are recorded on line for all checks. Iowa ABD, ISU statistical analysisist and the Synar Coordinator are the only entities/persons with access to the sample list. The law enforcement officer waits until the youth, who completed the buy, leaves the store; citations/warnings are then issued.

The Iowa Attorney General’s Office may become involved and suspend or revoke the permit, depending on the severity of the offense or repeat offenses. Iowa has never had a “procedure” dealing with “treeing” (businesses calling other advising of a suspected/completed compliance check). Business have implemented training to their employees to insure tobacco sales to minors is minimized.

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

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

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

- Yes No

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

- Merchant education and/or training

Iowa ABD has the I-Pledge Retailer Training and Enforcement Program. Many merchants train their own staff.

- Incentives for merchants who are in compliance (e.g., no enforcement compliance checks in which compliant retailers are given positive reinforcement and noncompliant retailers are warned about youth access laws)

- Community education regarding youth access laws

Outreach to IDPH contractors to provide education at the local level on youth access laws. See also below in additional information for other.

- Media use to publicize compliance inspection results

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

- Other activities (*Please list.*) _____

Additional Information supporting tobacco enforcement and compliance in Iowa includes:
Strong partnerships including: IDPH State Epidemiological Workgroup, Governor’s Office of Drug Control Policy, Department of Commerce (Alcohol

Beverage's Division- Iowa ABD), IDPH Division of Tobacco Use Prevention and Control, ISTEP Program (Iowa Students for Tobacco Education and Prevention), IStep Executive Council, IDPH Tobacco Quitline (National Jewish Health), IDPH TUPC led Tobacco Commission, IDPH TUPC Community Partnerships, Iowa State University for data analysis, Attorney General Office, County Clerks, the IDPH SABG treatment and prevention contractors and others.

The IDPH Division of Behavioral Health: Is the Single State Agency for Substance Use Disorders and responsible for SABG and Synar regulation implementation, conveyance, monitoring, and reporting. The Iowa Provider Network Contractors, receive SABG funding to support primary prevention, treatment, and recovery support services in all 99 counties. The contracts cover primary prevention and treatment collaboration, focuses on evidence based practices, collaborates and coordinates with community partners, including through the IDPH TUPC Division. Training has been jointly developed and implemented between the two divisions to provide policy and resource sharing to SUD/TUPC organizations.

Public Comment and posting: Synar Reports are posted publically for comment, and comments are sought from the Iowa Board of Health (policy body for substance abuse services) and data is posted with ASR on public website.

State Epidemiological Workgroup and ISU- The data analyst for Synar is a member of the IDPH State Epidemiological Workgroup and Synar data will be reviewed through this membership. In addition, Iowa ABD reports compliance results at the Tobacco Commission meetings held quarterly throughout year.

The IDPH Division of Tobacco Use Prevention and Control (TUPC) is the administrative lead for tobacco education and prevention and follows the Centers for Disease Control (CDC) goals to: prevent the initiation of tobacco use among youth and young adults, promote quitting among adults and youth, eliminating exposure to secondhand smoke, and identify and eliminate tobacco-related disparities among population groups.

The Tobacco Use Prevention & Control Commission: provides direction, and performs duties related to tobacco use prevention and control activities. The membership of the commission shall include the following voting members: Members, one of whom is a member of a racial minority, to be appointed by the governor, subject to confirmation by the senate pursuant to sections 2.32 and 69.19, and consisting of the following: 1) Three members who are active with nonprofit health organizations that emphasize tobacco use prevention or who are active as health services providers, at the local level. 2) Three members who are active with health promotion activities at the local level in youth education, nonprofit services, or other activities relating to tobacco use prevention and control. b. Three voting members, to be selected by the participants in the annual statewide youth summit of the initiative's youth program, who shall not be subject to section 69.16 or 69.16A. The selection process shall provide for diversity among the members and at least: one of the youth members shall be a female. 3) The commission shall also include the following ex officio, nonvoting members: a. four members of the general assembly, with not more than one member from each chamber being from the same political party. The majority leader of the senate and the minority leader of the senate shall each appoint one of the senate

members. The majority leader of the House of Representatives and the minority leader of the House of Representatives shall each appoint one of the house members. b. The presiding officer of the statewide youth executive body, selected by the delegates to the statewide youth summit. 4) In addition to the members of the commission, the following agencies, organizations, and persons shall each assign a single liaison to the commission to provide assistance to the commission in the discharge of the commission's duties: a. the department of education. b. The drug policy coordinator

Iowa Smoke Free Air Act: In 2008, Iowa lawmakers passed legislation to protect Iowans from Secondhand Smoke. The Smokefree Air Act prohibits smoking in almost all public places, enclosed areas within places of employment and some outdoor areas. The law applies to restaurants, bars, outdoor entertainment events and amphitheaters. It covers places of employment such as office building, health care facilities, and child care facilities. Smoking is allowed on the gaming floor of licensed casinos and designated hotel and motel rooms. Approximately 2000 tobacco retailers dropped their tobacco permit following passage of the Smoke Free Air Act. For more information of the Smokefree Air Act please visit: <https://smokefreeair.iowa.gov/>

The Iowa Comprehensive Tobacco Control Strategic Plan lays out an ambitious path to address tobacco use. Tobacco use is the leading preventable cause of death for Iowans, taking the lives of more than 5,100 adults each year. Estimated annual health care costs in Iowa directly caused by smoking total \$1.285 billion. The Strategic Plan delivers to health care providers, policymakers, the public health community and other stakeholders a set of four initiative's consistent with the priorities established by the Centers for Disease Control (CDC) and nine bold steps in working towards the goals.

ISTEP Program: The Tobacco division is the administrative lead for the youth-led program Iowa Students for Tobacco Education and Prevention (ISTEP). Since 2000, Iowa teens have had an active role in changing the general social attitude toward tobacco use including the annual Youth Summit. The first youth summit was held in July 2000 with just over 130 students present. Now more than a decade later, the youth tobacco prevention program has grown. During the last few years, ISTEP has grown to have 2,200+ registered members in local chapters statewide. ISTEP is the only tobacco prevention organization with a youth-led structure that is changing the tobacco world in Iowa. ISTEP members explore the use of social media to present tobacco prevention messages to youth statewide. In addition to social media messages, ISTEP partners with other departments and groups to hold youth conferences and summits. The division offers technical assistance to ISTEP and community partnerships through materials, media expertise, and training to sponsors and youth.

ISTEP also has an Executive Council which is youth-led and adult supervised by the Iowa Department of Public Health staff. The ISTEP Executive Council consists of students from Iowa who are in the 8-12 grade, and these students serve as local and state leaders for the ISTEP program. Anyone who is in the 8-12 grade can sign up to be a member of the Executive Council. For additional information regarding ISTEP, see <http://www.idph.iowa.gov/tupc/prevention>

Community Partnerships, IDPH, TUPC Division, provides grants to local public health agencies, nonprofit & substance use agencies to help reduce the burden of tobacco within their own communities, prevent the initiation of tobacco use and promote cessation among young people and adults, eliminate non-smokers exposure to secondhand smoke, and identify and eliminate the disparities related to tobacco use and its effects among different population groups. Grantees work toward tobacco-free environments like smoke-free multi-unit housing, as well as reducing youth access to tobacco. The division of TUPC funds 35 community partnerships serving all 99 counties. Many partnerships choose to work toward tobacco and nicotine free schools. Other strategies include developing voluntary policies for tobacco free fairs, parks, and community events; encouraging smoke-free housing and increasing referrals to Iowa Quitline.

In FY19, all 35 Community Partnership Tobacco Control programs addressed minimum requirements in their respective tobacco control goals and objectives including: 1) Tobacco Free and Nicotine Free policy change programming, 2) Tobacco Free/Nicotine Free wellness worksite, community events, or smoke free housing policies, 3) Promotion of system change related to promoting quitting among young people and adults, and 4) Coalition development to implement initiatives to mobilize communities and to integrate tobacco control strategies into collaborative community activities. For more specific information see: <http://www.idph.iowa.gov/tupc/control>

National Jewish Health to support Tobacco Cessation Programming/Iowa Quitline: Iowa launched with National Jewish Health in 2016 to support a statewide, telephone and web-based Quitline that will assist tobacco users in quitting. Quitline Iowa coaching is available free of charge to Iowans. Nicotine replacement therapy is offered to qualifying participants and products are shipped directly to the participant's home. Coaching is a requirement of enrollment in the program. In Iowa, all participants are medically screened and some medical conditions require a medical consent. Program participants may receive 8 weeks of Nicotine Replacement Therapy (NRT) for uninsured populations and Medicare; and for Medicaid, some participants are directed to their managed care organization.

Currently Quitline services are available in English and Spanish; and over 200+ other languages are available per interpreter services. Text messaging and the email program are available at no cost. Quitline Iowa provides information to tobacco users and non-tobacco users on tobacco dependence and treatment.

Information from coaching may include advice to tobacco users, family members and friends, or health care providers on helping a tobacco user quit and providing appropriate support through the attempt to quit. For Iowans who are ready to quit, Quitline Iowa will assist the participant in developing a personalized quit plan; provide comprehensive, proactive, behavioral counseling; and information about available coverage for tobacco dependence treatment. Quitline Iowa provides a text messaging service to callers that request it. This service will provide text messages sent during the course of a caller's enrollment in ongoing counseling to the caller's mobile phone. These texts include motivational quit messages, relapse prevention messages, re-engagement messages, anniversary messages, and reminders of upcoming sessions with a Quitline counselor.

Participants can also enroll by calling 1-800-QUIT-NOW or by referral by a health care provider. Quitline is open 24 hours per day, 7 days per week and only closed select days.

Recent stats involving Iowa Quitline demonstrates that National Jewish Health processes approximately 5,000 provider referrals each month and Iowa averages 395 total referrals to the Quitline each month. For more information on Quitline Iowa, visit <https://idph.iowa.gov/tupc/quitting-tobacco>

Vaping, E-Cigarettes & Electronic Smoking Devices: Several states, including Iowa, have recently reported cases of severe respiratory illness and multi-state outbreaks of lung injury associated with e-cigarette product use, or vaping among teenagers and young adults with a history of vaping. THC has been commonly associated with these illness. This emerging health issue is still under investigation; however the IDPH is taking several measures to monitor and educate the public on vaping related illnesses.

The IDPH Medical Director, in collaboration with the TUPC Division, are leading these efforts in Iowa. Health providers are directed to report severe respiratory illness in patients with a history of vaping or e-cigarette use to the IDPH. Additionally, the IDPH Medical Director is issuing media releases, making recommendations to the public, and Iowa began posting weekly cases on the IDPH public website. In Iowa, as of 12/3/19, there have been 49 reported cases of confirmed & probable cases and no deaths. Of the 49 cases, ages range from 17-60, 39 have reported vaping illicit THC. All Iowa cases have recovered. For an overview, information for parents, factsheets, health effects of using E-Cigarettes, and more information on how IDPH is monitoring and responding to this emerging issue, please visit: <https://idph.iowa.gov/ehi/lung-disease-vaping>

To further provide tobacco cessation to teens, the IDPH now offers a special program for teens who want to quit using tobacco, including e-cigarettes. The new line is called My Life, My Quit and includes educational materials designed for teens and created through focus groups with teens. Teens can text or call a toll-free number dedicated for teens or visit the website to receive real-time coaching. For further information visit: <https://mylifemyquit.com>

The Iowa ABD coordinates with the IDPH, Division of Behavioral Health, for the Synar sampling and analysis, the Iowa Department of Revenue and Finance for regulating tobacco tax, and the Attorney General's Office for additional assistance in citing, fining, suspending and/or revoking tobacco permits when needed.

Iowa ABD was granted authority to administer and oversee enforcement of Iowa's tobacco, alternative nicotine and vapor product laws and education of Iowa's retailers that sell these products through the I-PLEDGE Retailer Training and Enforcement Program in the spring of 2000.

The I-PLEDGE program is a partnership with the Iowa ABD and law enforcement to educate retailers and to enforce Iowa's tobacco laws. The goal of Iowa ABD is to achieve a zero sales rate of tobacco, alternative nicotine and vapor products to minors. The overall goal of the I-Pledge program is to increase voluntary compliance with the state's tobacco, alternative nicotine and vapor product laws through education and enforcement.

The I-PLEDGE program has helped increase statewide tobacco compliance to a rate of 91% since it began in 2000. Iowa ABD maintains a website for tobacco information at <http://iowaabd.com>. All retail tobacco permit holders are checked at least once annually and these include the Synar checks.

The I-Pledge system participants have taken a pledge to keep tobacco out of the hands of youth. The system's partnership asks kids, tobacco retailers, and law enforcement agencies to pledge not to use tobacco products, sell tobacco products, sell to kids, or use alternative nicotine and vapor products, and to enforce Iowa's tobacco laws. The I-Pledge partnership involves city police departments, county sheriff offices, and the State Patrol as partners in joining a statewide network to conduct compliance checks. Iowa ABD has the primary responsibility for law enforcement and merchant education.

Each year, Iowa ABD, publishes a tobacco enforcement handbook to educate law enforcement partners on changes in the law or division policy. The handbook contains compliance check procedures, youth consent forms for youth inspectors, information on the tobacco enforcement web site and how to access it, compliance check forms, and an officer checklist.

The I-Pledge retailer training is extensive and covers Iowa's tobacco, alternative nicotine and vapor product laws, valid forms of identification and how to spot altered and fake ID's. Participants learn techniques on how to refuse the sale of tobacco, alternative nicotine and vapor products with minimal confrontation. Iowa Pledge Retailer training programs offer certification for all tobacco retailers in the state, free of charge and available on-line at Iowa. ABD. This certification program focuses on alerting and educating Iowa's tobacco retailers so they stay aware and informed of changes in laws in order to work with their employees to ensure legal compliance. The overall goal of this program is voluntary compliance with the state's tobacco laws through education and enforcement and responsible sales techniques. For more information on the I-Pledge program see:

<https://abd.iowa.gov/tobacco>

Iowa Code, Chapter 453A requires that any person offering cigarettes, tobacco products, vapor products or alternative nicotine products for sale to the consumer hold a valid tobacco permit and states that a person has to be 18 years old to purchase or attempt to purchase any tobacco, tobacco products, alternative nicotine products, or vapor products or cigarettes. Cessation products are not classified as alternative nicotine products according to the AG's office. Vapor products are NOT classified as tobacco products. Therefore, they are not regulated by the Iowa Smoke Free Air Act nor are they subject to cigarette or tobacco excise taxes. The license is just like the tobacco license a retailer has to sell cigarettes and other tobacco products. Vending machines are still not allowed in an establishment where minors are allowed. Iowa ABD, added a Frequently Asked Questions page on Tobacco, Alternative Nicotine/Vapor Permit products which

can be found at: <https://abd.iowa.gov/tobacco/tobacco-alternative-nicotine-and-vapor-permit-frequently-asked-questions>.

Surveillance: The Burden of Tobacco in Iowa 2018 Report defines the following data:

Youth Tobacco Use in Iowa

- 14.7 percent of 11th grade students use tobacco (18.1% in 2014)
- 17.3 percent of male 11th grade students use tobacco (21.6% in 2014)
- 12.0 percent of female 11th grade students use tobacco (14.5% in 2014)
- 9.1 percent of 11th grade students use e-cigarettes (10.9% in 2014)
- 7.1 percent of 11th grade students use cigarettes (10.0% in 2014)

Adult Tobacco Use in Iowa

- 25.7 percent of Iowa adults use tobacco (33.0% of males, 18.3% of females in Iowa) (604,000 adults in Iowa)
- 17.1 percent of Iowa adults use cigarettes (national median rate 17.1% in 2017) (Iowa rate in 2016, 16.7%)
- 5.4 percent of Iowa adults use smokeless tobacco (national median rate, 4.0% in 2017; Iowa rate in 2016, 4.5%)
- 4.0 percent of Iowa adults use e-cigarettes (national median rate, 4.6% in 2017)
- 10.6 percent of 18-24 year olds in Iowa use e-cigarettes, the highest age-specific rate among adults. They are followed by 25-34 year olds with an e-cigarette use rate of 5.6 percent
- 141.7 million packs of cigarettes are sold in Iowa each year.

Iowa Deaths from Smoking

- 5,100 adults die each year from their own smoking
 - 55,000 children and youth under age 18 will die prematurely from smoking.
- Iowa Smoking-related Economic Costs

- \$1.285 billion – annual health care costs directly caused by smoking
- Smoking-related illness in the United States costs more than \$300 billion each year

Tobacco Industry Marketing Expenditures in U.S. and Iowa

- \$9.5 billion – estimated annual tobacco industry marketing expenditures nationally
- The industry spends an estimated \$92 million annually in Iowa.

SYNAR SURVEY METHODS AND RESULTS

The following questions pertain to the survey methodology and results of the Synar survey used by the state to meet the requirements of the Synar Regulation in FFY 2019 (*see 42 U.S.C. 300x-26 and 45 C.F.R. 96.130*).

6. Has the sampling methodology changed from the previous year?

Yes No

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

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

7. Please answer the following questions regarding the state's annual random, unannounced inspections of tobacco outlets (*see 45 C.F.R. 96.130(d)(2)*).

a. Did the state use the optional Synar Survey Estimation System (SSES) to analyze the Synar survey data?

Yes No

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

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

Unweighted RVR _____

Weighted RVR _____

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

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

RVR Estimate + (1.645 × _____) =
plus (1.645 times Standard Error) equals Right Limit

Accuracy rate _____

Completion rate _____

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

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

Form 2 (Optional) (See Appendix A: Forms 1–5 Templates) *(Attach completed Form 2.)*

Other *(Please specify. Provide formulas and calculations or attach and explain the program code and output with description of all variable names.)*

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

Yes No No stratification

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

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

Yes No

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

If No, go to Question 7g.

Were any certainty primary sampling units selected this year?

Yes No

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

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

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

h. **Fill out Form 4 (See Appendix A: Forms 1–5 Templates).**

8. Did the state's Synar survey use a list frame?

Yes No

If Yes, answer the following questions about its coverage.

a. The calendar year of the latest Sampling frame coverage study: N/A

b. Percent coverage from the latest Sampling frame coverage study: Iowa has a coverage study waiver approved by SAMHSA CSAP

c. Was a new study conducted in this reporting period?

Yes No

If Yes, please complete Appendix D (List Sampling Frame Coverage Study) and submit it with the Annual Synar Report.

d. The calendar year of the next coverage study planned: N/A

9. Has the Synar survey inspection protocol changed from the previous year?

Yes No

The state is required to have an approved up-to-date description of the Synar inspection protocol on file with CSAP. Please submit a copy of your Synar Survey Inspection Protocol (Appendix C). If the inspection protocol changed from the previous year, these changes must be reflected in the protocol submitted.

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

b. **Provide the inspection period: From _____ to _____**
MM/DD/YY MM/DD/YY

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

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

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

SECTION II: FFY 2020 (Intended Use):

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

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

Synar sampling methodology Yes No

Synar inspection protocol Yes No

As a result of requested TA, IDPH Michele Tilotta and ISU Mack Shelley, had call with John O'Donnell, CSAP and other associated TA staff. IDPH sent an updated Appendix B to CSAP and Iowa's (IDPH) request to change the sampling methodology using the SSES calculator in FY2020 was approved by CSAP in September/18. There is no anticipated changes for the 2021 FY.

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

2. Please describe the state's plans to maintain and/or reduce the target rate for Synar inspections to be completed in FFY 2020. Include a brief description of plans for law enforcement efforts to enforce youth tobacco access laws, activities that support law enforcement efforts to enforce youth tobacco access laws, and any anticipated changes in youth tobacco access legislation or regulation in the state.

The IDPH Division of Behavioral Health serves as the Single State Agency. The division shares the responsibility with Iowa ABD to do Synar compliance checks and coordinates tobacco prevention between the substance abuse prevention programs and the IDPH Division of Tobacco Use Prevention and Control. The director of the division serves on the IDPH Executive Team with the director of the Division of Tobacco Use Prevention and Control. The integrated roles have allowed for consistency in scope and practice for collaboration on tobacco issues.

The IDPH Division of Tobacco Use Prevention and Control (TUPC) serves as the Tobacco Health Office and is responsible for tobacco prevention and tobacco cessation programs. It is funded through general funds and the CDC dollars. Iowa continues to maintain the state's plan to reduce the target rate with the following activities: 1) ABD has a MOU with IDPH to conduct tobacco enforcement and retailer education, 2) Iowa ABD obtains and maintains lists of tobacco retailer permits, 3) contracts with law enforcement to do annual, random, unannounced compliance checks on all retail tobacco permit holders. Law enforcement agents have the list of permits, 4) To prevent a potential problem of handling the Synar-sampled permit holders differently, law enforcement agencies and officers do not have access to the Synar sample, 5) Compliance checks are done uniformly for all permit holders and the compliance results are recorded on-line for all checks, 6) Iowa ABD, ISU (statistical analyst), and the IDPH Synar Coordinator are the only entities with access to the sample list, 7) contracting with local law enforcement agencies to conduct youth tobacco enforcement at various community events, 8) maintain strong partnerships with police departments, sheriff's

offices, the state patrol, the Attorney General's office and local prosecutors. In addition, Iowa ABD continues to use the Iowa Pledge program to provide training and quizzes to retail managers, clerks training guides on tobacco sales. Each stakeholder is asked and encouraged to take the Iowa Pledge, which asks Iowa's kids to Pledge not to use tobacco products, Iowa's retailers to Pledge not to sell tobacco products to kids, and Iowa's law enforcement to Pledge to enforce Iowa's tobacco laws. Iowa ABD continues to revise and use materials in training employees in convenience stores. These include point of sale aids to assist clerks in evaluating drivers' licenses and correctly calculate a patron's age to determine if the patron is old enough to legally purchase tobacco products. Website bulletins, billboards, and newspaper ads are utilized. Local law enforcement agencies are trained to conduct the training for their retailers. Classes are scheduled on-line. Clerks visit the webpage, select a class and register on-line. The Comp Prevention contractors also have received increased requests for education on E-Cigs/Vapor Products and IDPH contracted Comprehensive Prevention Agencies have made presentations at schools. Tobacco is a focus within the new Request for Proposal for IDPH's new provider network which is effective January/2019. The IDPH Prevention Team will work with newly selected Comprehensive Prevention providers to establish strategies regarding tobacco throughout next year.

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

- a. Limited resources for law enforcement of youth access laws

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

- c. Limitations in the state youth tobacco access laws

- d. Limited public support for enforcement of youth tobacco access laws

- e. Limitations on completeness/accuracy of list of tobacco outlets

- f. Limited expertise in survey methodology

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

- h. Difficulties recruiting youth inspectors

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

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

- k. Geographic, demographic, and logistical considerations in conducting inspections

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

- m. Issues regarding sources of tobacco under tribal jurisdiction

- n. Other challenges (*Please list.*)_Ability to replicate youth inspectors between IDPH/Iowa and SAMHSA has been a past challenge. TA was conducted by CSAP last FFY. SAMHSA unable to determine rationale. IDPH is using the SSES calculator beginning this year, as approved by CSAP in September 2018. IDPH anticipates these challenges will resolve and will no longer be an issue.

APPENDIX A: FORMS 1–5 TEMPLATES

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

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

Instructions for Completing Form 1: In the top right-hand corner of the **Excel** form, provide the state name and reporting federal fiscal year (FFY 2020). Provide the remaining information by stratum if stratification was used. Make copies of the form if additional rows are needed to list all the strata.

Column 1: *If stratification was used:*

1(a) Sequentially number each row.

1(b) Write in the name of each stratum. All strata in the state must be listed.

If no stratification was used:

1(a) Leave blank.

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

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

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

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

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

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

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

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

FORM 2 (Optional)

Appropriate for stratified simple or systematic random sampling designs.

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

Instructions for Completing Form 2: In the top right-hand corner of the **Excel** form, provide the state name and reporting federal fiscal year (FFY 2020).

- Column 1: Write in the name of each stratum into which the sample was divided. These should match the strata reported in Column 1(b) of Form 1.
- Column 2: Report the number of outlets in the sampling frame in each stratum. These numbers should match the numbers reported for the respective strata in Column 2(c) of Form 1.
- Column 3: Report the original sample size (the number of outlets originally selected, *including* substitutes or replacements) for each stratum.
- Column 4: Report the number of sample outlets in each stratum that were found to be eligible during the inspections. Note that this number must be less than or equal to the number reported in Column 3 for the respective strata.
- Column 5: Report the number of eligible outlets in each stratum for which an inspection was completed. Note that this number must be less than or equal to the number reported in Column 4. These numbers should match the numbers reported in Column 4(c) of Form 1 for the respective strata.
- Column 6: Report the number of eligible outlets inspected in each stratum that were found in violation. These numbers should match the numbers reported in Column 5(c) of Form 1 for the stratum.
- Column 7: Form 2 (in Excel form) will automatically calculate the stratum RVR for each stratum in this column. This is calculated by dividing the number of inspected eligible outlets found in violation (Column 6) by the number of inspected eligible outlets (Column 5). The state unweighted RVR will be shown in the Total row of Column 7.
- Column 8: Form 2 (in Excel form) will automatically calculate the estimated number of eligible outlets in the population for each stratum. This calculation is made by multiplying the number of outlets in the sampling frame (Column 2) times the number of eligible outlets (Column 4) divided by the original sample size (Column 3). Note that these numbers will be less than or equal to the numbers in Column 2.
- Column 9: Form 2 (in Excel form) will automatically calculate the relative stratum weight by dividing the estimated number of eligible outlets in the population for each stratum in Column 8 by the Total of the values in Column 8.
- Column 10: Form 2 (in Excel form) will automatically calculate each stratum's contribution to the state weighted RVR by multiplying the stratum RVR (Column 7) by the relative stratum weight (Column 9). The weighted RVR for the state will be shown in the Total row of Column 10.
- Column 11: Form 2 (in Excel form) automatically calculates the standard error of each stratum's RVR (Column 7). The standard error for the state weighted RVR will be shown in the Total row of Column 11.
- TOTAL:** For Columns 2–6, Form 2 (in Excel form) provides totals for the state as a whole in the last row of the table. For Columns 7–11, it calculates the respective statistic for the state as a whole.

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

Calculation of Weighted Retailer Violation Rate										
										State: _____
										FFY: 2020
(1) Stratum Name	(2) N Number of Outlets in Sampling Frame	(3) n Original Sample Size	(4) n1 Number of Sample Outlets Found Eligible	(5) n2 Number of Outlets Inspected	(6) x Number of Outlets Found in Violation	(7) p=x/n2 Stratum Retailer Violation Rate	(8) N'=N(n1/n) Estimated Number of Eligible Outlets in Population	(9) w=N'/Total Column 8 Relative Stratum Weight	(10) pw Stratum Contribution to State Weighted RVR	(11) s.e. Standard Error of Stratum RVR
Total										

- N - number of outlets in sampling frame
- n - original sample size (number of outlets in the original sample)
- n1 - number of sample outlets that were found to be eligible
- n2 - number of eligible outlets that were inspected
- x - number of inspected outlets that were found in violation
- p - stratum retailer violation rate (p=x/n2)
- N' - estimated number of eligible outlets in population (N'=N*n1/n)
- w - relative stratum weight (w=N'/Total Column 8)
- pw - stratum contribution to the weighted RVR
- s.e. - standard error of the stratum RVR

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

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

Instructions for Completing Form 3: In the top right-hand corner of the **Excel** form, provide the state name and reporting federal fiscal year (FFY 2020).

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

Column 1: Sequentially number each row.

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

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

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

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

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

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

Summary of Clusters Created and Sampled				
State: _____				
FFY: 2020 _____				
(1) Row #	(2) Stratum Name	(3) Number of PSUs Created	(4) Number of PSUs Selected	(5) Number of PSUs in the Final Sample
Total				

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

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

Instructions for Completing Form 4: In the top right-hand corner of the **Excel** form, provide the state name and reporting federal fiscal year (FFY 2020).

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

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

Inspection Tallies by Reason of Ineligibility or Noncompletion			
		State: _____	
		FFY: 2020 _____	
(1) INELIGIBLE		(2) ELIGIBLE	
Reason for Ineligibility	(a) Counts	Reason for Noncompletion	(a) Counts
Out of business		In operation but closed at time of visit	
Does not sell tobacco products		Unsafe to access	
Inaccessible by youth		Presence of police	
Private club or private residence		Youth inspector knows salesperson	
Temporary closure		Moved to new location	
Unlocatable		Drive-thru only/youth inspector has no driver's license	
Wholesale only/Carton sale only		Tobacco out of stock	
Vending machine broken		Ran out of time	
Duplicate		Other noncompletion reason(s) (<i>Describe.</i>)	
Other ineligibility reason(s) (<i>Describe.</i>)			
Total		Total	

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

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

Instructions for Completing Form 5: In the top right-hand corner of the Excel form, provide the state name and reporting federal fiscal year (FFY 2020).

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

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

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

Synar Survey Inspector Characteristics		
		State: _____
		FFY: 2020 _____
	(1) Attempted Buys	(2) Successful Buys
Male		
15 years		
16 years		
17 years		
18 years		
19 years		
20 years		
Male Subtotal		
Female		
15 years		
16 years		
17 years		
18 years		
19 years		
20 years		
Female Subtotal		
Other		
Total		

APPENDIXES B & C: FORMS

Instructions

Appendix B (Sampling Design) and Appendix C (Inspection Protocol) are to reflect the state's CSAP-approved sampling design and inspection protocol. These appendixes, therefore, should generally describe the design and protocol and, with the exception of Question #10 of Appendix B, are not to be modified with year-specific information. Please note that any changes to either appendix must receive CSAP's advance, written approval. To facilitate the state's completion of this section, simply cut and paste the previously approved sampling design (Appendix B) and inspection protocol (Appendix C) and respond to Question #10 of Appendix B to provide the requested information about sample size calculations for the Synar survey conducted in FFY 2019.

APPENDIX B: SYNAR SURVEY SAMPLING METHODOLOGY

State: Iowa
 FFY: 2020

1. What type of sampling frame is used?

- List frame (*Go to Question 2.*)
- Area frame (*Go to Question 3.*)
- List-assisted area frame (*Go to Question 2.*)

2. List all sources of the list frame. Indicate the type of source from the list below. Provide a brief description of the frame source. Explain how the lists are updated (method), including how new outlets are identified and added to the frame. In addition, explain how often the lists are updated (cycle). (After completing this question, go to Question 4.)

Use the corresponding number to indicate Type of Source in the table below.

- 1 – Statewide commercial business list
- 4 – Statewide retail license/permit list
- 2 – Local commercial business list
- 5 – Statewide liquor license/permit list
- 3 – Statewide tobacco license/permit list
- 6 – Other

Name of Frame Source	Type of Source	Description	Updating Method and Cycle
Iowa Department of Public Health, Division of Tobacco Use Prevention and Control: list of tobacco retail permits	3	Iowa requires retailers of tobacco products to have an annual (fiscal year, July to June) tobacco retail permit. Cities and counties are mandated to submit copies of issued permits to the Division of Tobacco Use Prevention and Control. Vending machines, membership clubs, and “adults only” retailers are removed from the sampling frame, but these retailers are checked annually and reported separately. In the case of a retail outlet that has both a vending machine and over-the-counter sales, the outlet remains on the frame and has the potential of being sampled.	Updated on an annual basis. To insure that the addresses of tobacco outlets on the sampling frame are accurate, compliance officers provide information on new businesses and businesses not in operation. Local law enforcement agencies conduct inspections throughout the year and provide information on changes in retail permits

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

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

- Yes No

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

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

Yes **No**

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

- State law bans vending machines.
- State law bans vending machines from locations accessible to youth.
- State has a contract with the FDA and is actively enforcing the vending machine requirements of the Family Smoking Prevention and Tobacco Control Act.
- Other (Please describe.) _____

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

- Vending machines are sampled separately to ensure vending machines are included in the sample
- Vending machines are sampled together with over the counter outlets, so it is possible that no vending machines were sampled, however they are included in the sampling frame and have a non-zero probability of selection
- Other reasons (Please describe.) _____

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

Census (STOP HERE: Appendix B is complete.)

Unstratified statewide sample:

- Simple random sample (Go to Question 9.)
- Systematic random sample (Go to Question 6.)
- Single-stage cluster sample (Go to Question 8.)
- Multistage cluster sample (Go to Question 8.)

Stratified sample:

- Simple random sample (Go to Question 7.)
- Systematic random sample (Go to Question 6.)
- Single-stage cluster sample (Go to Question 7.)
- Multistage cluster sample (Go to Question 7.)

Other (Please describe and go to Question 9.) Iowa State law bans vending machines in locations accessible to youth. However, Iowa's tobacco permit list does not indicate whether the product is sold over the counter or through a vending machine. Therefore, if an outlet chosen for the Synar sample happens to be a vending machine outlet, it is inspected in order to determine compliance with state law. Because Iowa chooses its Syar sample using simple random sampling, a small number of VS's are included in the Synar sample. As a result, CSAP advised the State to remove the VM permit holders from the sampling frame prior to sampling, creating two separate lists (one list of OTC tobacco permit holders and one list of VM tobacco permit holders). In the case of a retail that has both a VM and OTC sales, the outlet remains on the frame and has the

potential of being sampled. Future frames and samples will be checked for validity of the VM outlet being included in the sample. The Iowa Attorney General's office has interpreted the State ban on tobacco sales that are not face-to-face transactions to apply to tobacco. VM's, as a result, are required to be within the line of sight of an employee of the establishment where the VM is located. The interpretation states that it is unlawful to place VM's anywhere minors (including employees) can access. The strict restrictions on VM placement have driven many vending machines out of the market.

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

- 7. Provide the following information about stratification.**

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

- b. Is clustering used within the stratified sample?**

Yes (Go to Question 8.)

No (Go to Question 9.)

- 8. Provide the following information about clustering.**

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

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

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

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

Yes (Respond to part b.)

No (Respond to part c and Question 10c.)

- b. SSES Sample Size Calculator used?**

State Level (Respond to Question 10a.)

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

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

Effective Sample Size (with finite population correction), using formula (S 3.4)

12/15/19

[These calculations are predicated on 3,445 eligible tobacco outlets, 8.0% previous year's noncompliance rate (Retailer Violation Rate, $p=.080$), $d=1.0$ design effect from last year, 98.4% eligibility (or accuracy) rate from last year [i.e., $r_l=.984$], and 99.9% completion rate from last year [i.e., $r_c=0.999$].

$$\begin{aligned}n_e &= \frac{1}{\frac{(0.0182)^2}{p(1-p)} + \frac{1}{N}} \\&= \frac{1}{\frac{.00033124}{(.080)(.920)} + \frac{1}{3,445}} \\&= \frac{1}{\frac{.00033124}{.07728} + .00029028} \\&= \frac{1}{.00429067 + .00029028} \\&= \frac{1}{.00458095} \\&= 218.30 \text{ (rounded up to 219)}\end{aligned}$$

Target Sample Size (“design effect-adjusted sample size”), using formula (S 3.6)

$$n_d = (d)(n_e) = (1.0)(219) = 219$$

Original Sample Size

Step 1: “eligibility [also “accuracy”] rate-adjusted sample size,” using formula (S 3.7)

$$\begin{aligned}n_l &= n_d/r_l \\ &= 219/.984 = 222.56 \text{ (rounded up to 223)}\end{aligned}$$

Step 2, using formula (S 3.9)

$$\begin{aligned}n_o &= (d/r/r_c)n_e \\ &= (1.0/ (.984)(1.000))(219) \\ &= (1.0/.984)(219) \\ &= (1.01626016)(219) \\ &= 222.56 \text{ (rounded up to 223)}\end{aligned}$$

Then, adjusting for the 231% $((739-223)/223=516/223=2.31)$ further inflation in the original sample size, using the 739 observations available in the dataset) yields:

$$\begin{aligned}n_o &= 223(1+2.31) \\ &= 223(3.31) \\ &= 738.1 \text{ (rounded up to 739)}\end{aligned}$$

10. Provide the following information about sample size calculations for the Synar survey conducted in FFY 2019.

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

Inputs for Effective Sample Size:

RVR: 8%
Frame Size: 3,445

Input for Target Sample Size:

Design Effect: 1.0%

Inputs for Original Sample Size:

Safety Margin: 231%
Accuracy (Eligibility) Rate: 98.4%
Completion Rate: 99.9%

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

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

APPENDIX C: SYNAR SURVEY INSPECTION PROTOCOL SUMMARY

State: Iowa
FFY: 2020

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

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

a. Consummated buy attempts?

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

b. Youth inspectors to carry ID?

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

c. Adult inspectors to enter the outlet?

- Required
- Permitted under specified circumstances (Describe): The officer will enter the outlet if the officer is not known at the outlet. If the officer is known, they would not want to enter due to exposing the undercover nature of the buy attempt.
- Not permitted

d. Youth inspectors to be compensated?

- Required
- Permitted under specified circumstances (Describe): Up to law enforcement to determine if to compensate)
- Not permitted

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

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

List the agency name(s): : Iowa ABD is authorized pursuant to Iowa Code Chapter 142A and a Memorandum of Understanding with the Iowa Department of Public health to provide enforcement for Iowa's tobacco laws. Local law enforcement cite permit holders, clerks who sell to minor and minors for possession of tobacco products through a 28E agreement and a partnership with Iowa ABD.

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

Always Usually Sometimes Rarely Never

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

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

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

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

c. The product the youth attempts to purchase is at the discretion of the law enforcement officer conducting the compliance checks. Tobacco, alternative nicotine and vapor products are all included in the program and may be purchased during the compliance checks.

5a. Describe the methods used to recruit, select, and train adult supervisors. Law enforcement officers, in partnership with Iowa ABD, conduct the Synar inspections. Iowa ABD supplies each law enforcement agency with a handbook detailing procedures. See handbooks in attachments.

5b. Describe the methods used to recruit, select, and train youth inspectors. Officials recruit youth using family members of law enforcement officers, personnel involved with tobacco prevention initiatives, local schools, and health organizations. It is encouraged that the law enforcement officers meet with the parents of the recruits to explain the program and youth involvement. Parental consent is required for youth participation. The youth are trained by the law enforcement officers on protocols, safety, and acceptable behavior. Iowa ABD supplies each law enforcement agency with a handbook detailing procedures. See attachments.

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

a. Legal

Yes No

(If Yes, please describe.)

Iowa Code 704.11. Police activity stipulates that a person acting as an agent of or directed by any police agency who participates in the commission of a crime for the purpose of gathering evidence leading to another's prosecution is not guilty of that crime. Therefore, youth participating in tobacco compliance checks are immune. A person under eighteen years of age shall not smoke, use, possess, purchase, or attempt to purchase any tobacco, tobacco products, or cigarettes. A person shall not be guilty of a violation of this section if conduct that would otherwise constitute a violation is performed to assess compliance with cigarette and tobacco products laws if any of the following applies: (1) The compliance effort is conducted by or under the supervision of law enforcement officers. (2) The compliance effort is conducted with the advance knowledge of law enforcement officers, and reasonable measures are adopted by those conducting the effort to ensure that use of cigarettes or tobacco products by individuals under eighteen years of age does not result from participation by any individual under eighteen years of age in the compliance effort.

b. Procedural

Yes No

(If Yes, please describe.)

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

a. Legal

Yes No

(If Yes, please describe.)

See 7.b

b. Procedural

Yes No

(If Yes, please describe.)

Inspections are to be made at a time when youth would ordinarily be present and only those places where youth are allowed entrance. This is for the safety of the youth as well as for the accuracy of the inspections. Officers prescreen establishments for safety and remain on site, preferably in the establishment if the officer is not known in the community. Adult venues are considered to be unsafe or inappropriate, with the exception of casinos, which are not inspected. Officers perform walk-throughs of these types of establishments.

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

a. Legal

Yes No

(If Yes, please describe.)

A briefing is held prior to conducting checks. The trooper in charge will verify the minor has proper, official identification showing date of birth. The trooper in charge will approve the minor's appearance and a photo shall be taken of the minor before each day of compliance checks. The minor's appearance will not be altered after this point. The minor should only have buy money provided by the District in their possession; no other money should be on their person. The minor is instructed to go directly to the targeted merchandise to attempt to make the purchase, speak only as necessary. At no time should the minor try to persuade the licensee clerk to complete the sale. If asked about age, the minor should present their ID to the licensee/clerk, if asked for an ID, the minor should present their ID to the licensee/clerk, if the licensee/clerk takes a minor's ID, the minor is instructed not to argue, leave the store and the trooper will obtain the minor's ID and congratulate the licensee for compliance. The trooper has the authority to terminate the operation at any time for safety reasons. At tobacco retailers, the trooper is stationed inside the store or at a point from which the trooper can observe the sale.

b. Procedural

Yes No

(If Yes, please describe.)

Law enforcement agents have the complete list of retail tobacco permit holders. To prevent a potential problem of handling the Synar-sampled permit holders differently, law enforcement agencies and officer do not have access to the Synar sample. The compliance checks are done uniformly for all permit holders and the compliance results recorded on-line for all checks. Iowa ABD, the statistical analyst, and IDPH Synar Report author are the only entities with access to the sample list.

Females and males 16, and 17 years old will attempt to purchase tobacco products, after being trained to do compliance checks. Their appearance should be such that people would assume their age might be under 18 and there would be sufficient reason to check their identification before selling tobacco products.

These youths are accompanied by a trained officer and make no effort to disguise their age and will wear clothing, hairstyles, and makeup similar to how they ordinarily dress. They will not have any tobacco products in their possession when they enter the store and will be instructed not to lie. If they are asked their age or birth date, they will give their actual date of birth or show their actual ID or driver's license.

The officer remains in a position to be able to see the clerk at all times. If the officer knows the clerk, the officer will wait outside the establishment, but within sight of the clerk in order to visually witness the sale or sale refusal. The only exception to this would be if there is no way to witness the sale unless the officer is inside the building. Law enforcement officers are authorized but not required to use audio visual equipment to enhance safety of the youth and also enhance evidence if there is a purchase.

In order to avoid introducing a gender bias, it is suggested that females and males alternate attempts to make a purchase. In most cases, due to the limited number of youth participating, the investigating officer will choose youth based on availability rather than the gender of the youth. Youth will attempt to purchase those brands popular with people their age and gender. Nothing but a tobacco product will be requested in order to establish the probability of an illegal sale most clearly. Nothing else will be done that might be interpreted as an attempt to deceive or entrap the clerk.

Youth are trained regarding appropriate behavior whenever a clerk refuses to sell. After each inspection visit, the officer fills out the report form with input from the youth. If there was a sale, the law enforcement officer will issue a citation.

The compliance check form is entered into a database which contains records the following retailer information: 1) Retailer Name, 2) Retailer Address, 3) Retail Tobacco Permit Number, and 4) Type of business

The following information regarding the actual compliance check is recorded on the compliance check form: 1) Retailer Name, 2) Retailer Address, 3) Date and time of inspection, 4) Age, gender, youth identification number, race or ethnicity of the youth inspector, 5) If youth inspector's identification was requested, 6) If youth

inspector's age was asked, 7) Gender of the clerk, 8) If the sale was completed, 9) Name, department and badge number of witnessing officer, 10) The attempted purchase item (cigarettes, smokeless tobacco, other tobacco product), 11) The form allows the officer to record if the business no longer sells tobacco products, is closed at the time of inspection, is out of business, or if there is an unsatisfactory condition (unsafe or inappropriate etc.).

The officer signs the hardcopy form and there is a comment section to record any additional information. The use of electronic forms ensures complete and consistent data entry. Incomplete forms are not accepted by the system, eliminating the problem of illegible or incomplete reports. Officers inputting data receive immediate confirmation that the reports were received. The system is available 24 hours per day, which meets the needs and demands of diverse collection of officers' work schedules. The database serves as the most accurate and reliable statewide list of tobacco retailers in Iowa. Since cities and counties issue tobacco permits locally, no reliable central repository for the information existed prior to the online collection system. Compensation of youth is left to the individual law enforcement departments. The Iowa ABD reimburses departments \$50 per compliance check. The Iowa State Patrol covers the areas where the local law enforcement does not want to conduct compliance checks. Iowa State Patrol submits reimbursement to Iowa ABD for actual costs incurred which includes; officer buyback at the going rate, youth wages of \$10/ hour (3 hours minimum), youth meals at \$15, youth mileage which is a \$10 flat fee and tobacco products at the going rate.

APPENDIX D: LIST SAMPLING FRAME COVERAGE STUDY

(LIST FRAME ONLY)

State: Iowa
FFY: 2020

1. Calendar year of the coverage study: _____

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

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

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

Yes No

If Yes, please explain.

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

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

Census (Go to Question 6.)

Unstratified statewide sample:

Simple random sample (Respond to Part b.)

Systematic random sample (Respond to Part b.)

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

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

Stratified sample:

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

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

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

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

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

b. Describe the sampling methods.

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

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

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

Yes No

6. Were all sampled areas visited by canvassing teams?

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

a. Was the subset of areas randomly chosen?

Yes No

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

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

Yes No

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

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

Yes No

If No, respond to Question 9.

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

9. If a full canvassing was not conducted:

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

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

c. Were these starting points randomly chosen?

Yes No

d. Describe the selection of the starting points.

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

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

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

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