

ANNUAL SYNAR REPORT

42 U.S.C. 300x-26

OMB № 0930-0222

FFY 2019

State: AK

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INTRODUCTION

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

How the Synar report helps the Center for Substance Abuse Prevention

In accordance with the tobacco regulations, states are required to provide detailed information on progress made in enforcing youth tobacco access laws (FFY 2018 Compliance Progress) and future plans to ensure compliance with the Synar requirements to reduce youth tobacco access rates (FFY 2019 Intended Use Plan). These data are required by 42 U.S.C. 300x-26 and will be used by the Secretary to evaluate state compliance with the statute. Part of the mission of the Center for Substance Abuse Prevention (CSAP) is to assist states¹ by supporting Synar activities and providing technical assistance helpful in determining the type of enforcement measures and control strategies that are most effective. This information is helpful to CSAP in improving technical assistance resources and expertise on enforcement efforts and tobacco control program support activities, including state Synar program support services, through an enhanced technical assistance program involving conferences and workshops, development of training materials and guidance documents, and onsite technical assistance consultation.

How the Synar report can help states

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

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

Getting assistance in completing the Synar report

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

Where and when to submit the Synar report

The ASR must be received by SAMHSA no later than December 31, 2018 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 2019 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 2019: 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 2019 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 2019 is up-to-date and approved by the Center for Substance Abuse Prevention.	
State: Alaska	
Name of Chief Executive Officer or Designee: Gennifer Moreau-Johnson	
Signature of CEO or Designee: 	
Title: Director, Division of Behavioral Health, AK Dept. of Health and Social Services	Date Signed: 6/7/2019
If signed by a designee, a copy of the designation must be attached.	

SECTION I: FFY 2018 (Compliance Progress)

YOUTH ACCESS LAWS, ACTIVITIES, AND ENFORCEMENT

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

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

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

Yes No

If Yes, current minimum age: 19 20 21

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

Yes No

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

Changed to require that law enforcement conduct inspections of tobacco outlets

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

Changed to require ID to purchase tobacco

Changed definition of tobacco products

Other change(s) *(Please describe.) SB15 has added electronic smoking products to the minor possession of tobacco violation statutes and increases civil penalties for tobacco endorsement violations.*

<http://www.legis.state.ak.us/PDF/30/Bills/SB0015Z.PDF>

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 2019 ASR was posted to this Web address.)*

Web address: <http://dhss.alaska.gov/dbh/Pages/Prevention/programs/tobacco/default.aspx>

Date published: [6/10/2019](#)

- 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.) Prior to submission of the draft ASR to SAMHSA, the same draft is placed on the state website identified above. Following SAMHSA approval of the ASR, the draft version on the website is replaced with the final ASR. Additionally, an announcement will be made in a news release. The final approved ASR is also distributed at Tobacco Control Alliance events.*
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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:**

Department of Law, Office of the Attorney General and Department of Health & Social Services, Division of Behavioral 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:**

Department of Health and Social Services, Division of Behavioral Health

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):**

Department of Health and Social Services, Division of Behavioral Health

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).**

Department of Health and Social Services, Division of Public Health

- 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)).**

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 2018 (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>	2	29	31
Number of <u>finest assessed</u>	9	25	34
Number of <u>permits/licenses suspended</u>	9		9
Number of <u>permits/licenses revoked</u>	0		0
Other (Please describe.)	0	0	0

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:

To minimize the risk of survey bias, the enforcement team splits into groups and conducts simultaneous inspections. Throughout the inspection period, team members maintain contact via cell phones. In the event that one team issues a citation, all other teams are immediately notified. Enforcement teams will conduct one or two more inspections and then terminate inspections for the day. During these post-citation inspections, enforcement teams want especially to observe whether store personnel are talking among themselves of the tobacco citations just issued that day. If store personnel are aware of such citations, then stores most likely are passing this information among themselves. In these cases, the enforcement team will choose to reschedule investigations for a future date.

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

Materials are available for all Alaska retailers related to the state's laws related to legal age for tobacco purchase/use, retailer responsibility to enforce youth access laws and suggestions to assist retailers in reducing violations of these laws. In recent years, the Alaska legislature has approved new funding to update, revise and reproduce new tobacco educational materials for retailers.

DBH staff are available upon request to provide retailer/clerk training and send materials to retailers upon request and periodically to all Alaska retailers.

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

- Community education regarding youth access laws

The Alaska Tobacco Control Alliance assist Behavioral Health in mobilizing community education, outreach, and support related to youth tobacco issues.

- Media use to publicize compliance inspection results

DBH uses the media to highlight compliance with the laws, the annual retail violation rates and issues related to health issues for youth who choose to use tobacco.

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

The Alaska Tobacco Control Alliance assist Behavioral Health in mobilizing community education, outreach, and support related to youth tobacco issues.

Other activities (*Please list.*) _____

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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 2018 (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.

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

plus (1.645 times Standard Error) equals Right Limit

Accuracy rate _____

Completion rate _____

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

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

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

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

- Yes No No stratification

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

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

- Yes No

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

If No, go to Question 7g.

Were any certainty primary sampling units selected this year?

- Yes No

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

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

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

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

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

Yes No

If Yes, answer the following questions about its coverage.

a. The calendar year of the latest Sampling frame coverage study: 2014

b. Percent coverage from the latest Sampling frame coverage study: 95.62%

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: Given Alaska's continued coverage rate of above 90%, we requested permission to conduct the coverage study at 5-year intervals instead of 3-year intervals. CSAP approved this request (see Jennifer Wagner email to Diane Casto dated January 27th, 2015); the next coverage study is planned for calendar year 2019. _____

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 06/01/2018 to 09/30/2018
MM/DD/YY MM/DD/YY

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

13

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

n/a

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 2019 (Intended Use):

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

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

- Synar sampling methodology Yes No
Synar inspection protocol Yes No

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

2. Please describe the state's plans to maintain and/or reduce the target rate for Synar inspections to be completed in FFY 2019. 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.

Alaska anticipates the following statewide tobacco enforcement activities for FFY19:

- Work with our partners in the Alaska Court System and the Alaska Department of Commerce, Community and Economic Development (DCCED), to process suspensions for vendors convicted of selling tobacco to youths in a timelier manner. Suspensions of tobacco endorsements block vendors from selling tobacco to the public for specified periods of time. Suspensions of tobacco endorsements have been slow due to high personnel turnover.
- Continue efforts to educate vendors and communities about laws related to the sale of tobacco products to underage youth.
- Updating new vendor education materials and exploring positive rewards for vendors that do not sell tobacco to youths during investigations (example: mailing thank-you letters to vendors or publishing in local papers the names of vendors who do not sell tobacco to youths). Additional funds have been provided by the Alaska legislature to update and revise our current vendor education materials.
- Statewide Vendor Certification program. Upon completion of an on-site visit by State Investigators, tobacco retailer meeting the specified criteria, receive a certification as a responsible tobacco retailer.
- Mail letters to all tobacco vendors at least once yearly to remind them of tobacco access laws and to inform them that investigators may visit their premises to conduct under-cover tobacco investigations;
- Work in closer partnership with DBH community grantees and Division of Public Health

Tobacco Prevention grantees to assist in educating the local community about the importance of retailer enforcement of tobacco access and sell laws.

- Alaska generally increases non-Synar compliance check inspections in communities and areas with high RVR rates in the prior year. For FFY18, this includes Anchorage and rural Alaska.

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

Limited resources for law enforcement of youth access laws

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

Limitations in the state youth tobacco access laws

Limited public support for enforcement of youth tobacco access laws

Limitations on completeness/accuracy of list of tobacco outlets

Limited expertise in survey methodology

Laws/regulations limiting the use of minors in tobacco inspections

Difficulties recruiting youth inspectors

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

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

- Geographic, demographic, and logistical considerations in conducting inspections

Alaska's transportation challenges continue to consume much of the time and funding for the enforcement program. Due to Alaska's size and lack of infrastructure, much of this cannot be helped; however, given these challenges, the enforcement teams plan inspections far in advance and combine travel with other activities within the community.

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

Cultural factors vary widely from town to town, not only relative to the population of Alaskan Natives but also relative to the population of Asian and Russian retailers in rural communities. To help address cultural challenges, the enforcement team engages in year round enforcement activities along with retailer education and a newly developed tobacco retailer certification program.

- Issues regarding sources of tobacco under tribal jurisdiction

- Other challenges (*Please list.*) [See narrative below.](#)

Seasonal activity and high turnover for store clerks in Alaska create an unusually chaotic retail environment. The tourist industry imports workers from other states and other countries where the legal age for tobacco is 18 (AK is 19) and high clerk turnover cannot be controlled. The enforcement team continually offers and provides training and education to retailers and, as previously mentioned, has implemented a newly developed tobacco retailer certification program to help minimize the impact of these issues.

APPENDIX A: FORMS 1–5

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

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

Instructions for Completing Form 1: In the top right-hand corner of the form, provide the state name and reporting federal fiscal year (FFY 2019). Provide the remaining information by stratum if stratification was used. Make copies of the form if additional rows are needed to list all the strata.

Column 1: *If stratification was used:*

1(a) Sequentially number each row.

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

If no stratification was used:

1(a) Leave blank.

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

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

Column 2: 2(a) Report the number of over-the-counter (OTC) outlets in the sampling frame in each stratum.

2(b) Report the number of vending machine (VM) outlets in the sampling frame in each stratum.

2(c) Report the combined total of OTC and VM outlets in the sampling frame in each stratum.

Column 3: 3(a) Report the estimated number of eligible OTC outlets in the OTC outlet population in each stratum.

3(b) Report the estimated number of eligible VM outlets in the VM outlet population in each stratum.

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

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

Column 4: 4(a) Report the number of eligible OTC outlets for which an inspection was completed, for each stratum.

4(b) Report the numbers of eligible VM outlets for which an inspection was completed, for each stratum.

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

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

5(b) Report the number of VM outlets found in violation of the law as a result of completed inspections, for each stratum.

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

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

FORM 2 (Optional)

Appropriate for stratified simple or systematic random sampling designs.

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

Instructions for Completing Form 2: In the top right-hand corner of the form, provide the state name and reporting federal fiscal year (FFY 2019).

- 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: 2019 _____
(1) Stratum Name	(2) N Number of Outlets in Sampling Frame	(3) n Original Sample Size	(4) n1 Number of Sample Outlets Found Eligible	(5) n2 Number of Outlets Inspected	(6) x Number of Outlets Found in Violation	(7) p=x/n2 Stratum Retailer Violation Rate	(8) N'=N(n1/n) Estimated Number of Eligible Outlets in Population	(9) w=N'/Total Column 8 Relative Stratum Weight	(10) pw Stratum Contribution to State Weighted RVR	(11) s.e. Standard Error of Stratum RVR
Total										

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

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

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

Instructions for Completing Form 3: In the top right-hand corner of the form, provide the state name and reporting federal fiscal year (FFY 2019).

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: 2019 _____				
(1) Row #	(2) Stratum Name	(3) Number of PSUs Created	(4) Number of PSUs Selected	(5) Number of PSUs in the Final Sample
Total				

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

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

Instructions for Completing Form 4: In the top right-hand corner of the form, provide the state name and reporting federal fiscal year (FFY 2019).

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: 2019	
(1) INELIGIBLE		(2) ELIGIBLE	
Reason for Ineligibility	(a) Counts	Reason for Noncompletion	(a) Counts
Out of business		In operation but closed at time of visit	
Does not sell tobacco products		Unsafe to access	
Inaccessible by youth		Presence of police	
Private club or private residence		Youth inspector knows salesperson	
Temporary closure		Moved to new location	
Unlocatable		Drive-thru only/youth inspector has no driver's license	
Wholesale only/Carton sale only		Tobacco out of stock	
Vending machine broken		Ran out of time	
Duplicate		Other noncompletion reason(s) <i>(Describe.)</i>	
Other ineligibility reason(s) <i>(Describe.)</i>			
Total		Total	

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

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

Instructions for Completing Form 5: In the top right-hand corner of the form, provide the state name and reporting federal fiscal year (FFY 2019).

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: 2019
	(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 2018.

APPENDIX B: SYNAR SURVEY SAMPLING METHODOLOGY

State: Alaska
 FFY: 2019

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
Alaska Department of Commerce, Community and Economic Development (DCCED), Division of Corporations, Business and Professional Licensing	3	Tobacco vendor business license and endorsement list from the Dept. of Commerce, Community and Economic Development	See below.

List Frame Data Source.

Alaska utilizes a list of tobacco vendors generated annually by the Alaska Department of Commerce, Community, & Economic Development (DCCED). Tobacco vendors are required to have a valid business license and tobacco endorsement (per AS 43.70.075. License Endorsement), both of which are issued by the DCCED. Both business license and endorsement are valid through December 31 of the year in which the license expires.

During February of each year, the DCCED generates a list of tobacco vendor endorsements for which the business license and endorsement have an expiration date greater than or equal to December 31 of the prior year.

Preparing the List Frame

The DCCED list of tobacco vendors is reviewed and “cleaned” in preparation for its use as the Synar list frame. These “clean-up” efforts include the following steps:

- a) **License Status.** Vendors with a license status of “inactive” are removed from the list frame. A vendor may choose to inactivate a business license prior to its expiration date. A license status of inactive denotes that the vendor voluntarily ceases all business activity allowed under the license.
- b) **Business Physical Address.** Vendors with a business license that does not include an Alaska physical address are removed from the list frame (for example, cruise ships or fishing boats that have a home port in Seattle, WA).
- c) **Tribal Lands.** Tobacco endorsements associated with vendors on tribally controlled lands over which the State of Alaska has no jurisdiction are removed from the list frame. At present, the Annette Island Reserve (i.e. the community of Metlakatla) is the only federal reservation for indigenous peoples in Alaska.
- d) **NAICS Codes.** When applying for a tobacco endorsement, a vendor identifies up to two NAICS (North American Industry Classification System) codes that generally describe the type of commercial activity in which the vendor is engaged. Vendor endorsements with the following NAICS codes are identified as youth-inaccessible and are removed from the list frame:

NAICS Code	NAICS Description
424810	BEER AND ALE MERCHANT WHOLESALERS
424940	TOBACCO AND TOBACCO PRODUCT MERCHANT WHOLESALERS
445310	BEER, WINE, AND LIQUOR STORES *
452910	WAREHOUSE CLUBS AND SUPERCENTERS
453991	TOBACCO STORES
454210	VENDING MACHINE OPERATORS
722410	DRINKING PLACES (ALCOHOLIC BEVERAGES)
813410	CIVIC AND SOCIAL ORGANIZATIONS (Endorsements with this NAICS code that are private clubs with bars are identified as youth-inaccessible)

* A list of vendor endorsements with a NAICS code for Beer, Wine, and Liquor Stores is reviewed by enforcement staff; if enforcement staff know or believe that an outlet is or might be youth accessible (e.g., based on the business name), the outlet is kept on the list frame.

If a vendor endorsement has two NAICS codes, and one or both of the codes identifies the endorsement as youth-accessible, then the endorsement is included in the list frame.

The following Alaska state statutes are used as a basis for determining youth-inaccessibility:

- AS 11.76.100. Selling or Giving Tobacco to a Minor.
- AS 11.76.106. Selling Tobacco Outside Controlled Access.
- AS 11.76.107. Failure to Supervise Cigarette Vending Machine.
- AS 04.16.049. Access of Persons Under the Age of 21 to Licensed Premises (Regulation of Sales and Distribution of Alcoholic Beverages).
- AS 04.16.060. Purchase By or Delivery to Persons Under the Age of 21 (Regulation of Sales and Distribution of Alcoholic Beverages).

SAMHSA/CSAP provided the following guidance regarding AS 04.16.049. Access of Persons Under the Age of 21 to Licensed Premises as it pertains to identifying youth-inaccessible endorsements:

- Vendor endorsements that sell alcoholic beverages and also are identified as full-service restaurants (NAICS code 722110) are removed from the list frame. These endorsements can be considered youth-inaccessible due to the statutory requirement that individuals under 21 must remain in the restaurant area and cannot enter the bar area.
- Vendor endorsements that sell alcoholic beverages and are not identified as full-service restaurants are removed from the list frame. These endorsements can be considered youth-inaccessible due to the statutory requirement that a person under 21 may enter the premises only if accompanied by a parent, guardian, or spouse who has attained the age of 21. Note: this includes establishments that sell alcoholic beverages and are identified as limited service restaurants (NAICS code 722211).

e) Additional Clean-Up Efforts

- **Prior Year Ineligibles.** Tobacco endorsements are removed from the list frame if they were identified in the prior year Synar investigation as:

Disposition Code	Disposition Description
I3	Inaccessible by Youth
I4	Private club or residence
I6	Unlocatable
I7	Whole sale only/carton sale only
I9	Duplicate (i.e., two distinct endorsement IDs referencing the same point of sale)

- **Synar Ineligibility Confirmation.** Tobacco endorsements are removed from the list frame if tobacco enforcement staff has knowledge, based on information obtained since June 1 of the prior year, that the endorsement would be disposed of in a Synar investigation with one of five ineligible disposition codes (I3, I4, I6, I7, and I9). Knowledge of the ineligible disposition status is based on the following:
 - An education effort or tobacco investigation at the business site.
 - A Synar eligibility on-site survey for vendors identified as being youth inaccessible (i.e., one or both NAICS codes indicates the vendor is youth inaccessible). For these vendors, eligibility status is confirmed on-site for each point of tobacco sale.
 - A Synar eligibility phone survey for vendors identified as being youth accessible (i.e., each NAICS code indicates the vendor is youth accessible). For these vendors, eligibility status is confirmed based on a phone survey of the owner or employee of the business, or a phone survey of a public official (city or tribal

administrator or a city or tribal clerk) who has direct knowledge of tobacco sales in the rural village where a vendor is located. If the surveyed individual states that the business is closed, doesn't sell tobacco products, is not accessible to youth under 19 years of age, is unlocatable or is a private club/residence, then the endorsement is removed from the list frame.

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

n/a

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

Yes No

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

_____%

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

Yes No

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

State law bans vending machines.

State law bans vending machines from locations accessible to youth.

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

Other (Please describe.) _____

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

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

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

Other reasons (Please describe.) _____

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

Census (STOP HERE: Appendix B is complete.)

Unstratified statewide sample:

Simple random sample (Go to Question 9.)

Systematic random sample (Go to Question 6.)

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

Multistage cluster sample (Go to Question 8.)

Stratified sample:

- Simple random sample (*Go to Question 7.*)
- Systematic random sample (*Go to Question 6.*)
- Single-stage cluster sample (*Go to Question 7.*)
- Multistage cluster sample (*Go to Question 7.*)
- Other** (*Please describe and go to Question 9.*) _____

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

7. Provide the following information about stratification.

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

b. Is clustering used within the stratified sample?

- Yes** (*Go to Question 8.*)
- No** (*Go to Question 9.*)

8. Provide the following information about clustering.

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

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

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

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

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

b. SSES Sample Size Calculator used?

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

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

10. Provide the following information about sample size calculations for the Synar survey conducted in FFY 2018.

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

Inputs for Effective Sample Size:

RVR:

Frame Size:

Input for Target Sample Size:

Design Effect:

Inputs for Original Sample Size:

Safety Margin:

Accuracy (Eligibility) Rate:

Completion Rate:

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

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

APPENDIX C: SYNAR SURVEY INSPECTION PROTOCOL SUMMARY

State: Alaska
FFY: 2019

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: _____)
 Not permitted

d. Youth inspectors to be compensated?

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

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

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

List the agency name(s): H&SS Division of Behavioral Health (DBH)

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.

Factors that influence the types of tobacco products requested by the youth include: gender, age, ethnic group, location within Alaska, and vendor type. Product types mainly include cigarettes and smokeless/spit tobacco, with an occasional request for cigars. (Reference the Alaska Youth Risk Behavior Surveillance System [YRBSS].)

Youths are instructed to request either cigarettes (usually female) or chewing tobacco (usually males). When requesting cigarettes, youths ask for "Camels" first, which is a popular brand and can easily be pronounced by youth from diverse cultural backgrounds. If "Camels" are not available, youths ask for another brand of available cigarettes. When requesting chewing tobacco, youth ask for "Skoal," "Copenhagen," "Kodiak" or "Grizzly" brands, depending on retailer availability.

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

The adult supervisors are fulltime State employees within the Department of Health and Social Services/Division of Behavioral Health. They are investigators and are recruited, selected and hired in compliance with State hiring laws and regulations.

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

Student interns are recruited through local law enforcement and public health employees and school intern programs. They are not chosen solely on their enthusiasm or dedication to the program or upon their capability to purchase tobacco. The physical appearance of their age to everyday people is a major factor regarding whether they are hired. They should look their age. They are instructed on the manner of dress, make-up and accessories worn during survey activities. The protocol for investigators includes requirements for shaving (males should have clean shaven faces). Investigators having consistently high buy-rates for a particular community are carefully re-evaluated to insure that they do not look older than 19 years of age.

The protocol covers training requirements for the student interns. It includes how to act, what to say, and how to respond to a variety of questions. Student interns are given the opportunity to practice the protocol in role-play exercises. When possible, provision is made for them to watch, or participate with, another student intern attempting a tobacco purchase as part of an actual investigation prior to working alone. Student interns are told never to entice an employee to sell through word or action. Student interns must answer truthfully if asked their age and must produce an ID if requested. Student interns are advised that they do not have to attempt a purchase if they know someone else in the business (they may, if they choose to do so), and they must NOT attempt a purchase from an employee whom they know. Student interns are trained to know they can always decline to go into a business or to leave a business if they feel uncomfortable or for any other reason.

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.)

b. Procedural

Yes No

(If Yes, please describe.)

Student Interns are instructed to cooperate when challenged by Retail Store Employees. An adult investigator is in close proximity to supervise the buy attempt and to account for the tobacco products

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

a. Legal

Yes No

(If Yes, please describe.)

b. Procedural

Yes No

(If Yes, please describe.)

All investigators are trained to interrupt an operation rather than put student intern at risk or in a situation when he/she is inadequately monitored. Student Interns are trained to know they can leave a business or refuse to enter if they feel unsafe or

uncomfortable. Investigation activity is coordinated with local law enforcement to increase awareness of potential problems.

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

a. Legal

Yes No

(If Yes, please describe.)

b. Procedural

Yes No

(If Yes, please describe.)

Alaska protocol allows for the enlistment of 15 through 18 year-old student interns. Alaska law prohibits the sale of tobacco to persons less than 19 years of age, so including 18 year old student interns is satisfactory protocol for both enforcement and Synar survey objectives.

APPENDIX D: LIST SAMPLING FRAME COVERAGE STUDY

(LIST FRAME ONLY)

State: _____
FFY: _____

1. Calendar year of the coverage study: _____

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

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

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

Yes No

If Yes, please explain.

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

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

Census (Go to Question 6.)

Unstratified statewide sample:

Simple random sample (Respond to Part b.)

Systematic random sample (Respond to Part b.)

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

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

Stratified sample:

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

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

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

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

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

b. Describe the sampling methods.

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

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

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

Yes No

6. Were all sampled areas visited by canvassing teams?

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

a. Was the subset of areas randomly chosen?

Yes No

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

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

Yes No

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

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

Yes No

If No, respond to Question 9.

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

9. If a full canvassing was not conducted:

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

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

c. Were these starting points randomly chosen?

Yes No

d. Describe the selection of the starting points.

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

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

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

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