

AMENDED
ANNUAL SYNAR REPORT
42 U.S.C. 300x-26
OMB No 0930-0222

FFY 2008
Version 1.1



U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
Substance Abuse and Mental Health Services Administration
Center for Substance Abuse Prevention
www.samhsa.gov

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INTRODUCTION

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

Public reporting burden for the collection of information is estimated to average 15 hours for Section I and 3 hours for Section II, including the time for reviewing instructions, completing and reviewing the collection of information, searching existing data sources, and gathering and maintaining the data needed. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing the burden, to SAMHSA Reports Clearance Officer; Paperwork Reduction Project (0930-0222); 1 Choke Cherry Road, 7th Floor Rockville, Maryland 20857

An agency may not conduct or sponsor and a person is not required to respond to a collection of information unless it displays a currently valid OMB control number. The OMB control number for this project is 0930-0222 with an expiration date of 10-31-2010.

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 2006 Compliance Progress) and future plans to ensure compliance with the Synar requirements to reduce youth tobacco access rates (FFY 2007 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 on-site technical assistance consultation.

How the Synar report can help States

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

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) 276-2413 and ask for your respective State Project Officer, or contact your State Project Officer directly by telephone or e-mail using the directory provided. If you have questions about fiscal or grants management issues, you may call the Grants Management Officer, Office of Program Services, Division of Grants Management, at (240) 276-1404.

Where and when to submit the Synar report

The Annual Synar Report (ASR) must be received by SAMHSA no later than December 31, 2007. The ASR must be submitted in the **approved OMB report format**. Use of the approved format will avoid delays in the review and approval process. The chief executive officer (or an authorized designee) of the applicant organization must sign page 1 of the ASR certifying that the State has complied with all reporting requirements.

Submit one signed original of the report, one additional copy, and an electronic version on either CD-ROM or 3.5" diskette to the Grants Management Officer at the address below:

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

Regular Mail:

1 Choke Cherry Road, Rm.7-1103
Rockville, Maryland 20857

Overnight Mail:

1 Choke Cherry Road, Rm.7-1103
Rockville, Maryland 20850

FFY 2008: FUNDING AGREEMENTS/CERTIFICATIONS

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

PUBLIC HEALTH SERVICES ACT AND SYNAR AMMENDMENT
42 U.S.C. 300x-26 requires each State to submit an annual report of its progress in meeting the requirements of the Synar Amendment and its implementing regulation (45 C.F.R. 96.130) to the Secretary of the Department of Health and Human Services. By signing below, the chief executive officer (or an authorized designee) of the applicant organization certifies that the State has complied with these reporting requirements and the certifications as set forth below.
SYNAR SURVEY SAMPLING METHODOLOGY
The State certifies that the Synar survey sampling methodology on file with the Center for Substance Abuse Prevention and submitted with the Annual Synar Report for FFY 2005 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 FFY2005 is up-to-date and approved by the Center for Substance Abuse Prevention.
State: Alaska
Name of Chief Executive Officer or Designee: Karleen Jackson
Signature of CEO or Designee:
Title: <u>Commissioner, Dept of Health & Social Services</u> Date Signed: _____
If signed by a designee, a copy of the designation must be attached

SECTION I: FFY 2007(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. Please attach a photocopy of the change(s) in the State law(s) if any was made since the last reporting year. (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

Other change(s) *(please describe)*: _____

c. Have there been any changes in the law concerning *vending machines*?

Yes No

If Yes, indicate change (check all that apply):

Total ban enacted

Banned from location(s) accessible to youth

Locking device or supervision required

Other change(s) *(please describe)*: _____

d. Have there been any changes in State law that impact the following?

Licensing of tobacco vendors Yes No

Penalties for sales to minors Yes No

During last years legislative session, in response to a court judgment related to due process for retailers whose clerks sell tobacco to a minor, legislation was introduced and passed changing the penalty structure and process for selling tobacco to youth under 19. While the basic penalty structure remained the same, a process for "mitigating" and "aggravating" factors was established that provided for retailers to reduce the period of suspension of their tobacco endorsement by 10 days if they could show clear and convincing evidence of

efforts made to reduce underage sales in their stores. At the same time, if a retailer has a history of poor performance in terms of sales to minors, the penalty can be increased by 10 days. The new law, while it provides for an opportunity for reduced penalties, includes both a ceiling and a floor so that no one can have their penalties removed completely and there is a limit to how significant a penalty can be. In addition, the law now requires clerks to be 19 years of age in order to sell tobacco in a retail outlet.

- 2. Describe how the Annual Synar Report (see 45 C.F.R. 96.130(e)) and the State Plan (see 42 U.S.C. 300x-51) were made public within the State prior to submission of the ASR. (Check all that apply)**

- Placed on file for public review
- Posted on a State agency Web site (please provide exact web address:
<http://www.hss.state.ak.us/dbh/prevention/default.htm>)
- Notice published in a newspaper or newsletter
- Public hearing
- Announced in a news release, a press conference, or discussed in a media interview
- Distributed for review as part of the SAPT Block Grant application process
- Distributed through the public library system
- Published in an annual register
- Other change(s) (please describe): distributed at Tobacco Control Alliance events
-

- 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(s) designated by the Governor for oversight of the Synar requirements:**

Department of Law, Office of the Attorney General

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

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

Department of Health & Social Services, Division of Behavioral Health

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

- c. The State agency(s) responsible for enforcing youth tobacco access law(s):**

Department of Health & Social Services, Division of Behavioral Health

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

- 4. Identify the State agency(s) responsible for tobacco prevention activities.**

Department of Health & Social Services, Division of Public Health and Division of Behavioral Health;

Alaska Department of Commerce, Community and Economic Development, Division of Corporations, Business and Professional Licensing

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

Yes No

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

- Are the same
- Have a formal written memorandum of agreement
- Have an informal partnership
- Conduct joint planning activities
- Combine resources
- Have other collaborative arrangement(s) (please describe): _____

5. Please answer the following questions regarding the State's activities to enforce the youth access to tobacco law(s) in FFY 2007. (See 42 U.S.C. 300x-26 and 45 C.F.R. 96.130(e))

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

- Enforcement is conducted exclusively by local law enforcement agencies.
- Enforcement is conducted exclusively by State agency(s).
- Enforcement is conducted by both local and State agencies.

b. The following items concern penalties imposed for violations of youth access to tobacco laws by **LOCAL AND/OR STATE LAW ENFORCEMENT AGENCIES**. Please fill in the number requested. If State law does not provide for tobacco retailer license/permit suspension or revocation, please mark "NA".

PENALTY	OWNERS	CLERKS	TOTAL
Number of citations issued	2	38	40
Number of fines assessed	11	38	49
Number of permits/licenses suspended	9		9
Number of permits/licenses revoked	0		0
Other (please describe):			

c. What additional activities are conducted in your State to support enforcement and compliance with State tobacco access law(s)? (Check all that apply)

- Merchant education and/or training
- Incentives for merchants who are in compliance (e.g., Reward and Reminder)
- Community education regarding youth access laws
- Media use to publicize compliance inspection results
- Community mobilization to increase support for retailer compliance with youth access laws
- Other activities (please list): _____

Briefly describe all checked activities:

Activities to increase knowledge about youth access to tobacco, enforcement and compliance of retailers includes a multi-strategy approach. 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. DBH staff are available upon request to provide retailer/clerk training and send materials to retailers upon request and periodically to all Alaska retailers. In addition, 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. The Alaska Tobacco Control Alliance assist Behavioral Health in mobilizing community education, outreach, and support related to youth tobacco issues.

d. 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

e. If "Yes" to 5.d., please describe the State's procedure for minimizing risk of bias to the survey results:

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.

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 2007. (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.

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

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

Yes No

If Yes, attach SSES summary tables 1, 2, 3 and 4 and go to Question 8. If No, continue to Question 7b.

b. Report the weighted and unweighted Retailer Violation Rate (RVR) estimates, and the standard error.

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.

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

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

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

Form 2 (Optional) in Appendix A (Forms) (Attach completed Form 2)

Other (Please specify. Provide formulae and calculations or attach and explain)

the program code and output with description of all variable names.)

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

Yes No No stratification

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

f. Was a cluster sample design used?

Yes No

If No, go to Question 7g.

If Yes, fill out and attach Form 3 in Appendix A (Forms), and answer the following question:

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 non-completion)	
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).

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

Yes No

If Yes, answer the following questions about its coverage:

a. The calendar year of the latest frame coverage study: 2005

b. **Percent coverage from the latest frame coverage study:** 118%

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:** calendar year 2008

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

Yes No

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

a. **Provide the inspection period:** **From:** 07/15/07 **To:** 09/30/07
MM/DD/YY MM/DD/YY

b. **Provide the number of youth inspectors used in the current inspection year:**
eleven (11)

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

c. **Fill out and attach Form 5 in Appendix A (Forms).** *(Not required if the State used the Synar Survey Estimation System (SSES) to analyze the Synar survey data)*

SECTION II: FFY 2008 (Intended Use):

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

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

- Synar sampling methodology Yes No
Synar inspection protocol Yes No

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

2. Please describe the State's plans to maintain and/or reduce the target rate for Synar inspections to be completed in FFY 2008. 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 will continue ongoing statewide tobacco enforcement through the efforts of a seasoned staff of investigators and prosecutors. Vendor/Community education efforts will continue to be closely coordinated between the Division of Behavioral Health and the Division of Public Health. Education and enforcement efforts will also be coordinated with grantees of the two agencies. As in years past, the Alaska Department of Commerce, Community and Economic Development, Division of Corporations, Business and Professional Licensing will continue as a valued partner in tobacco enforcement efforts by providing current, updated lists of tobacco outlets statewide.

No changes to regulations are anticipated in the FFY 2008.

3. Describe any challenges the State faces in complying with the Synar regulation. (Check all that apply)

- Limited resources for law enforcement of youth access laws
- Limited resources for activities to support enforcement and compliance with youth tobacco access laws
- Limitations in the State youth tobacco access laws
- Limited public support for enforcement of youth tobacco access laws
- Limitations on completeness/accuracy of list of tobacco outlets
- Limited expertise in survey methodology
- Laws/regulations limiting the use of minors in tobacco inspections

- Difficulties recruiting youth inspectors
 - Geographic, demographic, and logistical considerations in conducting inspections
 - Cultural factors (e.g., language barriers, young people purchasing for their elders)
 - Issues regarding sources of tobacco under tribal jurisdiction
 - Other challenges (*please list*): seasonal activity
-

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

Alaska's transportation challenges continue to consume much of the time and funding for the enforcement program. The cultural factors vary widely from town to town and often require special considerations for the enforcement teams. Seasonal activity and high turnover for store clerks in Alaska create an unusually chaotic retail environment. Ongoing training and education for the vendor community is essential for restricting the availability of tobacco products to minors.

|

APPENDIX A: FORMS

SSES Table 1 (Synar Survey Estimates and Sample Sizes)

CSAP-SYNAR REPORT

State	Alaska
Federal Fiscal Year (FFY)	2008
Date	2/27/2008 11:41
Data	SSES Final Revised 2008-02-26.xls
Analysis Option	Stratified SRS with FPC

Estimates

Unweighted Retailer Violation Rate	9.3%
Weighted Retailer Violation Rate	9.2%
Standard Error	1.6%
Is SAMHSA Precision Requirement met?	YES
Right-sided 95% Confidence Interval	[0.0%, 11.8%]
Two-sided 95% Confidence Interval	[6.1%, 12.3%]
Design Effect	1.0
Accuracy Rate (unweighted)	70.3%
Accuracy Rate (weighted)	70.5%
Completion Rate (unweighted)	86.7%

Sample Size for Current Year

Effective Sample Size	285
Target (Minimum) Sample Size	285
Original Sample Size	407
Eligible Sample Size	286
Final Sample Size	248
Overall Sampling Rate	25.5%

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

STATE: Alaska
 FFY: 2008

Samp. Stratum	Var. Stratum	Outlet Frame Size	Estimated Outlet Population Size	Number of PSU Clusters Created	Number of PSU Clusters in Sample	Outlet Sample Size	Number of Eligible Outlets in Sample	Number of Sample Outlets Inspected	Number of Sample Outlets in Violation	Retailer Violation Rate(%)	Standard Error(%)
All Outlets											
1	1	685	498	N/A	N/A	172	125	120	11	9.2%	
2	2	598	415	N/A	N/A	183	127	104	11	10.6%	
3	3	165	108	N/A	N/A	52	34	24	1	4.2%	
Total		1,448	1,021			407	286	248	23	9.2%	1.6%
Over the Counter Outlets											
1	1	685	498	N/A	N/A	172	125	120	11	9.2%	
2	2	598	415	N/A	N/A	183	127	104	11	10.6%	
3	3	165	108	N/A	N/A	52	34	24	1	4.2%	
Total		1,448	1,021			407	286	248	23	9.2%	1.6%
Vending Machines											
1	1	0	0	N/A	N/A	0	0	0	0	0.0%	
2	2	0	0	N/A	N/A	0	0	0	0	0.0%	
3	3	0	0	N/A	N/A	0	0	0	0	0.0%	
Total		0	0			0	0	0	0	0.0%	0.0%

SSES Table 3 (Synar Survey Sample Tally Summary)

STATE: Alaska
 FFY: 2008

Disposition Code	Description	Count	Subtotal
EC	Eligible and inspection complete outlet	248	
Total (Eligible Completes)			248
N1	In operation but closed at time of visit	24	
N2	Unsafe to access	1	
N3	Presence of police	0	
N4	Youth inspector knows salesperson	0	
N5	Moved to new location but not inspected	0	
N6	Drive thru only/youth inspector has no drivers license	0	
N7	Tobacco out of stock	0	
N8	Run out of time	13	
N9	Other noncompletion	0	
Total (Eligible Noncompletes)			38
I1	Out of Business	11	
I2	Does not sell tobacco products	31	
I3	Inaccessible by youth	54	
I4	Private club or private residence	5	
I5	Temporary closure	4	
I6	Unlocatable	6	
I7	Wholesale only/Carton sale only	4	
I8	Vending machine broken	0	
I9	Duplicate	6	
I10	Other ineligibility	0	
Total (Ineligibles)			121
Grand Total			407

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

STATE: Alaska
 FFY: 2008

Frequency Distribution

Gender	Age	Number of Inspectors	Attempted Buys	Successful Buys
Male	14	0	0	0
	15	0	0	0
	16	4	63	7
	17	3	86	7
	18	0	0	0
	Subtotal		7	149
Female	14	0	0	0
	15	0	0	0
	16	2	38	5
	17	2	61	4
	18	0	0	0
	Subtotal		4	99
Other		0	0	0
Grand Total		11	248	23

Buy Rate in Percent by Age and Gender

Age	Male	Female	Total
14	0.0%	0.0%	0.0%
15	0.0%	0.0%	0.0%
16	11.1%	13.2%	11.9%
17	8.1%	6.6%	7.5%
18	0.0%	0.0%	0.0%
Other			0.0%
Total	9.4%	9.1%	9.3%

Appendices 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 appendices, therefore, should generally describe the design and protocol and are not to be modified with year-specific information. Please note that any changes to either appendix must receive CSAP's advance written approval. To facilitate the State's completion of this section, simply "cut and paste" the previously approved sampling design (Appendix B) and inspection protocol (Appendix C).

APPENDIX B

STATE: Alaska
FFY: 2008

SYNAR SURVEY SAMPLING METHODOLOGY

1. What type of sampling frame is used?

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

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

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

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

Name of Frame Source	Type of Source	Description	Updating Method and Cycle
Alaska Department of Commerce, Community and Economic Development, Division of Corporations, Business and Professional Licensing	3	Tobacco vendor business license file from the Dept. of Community and Economic Development	All tobacco vendors were registered as of January 1, 2006 using improved application forms. The Division of Corporations, Business and Professional Licensing closely edited the information on the application forms. Also, licensed outlets were telephoned to confirm hours of operation, verify physical location, and to determine if the outlet was a bar/liquor store.
Department of Health and Social Services	6	Alaska requires both a business license and a tobacco endorsement to sell tobacco products. The updated lists maintained by the Dept. of Health and Social Services contain the name and address of tobacco vendors who pay a fee of \$100 per outlet	

		every two years for tobacco endorsements on their business license.	

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 they are not included in the Synar survey.

State law bans vending machines

State law bans vending machines from locations accessible to youth

State has SAMHSA approval to exempt vending machines from the survey

Other (please describe): _____

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

Census (STOP HERE: Appendix B is complete)

Unstratified State-wide sample:

Simple random sample (go to Question 9)

Systematic random sample (go to Question 6)

Single-stage cluster sample (go to Question 8)

Multi-stage cluster sample (go to Question 8)

Stratified sample:

Simple random sample (go to Question 7)

Systematic random sample (go to Question 6)

Single-stage cluster sample (go to Question 7)

Multi-stage cluster sample (go to Question 7)

Other (please describe and go to Question 9): _____

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

7. Provide the following information about stratification

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

There are two strata, based on the number of tobacco outlets within the city and its vicinity:

Stratum 1 – Large – cities with at least 50 licensed tobacco outlets

Stratum 2 – Medium – cities with 9 to 49 licensed tobacco outlets.

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 multi-stage clusters are used, give definitions of clusters at each stage.)

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

9. Provide the formulae for determining the effective, target, and original outlet sample sizes.

Effective sample size:

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

Target sample size: The target sample size (n_t) is derived as the effective sample size multiplied by the design effect, d (i.e., $n_t = dn_e$). Assuming that the design effect is 1 for the stratified SRS, the target sample size is set to be equal to the effective sample size.

Original sample size: The original sample size is calculated by inflating the target sample size by 25%, namely

$$n_o = (1 + s)n_t,$$

where $s = 0.25$

APPENDIX C

STATE: Alaska
FFY: 2008

SYNAR SURVEY INSPECTION PROTOCOL

Note: Attach a copy of the inspection form and protocol used to record the inspection result.

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

a. Consummated buy attempts?

- Required Not Permitted
 Permitted under specified circumstances Not specified in protocol

b. Youth inspectors to carry ID?

- Required Not Permitted
 Permitted under specified circumstances Not specified in protocol

c. Adult inspectors to enter the outlet?

- Required Not Permitted
 Permitted under specified circumstances Not specified in protocol

d. Youth inspectors to be compensated?

- Required Not Permitted
 Permitted under specified circumstances Not specified in protocol

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

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

List the agency name(s): The H&SS Division of Public Health (DPH) and Division of Behavioral Health

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

- Always Usually Sometimes Rarely Never

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

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 18 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.

5. 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 always in close proximity to supervise the buy attempt and to account for the tobacco products.

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

a. Legal Yes No (If Yes, please describe):

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

All investigators are trained to interrupt an operation rather than put a student intern in a situation where 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.

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

a. Legal **Yes** **No** (*If Yes, please describe*):

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 products to persons less than 19 years of age, so including 18 year-old student interns was satisfactory protocol for both enforcement and for Synar survey objectives.

APPENDIX D

STATE: 2008
FFY: 100

List Sampling Frame Coverage Study (LIST FRAME ONLY)

1. Calendar year of the coverage study: 2005

2. Percent coverage found: 118 %

(Provide calculation of the percent coverage)

Over coverage occurred since the frame assessment found no additional outlets that were not included in the frame, and several listed outlets were ineligible.

$\% \text{ coverage} = (\# \text{ outlets in study} / \# \text{ eligible outlets in study}) \times 100$

$\% \text{ coverage} = (110/93) \times 100$

$\% \text{ coverage} = 118\%$

3. Provide a description of the coverage study methods and results.

A preliminary list frame was developed by downloading the current list of business license tobacco endorsements from the States licensing records. The list was then filtered to remove businesses registered as bars, private clubs, and other outlets which by law cannot admit persons under 21 years of age. Alaska law requires all tobacco vending machines to be inaccessible to youth, so vending-machine-only locations were excluded. Additional editing was done to identify duplicates that occur when an outlet changes ownership or is operated by multiple parties. Tobacco outlets in village jurisdictions recognized as tribal authorities are excluded from the survey frame as are extremely remote outposts.

Outlets in the state were grouped into 60 similar sized groups based on proximity. 10 groups were randomly selected for the study. Adult tobacco enforcement officers inspected the vicinity in each of the 10 groups looking for additional outlets and validating the eligibility of listed outlets. Of the 110 outlets in the study, 2 did not sell tobacco, 5 were bars, 5 were out-of-business, 1 was a duplicate, 1 was a private residence, 2 were vending machines and 1 was a tobacco only store (off limits to minors). These 17 outlets were considered ineligible and subsequently removed from the frame.

Since the coverage study identified no additional outlets, and ineligible outlets occurred at a 15% rate, the over coverage condition existed. This was compensated for in the final Synar sample generation by including a 25% safety margin in the SSES Sample Size Calculator.