ANNUAL SYNAR REPORT

42 U.S.C. 300x-26

OMB № 0930-0222

FFY 2020

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 2019 Compliance Progress) and future plans to ensure compliance with the Synar requirements to reduce youth tobacco access rates (FFY 2020 Intended Use Plan). These data are required by 42 U.S.C. 300x-26 and will be used by the Secretary to evaluate state compliance with the statute. The information to be reported is public (45 CFR 96.130 (f)) and is not confidential. Part of the mission of the Center for Substance Abuse Prevention (CSAP) is to assist states[1] 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.

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

Getting assistance in completing the Synar report

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

Where and when to submit the Synar report

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

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

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

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

FFY 2020: FUNDING AGREEMENTS/CERTIFICATIONS

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

PUBLIC HEALTH SERVICES ACT AND SYNAR AMENDMENT
42 U.S.C. 300x-26 requires each state to submit an annual report of its progress in meeting the requirements of the Synar Amendment and its implementing regulation (45 C.F.R. 96.130) to the Secretary of the Department of Health and Human Services. By signing below, the chief executive officer (or an authorized designee) of the applicant organization certifies that the state has complied with these reporting requirements and the certifications as set forth below.
SYNAR SURVEY SAMPLING METHODOLOGY
The state certifies that the Synar survey sampling methodology on file with the Center for Substance Abuse Prevention and submitted with the Annual Synar Report for FFY 2020 is up-to-date and approved by the Center for Substance Abuse Prevention.
SYNAR SURVEY INSPECTION PROTOCOL
The state certifies that the Synar Survey Inspection Protocol on file with the Center for Substance Abuse Prevention and submitted with the Annual Synar Report for FFY 2020 is up-to-date and approved by the Center for Substance Abuse Prevention.
State: AK
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:** 12/26/2019
If signed by a designee, a copy of the designation must be attached.

SECTION I: FFY 2019 (Compliance Progress)

YOUTH ACCESS LAWS, ACTIVITIES, AND ENFORCEMENT

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

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

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

   ☐ **Yes** ☒ **No**

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

   _____

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

   ☐ **Yes** ☒ **No**

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

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

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

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

   ☐ Placed on file for public review

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

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

   Date published: A draft was posted on 12/12/2019

   ☐ 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.*

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 2019** *(see 42 U.S.C. 300x-26 and 45 C.F.R. 96.130(e)).*

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

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

   b. **The following items concern penalties imposed for all violations of state youth access to tobacco laws by <u>LOCAL AND/OR STATE LAW ENFORCEMENT AGENCIES (this does not include enforcement of local laws or federal youth tobacco access laws)</u>. 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>	3	36	39
Number of <u>fines assessed</u>	7	35	42
Number of <u>permits/licenses suspended</u>	7		7
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.)* _____

SYNAR SURVEY METHODS AND RESULTS

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

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

☐ **Yes** ☒ **No**

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

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

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

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

☒ **Yes** ☐ **No**

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

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

Unweighted RVR _____

Weighted RVR _____

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

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

	+	(1.645	×	)	=	
RVR Estimate	**plus**	**(1.645**	**times**	**Standard Error)**	**equals**	**Right Limit**
Accuracy rate						
Completion rate						

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

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

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

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

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

☐ **Yes** ☐ **No** ☐ **No stratification**

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

f. Was a cluster sample design used?

☐ **Yes** ☐ **No**

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

*If **No,** go to Question 7g.*

Were any certainty primary sampling units selected this year?

☐ **Yes** ☐ **No**

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

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

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

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

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

☒ **Yes** ☐ **No**

*If **Yes,** answer the following questions about its coverage.*

a. The calendar year of the latest Sampling frame coverage study: 2019

b. Percent coverage from the latest Sampling frame coverage study: 98.45%

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 2024.

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 6/1/2019 **to** 9/30/2019
MM/DD/YY MM/DD/YY

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

16

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

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 2020 (Intended Use):

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

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

   Synar sampling methodology ☐ **Yes** ☒ **No**
   Synar inspection protocol ☐ **Yes** ☒ **No**

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

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

Alaska anticipates the following statewide tobacco enforcement activities for FFY20:

• 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 FFY19, this included Anchorage and rural Alaska (Prince of Wales Island, and the Glennallen region).

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

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

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

☐ c. Limitations in the state youth tobacco access laws

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

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

☐ f. Limited expertise in survey methodology

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

☐ h. Difficulties recruiting youth inspectors

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

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

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

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.

Alaska has over 160 small, remote communities with 1 or more tobacco vendors. These are known non-complete communities due to one or more factors, including: high risk of compromised anonymity; commercial lodging is not available; safety issues; travel mode is limited (charter flights, weather, high costs, etc.). This results in a low completion rate. The state continues to work on its corrective action plan revised in FFY 2018 which includes steps to correctly identifying vendors which may be Synar ineligible.

☒ l. 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 retailors 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.

☐ m. Issues regarding sources of tobacco under tribal jurisdiction

☒ n. 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.

There are a number of mostly remote industrial sites (such as: oil and gas fields, mining operations, and fish processors) that provide or contract for a company commissary for employees. Due to workplace safety and security, these vendors (numbering around 50) are not open to the general public nor to our tobacco enforcement team. They are, therefore, know non-complete and contribute to the state's low completion rate.

APPENDIX A: FORMS 1–5 TEMPLATES

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

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

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

Column 1: *If stratification was used*:

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

If no stratification was used:

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

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

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

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

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

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

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

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

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

Summary of Synar Inspection Results by Stratum

State: _____

FFY: 2020

(1)		(2)			(3)			(4)			(5)		
STRATUM		NUMBER OF OUTLETS IN SAMPLING FRAME			ESTIMATED NUMBER OF ELIGIBLE OUTLETS IN POPULATION			NUMBER OF OUTLETS INSPECTED			NO. OF OUTLETS FOUND IN VIOLATION DURING INSPECTIONS		
(a) Row #	(b) Stratum Name	(a) Over-the-Counter (OTC)	(b) Vending Machines (VM)	(c) Total Outlets (2a+2b)	(a) Over-the-Counter (OTC)	(b) Vending Machines (VM)	(c) Total Outlets (3a+3b)	(a) Over-the-Counter (OTC)	(b) Vending Machines (VM)	(c) Total Outlets (4a+4b)	(a) Over-the-Counter (OTC)	(b) Vending Machines (VM)	(c) Total Outlets (5a+5b)

RECORD COLUMN TOTALS ON LAST LINE (LAST PAGE ONLY IF MULTIPLE PAGES ARE NEEDED).

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

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

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

Column 1: Write in the name of each stratum into which the sample was divided. These should match the strata reported in Column 1(b) of Form 1.

Column 2: Report the number of outlets in the sampling frame in each stratum. These numbers should match the numbers reported for the respective strata in Column 2(c) of Form 1.

Column 3: Report the original sample size (the number of outlets originally selected, *including* substitutes or replacements) for each stratum.

Column 4: Report the number of sample outlets in each stratum that were found to be eligible during the inspections. Note that this number must be less than or equal to the number reported in Column 3 for the respective strata.

Column 5: Report the number of eligible outlets in each stratum for which an inspection was completed. Note that this number must be less than or equal to the number reported in Column 4. These numbers should match the numbers reported in Column 4(c) of Form 1 for the respective strata.

Column 6: Report the number of eligible outlets inspected in each stratum that were found in violation. These numbers should match the numbers reported in Column 5(c) of Form 1 for the stratum.

Column 7: Form 2 (in Excel form) will automatically calculate the stratum RVR for each stratum in this column. This is calculated by dividing the number of inspected eligible outlets found in violation (Column 6) by the number of inspected eligible outlets (Column 5). The state unweighted RVR will be shown in the Total row of Column 7.

Column 8: Form 2 (in Excel form) will automatically calculate the estimated number of eligible outlets in the population for each stratum. This calculation is made by multiplying the number of outlets in the sampling frame (Column 2) times the number of eligible outlets (Column 4) divided by the original sample size (Column 3). Note that these numbers will be less than or equal to the numbers in Column 2.

Column 9: Form 2 (in Excel form) will automatically calculate the relative stratum weight by dividing the estimated number of eligible outlets in the population for each stratum in Column 8 by the Total of the values in Column 8.

Column 10: Form 2 (in Excel form) will automatically calculate each stratum's contribution to the state weighted RVR by multiplying the stratum RVR (Column 7) by the relative stratum weight (Column 9). The weighted RVR for the state will be shown in the Total row of Column 10.

Column 11: Form 2 (in Excel form) automatically calculates the standard error of each stratum's RVR (Column 7). The standard error for the state weighted RVR will be shown in the Total row of Column 11.

TOTAL: For Columns 2–6, Form 2 (in Excel form) provides totals for the state as a whole in the last row of the table. For Columns 7–11, it calculates the respective statistic for the state as a whole.

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

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

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

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

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

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

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

Column 1: Sequentially number each row.

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

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

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

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

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

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

Summary of Clusters Created and Sampled

State:

FFY: 2020

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

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

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

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

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

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

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

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

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

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

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

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

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

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

APPENDIXES B & C: FORMS

Instructions

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

APPENDIX B: SYNAR SURVEY SAMPLING METHODOLOGY

State: AK
FFY: 2020

1. **What type of sampling frame is used?**

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

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

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

   1 – Statewide commercial business list
   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 (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 largest federal reservation for indigenous peoples in Alaska. In addition, the communities of Craig and Klawock each have a small area of about an acre with reservation status.

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 of 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 2019.**

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

    Inputs for Effective Sample Size:
    RVR:
    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: AK
FFY: 2020

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

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

a. Consummated buy attempts?

☒ Required
☐ Permitted under specified circumstances (Describe:)
☐ Not permitted

b. Youth inspectors to carry ID?

☒ Required
☐ Permitted under specified circumstances (Describe:)
☐ Not permitted

c. Adult inspectors to enter the outlet?

☒ Required
☐ Permitted under specified circumstances (Describe:)
☐ 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 in 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: AK
FFY: 2020

1. **Calendar year of the coverage study:** 2019

2. **a. Unweighted percent coverage found:** 98.45**%**
   b. Weighted percent coverage found: 98.45**%**
   c. Number of outlets found through canvassing: 196
   d. Number of outlets matched on the list frame: 193

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

The CY 2019 coverage study sampling areas generally were the same as those used for the CY 2011 & 2014 coverage studies, with some adjustments reflecting changes in US Census tracts and vendor density. For the coverage study, the sampling areas were defined based on census tracts or merged census tracts. The following guidelines were used for merging census tracts:

1. All census tracts with 3 or fewer outlets were merged with one or more adjacent tracts.

2. All census tracts with 4 to 6 outlets were considered for merging with one or more adjacent tract(s); most of these were merged with adjacent tracts.

3. For 1 and 2 above, the following factors were considered when determining which adjacent tracts would be merged into a sampling area:

   a. Road connectivity
   b. Road miles and road density
   c. Population centers
   d. Military bases
   e. Geographic features
   f. Number of outlets

Currently, Alaska is comprised of 167 census tracts; these 167 census tracts were rezoned into 84 sampling areas. Statewide, for the 84 sampling areas, the average number of outlets per sampling area was estimated to be 13.1. Across the seven coverage study strata, the average number of outlets per sampling area ranged from 8.3 to 18.8.

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.

Sample areas were selected for canvassing using a simple random sample from each of seven coverage study strata. The number of sample areas was determined by doubling the number of areas recommended for the state's average area size in Table 1 in Appendix B of SAMHSA's 2006 Guide for a Synar Sampling Frame Coverage Study. All strata were equally weighted. This resulted in a statewide target of 26 of 84 areas to be sampled, a sampling weight of 3.23, and a sampling fraction of 0.31. A python script was used to randomly select sample areas within each stratum.

The following formula was used to calculate the number of areas to sample per stratum:

Number of sampling areas within stratum / sampling weight =

# of areas to be sampled (rounded to the whole number).

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

The CY 2019 coverage study used the same stratification scheme that was used for the CY 2011 & 2014 coverage studies. This is the same stratification scheme used for the Synar Survey, with one modification: Synar Survey Stratum Id 4 (Rural/Remote Census Areas) was subdivided into two strata. Each of the seven coverage study strata is described below; urban status is based on the 2010 US Census designation:

1. Anchorage Municipality. Anchorage Municipality is on the 'connected surface transportation network' (defined as road and/or marine highway network) and includes:

- 'Anchorage Urbanized Area'
- 'Anchorage Northeast Urban Cluster
- Surrounding rural areas

2. Fairbanks North Star Borough. Fairbanks North Star Borough is on the 'connected surface transportation network' and includes:

- 'Fairbanks Urbanized Area'
- 'Eielson AFB Urban Cluster'
- Surrounding rural areas

3. Matanuska-Susitna Borough. Matanuska-Susitna Borough is on the 'connected surface transportation network' and includes:

- 'Lakes-Knik-Fairview-Wasilla Urban Cluster'
- Surrounding rural areas

4a. Rural/Remote Census Areas – Excluding Census Tracts with Urban Clusters. This stratum is the same as Synar Survey Stratum Id 4 Rural/Remote, with the exception that four census tracts were excluded and placed into a separate stratum (see 4b below). Stratum 4a is comprised of 13 census areas (minus the four census tracts) and is rural and predominantly remote in character.

Rural/Remote Census Areas:

- Aleutians East Borough
- Aleutians West Census Area
- Bethel Census Area (excluding census tract with Bethel Urban Cluster)
- Bristol Bay Borough
- Denali Borough
- Dillingham Census Area
- Lake and Peninsula Borough
- Nome Census Area (excluding census tract with Nome Urban Cluster)
- North Slope Borough (excluding census tract with Utqiagvik (Formerly Barrow) Urban Cluster)
- Northwest Arctic Borough (excluding census tract with Kotzebue Urban Cluster)
- Southeast Fairbanks Census Area
- Kusilvak Census Area (Formerly Wade Hampton)
- Yukon-Koyukuk Census Area

4b. Rural/Remote Census Tracts with Urban Clusters. Of the 13 census areas in Synar Survey Stratum Id 4 Rural/Remote, four contain a census tract within which there is an area with an 'urban cluster' designation; these four census tracts were placed in their own stratum for the purposes of the Coverage Study. These four census tracts generally tend to be rural and remote in character; however, each one contains a community with a populated area that meets the criteria of a Census Urban Cluster.

Rural/Remote Census Tracts with Urban Clusters:

- 'Utqiagvik (Formerly Barrow) Urban Cluster' and surrounding rural areas
- 'Bethel Urban Cluster' and surrounding rural areas

- 'Kotzebue Urban Cluster' and surrounding rural areas
- 'Nome Urban Cluster' and surrounding rural areas

5. Gulf Coast Census Areas: Gulf Coast is comprised of three census areas:

- Kodiak Island Borough
- Kenai Peninsula Borough
- Valdez-Cordova Census Area

These census areas are on the 'connected surface transportation network' and include:

- 'Kenai Urban Cluster'
- 'Kodiak Urban Cluster'
- 'Soldotna Urban Cluster'
- Surrounding rural areas

6. Southeast Census Areas. Southeast is comprised of ten census areas:

- Haines Borough
- Hoonah-Angoon Census Area
- Juneau City and Borough
- Ketchikan Gateway Borough
- Petersburg Census Area Borough
- Prince of Wales-Hyder Census Area
- Sitka City and Borough
- Skagway Municipality
- Yakutat City and Borough
- Wrangell City and Borough

These census areas are on the 'connected surface transportation network' and include:

- 'Juneau Urban Cluster'
- 'Ketchikan Urban Cluster'
- 'Sitka Urban Cluster'
- Surrounding rural areas

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

n/a

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.

1. Communities with a population of less than 10 were not canvassed:

a. For Stratum 4a "Rural/Remote Census Areas - Excluding Census Tracts with Urban Clusters," within the seven randomly selected sample areas, a subsample was selected using a convenience sample, i.e., communities with a population of less than 10 were not canvassed. In addition, 3 communities with an estimated population less than 20 were attempted, but no contact could be made.

b. For Stratum 5 "Gulf Coast Census Areas," within the four randomly selected sample areas, a subsample was selected using a convenience sample, i.e., communities with a population of less than 10 were not canvassed.

2. "Proxy Canvassing" was used to canvass remote, very rural communities that Tobacco Enforcement staff were not able to field canvass, primarily because overnight lodging was not available in the community. Proxy canvassing also was used to canvass a few communities that could not be field canvassed due to road closures or unsafe travel conditions (e.g., when a community access road was closed due to seasonal closures or temporary closures due to weather conditions). A total of 33 communities were proxy canvassed. Proxy canvasing of 15 communities failed (these were mostly small communities with a population under 75 and difficult to contact); two small communities refused the survey.

Initially, the process for proxy canvassing, as approved by SAMHSA/CSAP, involved a coordinated effort with State Troopers, Village Public Safety Officers (VPSOs), Village Health Aids (VHAs), and/or Public Health Nurses (PHNs) to identify all vendor outlets in the community that sell tobacco products to the general public and are accessible by youth. One of the proxy canvassing requirements is that the canvasser must have a thorough knowledge of the community based on a visit to -- or living in -- the community within the past 6 months. In many cases, however, these "proxy canvassers" did not have a thorough enough knowledge of the vendors in the community. In order to ensure a more complete and accurate canvass, Research Unit staff conducted the proxy canvassing by talking directly to community contacts, typically community public officials or employees, other governmental agency staff, or other organizational staff. Community contacts were identified primarily by using the Alaska Department of Commerce, Community and Economic Development, Division of Community and Regional Affairs (DCRA) on-line community database.

The number of communities that were proxy canvassed within each stratum are as follows:

- Stratum 4a Rural/Remote Census Areas - Excluding Census Tracts with Urban Clusters: within the seven sampled areas, 31 of the 45 communities were proxy canvassed.

- Stratum 5 Gulf Coast Census Areas: within the four sampled areas, 2 of 3 communities were proxy 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.*

"Field canvasing" of selected areas will be done by driving. "Proxy canvassing," as approved by SAMHSA/CSAP, will be used to canvass remote, very rural communities that Tobacco Enforcement staff are not able to field canvass, primarily because overnight lodging is not available in the community. Canvassers were instructed to identify all outlets that sell tobacco products to the general public and are accessible by youth (excluding outlets that are in private homes). The following definitions were provided to canvassers: • Tobacco products include cigarettes, cigars, smokeless tobacco products, cigarette papers, cigars, snuff, and chewing tobacco. • A youth is considered to be a person under 19 years of age. Field Canvassing Procedures: Tobacco Enforcement staff conducted the field canvassing. Research Unit staff provided field canvassers with overview and detailed map sets of the sampled areas. Area boundaries were clearly marked on the maps. If a road served as an area border, only the "inner" side of the road is canvassed for that particular area. The canvassing teams were instructed to review the maps and plan their travel route prior to canvassing. Each map had a "Notes" section for canvassing teams to write notes regarding their actual travel route. Canvassers were instructed to mark the maps to indicate the "canvass status" of each public road: canvassed roads were marked with a blue highlighter; roads not canvassed were marked with a pink highlighter. Each map had a "Roads Not Travelled" section for canvassers to document why a road was not canvassed. General canvassing instructions were as follows: • An attempt should be made to canvass all public roads within the selected sample areas. • If a road serves as a sample area border, only the "inner" side of the road should be canvassed. • If a public road is not on the map, draw it on the map and canvass the road. • If a public road (or part of a public road) cannot be canvassed for any reason, complete an entry in the "Roads Not Travelled" section; include the road name and the reason the road cannot be canvassed. If only part of the road can be canvassed, describe the location where the canvassing stopped.

• After all canvassing trips have been completed for an area, any public road (or part of a public road) that could not be canvassed should be highlighted pink on the detailed canvassing maps and documented in the "Roads Not Travelled" section."

• Before canvassers leave an area, they should conduct a "Map Review" to make sure that all public roads on the map are highlighted appropriately and all roads not canvassed are addressed in the "Roads Not Travelled" section.

• Any business establishment that is accessible by youth and has a reasonable potential for tobacco sales should be checked, unless the business establishment is within a private home.

• A "Tobacco Vendor Canvassing Form" must be completed for each business establishment (and point of sale) that is Synar eligible (i.e., the vendor sells tobacco products, is accessible by youth, and is not located in a private home). This form is used to collect vendor identification information (e.g., name and address) and Synar eligibility information.

• If a business establishment has a reasonable potential for tobacco sales but is closed at the time of canvassing, a "Tobacco Vendor Canvassing Form" must be submitted with a note that indicates follow-up confirmation is needed.

After field canvassing was completed, Research Unit staff performed the following activities:

• Reviewed each marked-up map set and accompanying notes/documentation to determine if there were any communities that were inaccessible due to road closures or unsafe travel conditions. These communities were then canvassed using "proxy canvassing" procedures.

• Reviewed each Tobacco Vendor Canvassing Form to determine if any establishments needed follow-up confirmation regarding Synar eligibility status. Field canvasing identified 149 vendors; only one vendor required follow-up. This vendor had been on previous list frames, was not currently selling tobacco products, but had indicated that they would be selling later this year. As of the end of November, this vendor has yet to obtain a tobacco endorsement and is, therefore, listed as not being on the list frame.

Proxy Canvassing Procedures:

Research Unit staff conducted proxy canvassing by talking directly to community contacts. Contacts are typically community public officials or employees, other governmental agency staff, or other organizational staff. The proxy canvasser called the community contact and asked about the contact's knowledge of tobacco vendors in the community. The contact was asked to identify tobacco vendors in the community and to confirm that each establishment was accessible by youth and not located in a private home. The proxy canvasser also worked with lists of known business establishments in the community (based on the Synar sampling frame, Synar Eligibility Survey results, and/or the DCRA community database listing of business licenses) as information resources for the proxy canvass effort. A canvasing form was completed for each community to identify vendors who were Synar eligible. In addition, a few vendors were identified as ineligible and will be removed from future list frames.

There were 47 eligible vendors identified through the proxy canvassing effort, but only 2 whose Synar eligibility status could not be confirmed via the study's list frame. It was determined that one vendor was a new business and had, around mid-year, applied for a business license and tobacco endorsement. This business will be on future list frames. A

second business was identified as “occasionally selling tobacco at the community’s bingo games.” The name given for the vendor could not be confirmed, and it was considered not to be a match to the list frame.

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.

Field canvassers used offsite and onsite confirmation to determine if an outlet sells tobacco products and is youth accessible. Field canvassers were provided the following general instructions:

1. Offsite direct knowledge-based confirmation. If a canvasser has direct knowledge (i.e., through prior tobacco enforcement or education activities) that an outlet sells tobacco products and is youth accessible, then the canvasser does not need to physically enter the vendor's premises.

2. Onsite confirmation and follow-up phone confirmation. If there is reasonable potential that an outlet sells tobacco products and is youth accessible, and the canvasser does not have direct knowledge of the outlet (as described in 1. above), then the canvasser should attempt to enter the premises and confirm eligibility status by questioning vendor staff or noting physical evidence of tobacco sales (e.g., the presence of tobacco products or advertising). If the establishment is closed at the time of canvassing, the canvasser should follow-up with a second visit or phone call. If field canvassers are not able to confirm Synar eligibility status, they should indicate on the "Tobacco Vendor Canvassing Form" that follow-up confirmation is needed. As noted earlier, Research Unit staff follow-up with these vendors or community contacts to confirm vendor Synar eligibility status.

For proxy canvassing, Synar eligibility status was determined based on information provided by the community contact. The community contact was asked if the vendor sells tobacco products, if the establishment is accessible by youth, and if the vendor is located in a private home.

There were a total of 3 vendors identified through canvassing that did not match our working list frame. One vendor is a new business and will be on future list frames. The second is a business that intends to resume tobacco sales in the future; it is expected they will be on a future list frame. An accurate status of the third business (selling occasionally at bingo

games) could not be established; the given name of the vendor was not similar to any known business in the community.

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

A "match" between a Synar eligible outlet identified through canvassing and an outlet on the Synar sampling frame was determined based on comparing the business name, physical address, and/or the business license number/endorsement number. Outlets identified through canvassing that could not be matched to the Synar sampling frame were identified as "not matched" and were classified as missing from the sampling frame.

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

Not Applicable: All strata were equally weighted.