

# **ANNUAL SYNAR REPORT**

**42 U.S.C. 300x-26**

OMB № 0930-0222

**FFY 2009**

**State: Alaska**

**FINAL v. 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](http://www.samhsa.gov)

## Table of Contents

Introduction.....	i
FFY 2009: Funding Agreements/Certifications.....	1
Section I: FFY 2008 (Compliance Progress).....	2
Section II: FFY 2009 (Intended Use).....	8
Appendix A: Forms 1–5.....	9
Appendices B & C: Forms.....	16
Appendix B: Synar Survey Sampling Methodology .....	17
Appendix C: Synar Survey Inspection Protocol .....	19
Appendix D: List Sampling Frame Coverage Study .....	21

## 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; 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 2008 Compliance Progress) and future plans to ensure compliance with the Synar requirements to reduce youth tobacco access rates (FFY 2009 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 States<sup>1</sup> 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.

---

<sup>1</sup>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) 276-2413 and ask for your respective State Project Officer, or contact your State Project Officer directly by telephone or e-mail using the directory provided in the FY 2009 Uniform Application, Appendix A. 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) 276-1422.

## **Where and when to submit the Synar report**

The Annual Synar Report (ASR) must be received by SAMHSA no later than December 31, 2008. 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.

The State must upload one copy of the report using the online Web BGAS (Block Grant Application System). States that use the Synar Survey Estimation System (SSES) must also upload one copy of SSES Tables 1-5 (in Excel) to Web BGAS. 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 format) to Web BGAS. Instructions on how to access the Web BGAS system are included in the attached cover letter.

Additionally, the State must submit one signed original of the report (including the signed Funding Agreements/Certifications), as well as one additional copy of the signed Funding Agreements/Certifications, to the Grants Management Officer at the address below:

Ms. Barbara Orlando  
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.7-1091  
Rockville, Maryland 20857

### **Overnight Mail:**

1 Choke Cherry Road, Rm.7-1091  
Rockville, Maryland 20850

## FFY 2009: 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.

<b>PUBLIC HEALTH SERVICES ACT AND SYNAR AMMENDMENT</b>	
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.	
<b>SYNAR SURVEY SAMPLING METHODOLOGY</b>	
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 2009 is up-to-date and approved by the Center for Substance Abuse Prevention.	
<b>SYNAR SURVEY INSPECTION PROTOCOL</b>	
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 2009 is up-to-date and approved by the Center for Substance Abuse Prevention.	
<b>State:</b> Alaska	
<b>Name of Chief Executive Officer or Designee:</b> William H. Hogan	
<b>Signature of CEO or Designee:</b>	
<b>Title:</b> Commissioner, Dept of Health & Social Services	<b>Date Signed:</b>
<b>If signed by a designee, a copy of the designation must be attached.</b>	

## SECTION I: FFY 2008 (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

**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.)* \_\_\_\_\_

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; upon receiving SAMHSA approval of the FFY09 ASR, state will post report on website at <http://www.hss.state.ak.us/dbh/prevention/default.htm>*

**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

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 & 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 & Social Services, Division of Behavioral Health

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

**4. Identify the State agency(ies) 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. (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.) \_\_\_\_\_

**5. Please answer the following questions regarding the State's activities to enforce the youth access to tobacco law(s) in FFY 2008 (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(ies).  
 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 <u>citations issued</u>	0	63	63
Number of <u>finest assessed</u>	12	56	68
Number of <u>permits/licenses suspended</u>	12		12
Number of <u>permits/licenses revoked</u>	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

*If "Yes" to 5d, 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 2008 (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, 4 and 5 along with the ASR submission 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.

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

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

*If No, go to Question 7g.*

**Were any certainty primary sampling units selected this year?**  Yes  No

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

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

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

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

8. **Did the State’s Synar survey use a list frame?**  Yes  No

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

a. **The calendar year of the latest frame coverage study:** 2008

b. **Percent coverage from the latest frame coverage study:** 98%

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:** 2011

**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** 5/19/08 **To** 9/30/08  
MM/DD/YY MM/DD/YY

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

(9)

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

Alaska utilized 9 individual youth inspectors for the FFY09 Synar investigations. However two of the inspectors – inspector IDs 8471 and 9636 – had birthdays during the inspection period. For the purposes of this report, the IDs associated with these inspectors include alpha characters (example: “8471a” and “8471b”) to distinguish the age difference. As such, 11 distinct youth inspector IDs are found in the data table.

c. **Fill out and attach Form 5 in Appendix A (Forms 1–5).** *(Not required if the State used the Synar Survey Estimation System (SSES) to analyze the Synar survey data.)*

## SECTION II: FFY 2009 (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 2009. 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 FFY09:

- Work with our partners in the Alaska Department of Commerce, Community and Economic Development (DOCCED), to process in a more timely manner suspensions for vendors convicted of selling tobacco to youths. Suspensions of tobacco endorsements bar vendors from selling tobacco to the public for specified periods of time.
- Continue efforts to educate vendors and communities about laws related to the sale of tobacco products to underage youth;
- Explore 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);
- 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 undercover tobacco investigations;
- Evaluate the policy of using 18 year-olds as under-age inspectors (Alaska bars the sale of tobacco products to individuals under 19 years of age); and
- Increase non-Synar tobacco enforcement and premise inspection efforts in communities with high RVR rates in the prior year, including: the Matanuska-Susitna Borough area (Wasilla, Palmer, Big Lake and Trapper Creek), Southeast Alaska (Ketchikan, Klawock and Craig) Nome, and Bethel.

The State of Alaska anticipates no changes to tobacco-related regulations in the FFY 2009.

**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)	2009
Date	12/16/2008 15:36
Data	SSES DRAFT 2008 12-16 data.xls
Analysis Option	Stratified SRS with FPC

**Estimates**

Unweighted Retailer Violation Rate	15.0%
Weighted Retailer Violation Rate	15.1%
Standard Error	2.3%
Is SAMHSA Precision Requirement met?	NO
Right-sided 95% Confidence Interval	[0.0%, 18.9%]
Two-sided 95% Confidence Interval	[10.6%, 19.7%]
Design Effect	1.2
Accuracy Rate (unweighted)	71.4%
Accuracy Rate (weighted)	71.4%
Completion Rate (unweighted)	55.0%

**Sample Size for Current Year**

Effective Sample Size	208
Target (Minimum) Sample Size	208
Original Sample Size	647
Eligible Sample Size	462
Final Sample Size	254
Overall Sampling Rate	37.3%

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

STATE: Alaska

FFY: 2009

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(%)
<b>All Outlets</b>											
1	1	300	160	N/A	N/A	165	88	86	11	12.8%	
2	2	323	200	N/A	N/A	178	110	96	16	16.7%	
3	3	553	480	N/A	N/A	304	264	72	11	15.3%	
Total		1,176	840			647	462	254	38	15.1%	2.3%
<b>Over the Counter Outlets</b>											
1	1	300	160	N/A	N/A	165	88	86	11	12.8%	
2	2	323	200	N/A	N/A	178	110	96	16	16.7%	
3	3	553	480	N/A	N/A	304	264	72	11	15.3%	
Total		1,176	840			647	462	254	38	15.1%	2.3%
<b>Vending Machines</b>											
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: 2009

Disposition Code	Description	Count	Subtotal
EC	Eligible and inspection complete outlet	254	
Total (Eligible Completes)			254
N1	In operation but closed at time of visit	5	
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	2	
N8	Run out of time	0	
N9	Other noncompletion (see below)	200	
Total (Eligible Noncompletes)			208
I1	Out of Business	10	
I2	Does not sell tobacco products	26	
I3	Inaccessible by youth	119	
I4	Private club or private residence	4	
I5	Temporary closure	0	
I6	Unlocatable	4	
I7	Wholesale only/Carton sale only	5	
I8	Vending machine broken	0	
I9	Duplicate	17	
I10	Other ineligibility	0	
Total (Ineligibles)			185
Grand Total			647

**Give reasons and counts for other noncompletion:**

Reason	Count
N9 (other noncompletion). Vendors located in communities that have 8 or fewer tobacco endorsements and that are accessible only by plane or boat. The cost to conduct Synar investigations on these vendors would have been prohibitive.	199
N9 (other noncompletion). At time of survey, vendor under suspension for selling tobacco products.	1

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

STATE: Alaska  
FFY: 2009

**Frequency Distribution**

Gender	Age	Number of Inspectors	Attempted Buys	Successful Buys
Male	14	0	0	0
	15	1	9	3
	16	1	12	2
	17	4	123	17
	18	2	19	2
	Subtotal		8	163
Female	14	0	0	0
	15	1	50	4
	16	1	7	3
	17	1	34	7
	18	0	0	0
	Subtotal		3	91
Other		0	0	0
Grand Total		11	254	38

**Buy Rate in Percent by Age and Gender**

Age	Male	Female	Total
14	0.0%	0.0%	0.0%
15	33.3%	8.0%	11.9%
16	16.7%	42.9%	26.3%
17	13.8%	20.6%	15.3%
18	10.5%	0.0%	10.5%
Other			0.0%
Total	14.7%	15.4%	15.0%

## **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: SYNAR SURVEY SAMPLING METHODOLOGY

State: Alaska  
 FFY: 2009

**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 (DOCCED), Division of Corporations, Business and Professional Licensing	3	Tobacco vendor business license and endorsement file from the Dept. of Community and Economic Development	See below.

All commercial vendors in Alaska are required by state law to be licensed through DOCCED. Tobacco vendors concurrently apply for and receive an endorsement for the sale of tobacco products. Both business license and endorsement are valid through December 31 of the year in which the license expires.

For the purposes of the Synar investigation, vendors represented on the list frame include:

- all tobacco vendors whose license/endorsement expires in the year of the Synar investigation, and
- all tobacco vendors whose license/endorsement expired as of 12/31 of the prior year, but who have not renewed in the current year. (DOCCED allows vendors to renew a license at any time in the year after a license expires.)

A complete DOCCED list frame includes an unduplicated count of approximately 1,750 tobacco vendors.

At the time of application, a vendor will identify a standardized NAICS code (North American Industry Classification System) which generally describes the type of commercial activity in which a vendor is engaged. The following table lists NAICS codes associated with commercial establishments that are not accessible by youth. As such, these vendors are excluded from a Synar sample.

NAICS description	NAICS code
Tobacco Stemming and Redrying	312210
Cigarette Manufacturing	312221
Beer and Ale Merchant Wholesalers	424810
Tobacco and Tobacco Product Merchant Wholesalers	424940
Beer, Wine, and Liquor Stores *	445310
Warehouse Clubs and Supercenters	452910
Tobacco Stores	453991
Vending Machine Operators	454210
Other Gambling Industries	713290
Drinking Places (Alcoholic Beverages)	722410
Civic and Social Organizations	813410

\* Alaska Statute 04.16.060 states that "a person under the age of 21 years may not enter licensed premises where alcoholic beverages are sold...."

Youth non-accessible vendors account for approximately 25% of the DOCCED 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 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.**

Alaska utilizes three strata based on the count of tobacco endorsements in a community. Strata are identified in the table below:

Strata	Endorsement Count by Community
Urban	50 +
Rural A	10 to 49
Rural B	1 to 9

Alaska proportionately distributes the Synar sample between the strata. For instance, urban vendors might account for 27% of a list (not including establishments non-accessible by youth). As such, 27% of the vendors in the Synar sample would be drawn from the Urban stratum.

**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.**

The SSES Sample Size Calculator is used to determine the minimum adequate sample size. To ensure the study meets SAMHSA precision requirement, a safety margin of 90% is used (10-20% is recommended)

Below is the formula for calculating a sample size using a 1-tail Student's *t* statistic:

Effective sample size:

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

where *P* is the previous year's RVR

s.e is the standard error of the estimate for 3% margin of error for one-sided confidence interval, 0.0183 for one-sided

*N* is the total number of outlets in the sampling frame.

The target sample size (N<sub>t</sub>) is the same as the effective sample size time the design effect (DE) from the previous year's survey.

The original sample size is determined by:

$$n_o = (1 + s) \frac{n_t}{r_l r_c}$$

where *s* is a safety margin, *r<sub>l</sub>* is the expected eligibility rate, and *r<sub>c</sub>* is the expected completion rate.

APPENDIX C: SYNAR SURVEY INSPECTION PROTOCOL

State: Alaska

FFY: 2009

*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(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): **The H&SS Division of Public Health (DPH) and Division of Behavioral Health (DBH)**

**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: LIST SAMPLING FRAME COVERAGE STUDY

(LIST FRAME ONLY)

State: Alaska

FFY: 2009

**1. Calendar year of the coverage study: 2008**

**2. Percent coverage found: 98%**

*(Provide calculation of the percent coverage.)*

The *Guide for a Synar Sampling Frame Coverage Study* indicates that the coverage rate “is calculated as the ratio of the total number (b) of matched outlets on the frame divided by the total number (n) of outlets found by the coverage survey (i.e., coverage rate = 100 x b/n).”

Alaska’s coverage rate thus figures at 98% (100 x 63/64).

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

The Alaska Department of Commerce, Community and Economic Development, Division of Corporations, Business and Professional Licensing maintains a master list of valid tobacco licenses/endorsements. Alaska utilizes this list of tobacco licenses/endorsements as the list frame for the Synar survey. As such, the same list was validated in the coverage study.

For the purposes of the coverage study, strata included:

Strata / #	Count of Communities	# of Tobacco Vendors	Total # of Vendors in Strata	% of All Vendors by Strata
Urban (1)	5	>= 50	685	47.3%
Rural A (2)	33	9 to 49	598	41.3%
Rural B (3)	48	<=8	164	11.3%
<b>Totals</b>			<b>1,447</b>	<b>100.0%</b>

Because it would be impractical and costly to access the strata 3 communities -- which typically are small villages not on the Alaska road system -- these communities were not included in the coverage study. For each of the strata 1 and 2 communities above, tobacco enforcement staff identified 16 areas where they might expect to find 20 to 25 tobacco outlets. Of these, three areas in strata 1 (Anchorage) and 4 areas in strata 2 (Juneau, Sitka, Kodiak and Nome) were randomly selected for canvassing. Canvassing began in February and was completed in early March 2008.

Alaska anticipated finding 140 to 175 tobacco vendors in the seven coverage study areas. However, only 64 tobacco vendors were identified. Given the small number of vendors identified in the canvas, Alaska requested that SAMSHA review preliminary coverage study results and confirm that the sample size was sufficient for the purposes of the study. In an e-mail dated March 21, 2008, Susan Marsiglia, National Synar Program Coordinator at CSAP,

indicated that the sample of 64 outlets was of sufficient size for the 2008 coverage study. As indicated in Appendix D, question 2 above, a coverage rate of 98% was associated with these vendors,

In her 3/21/08 e-mail, Ms. Marsiglia offered several suggestions to improve future coverage studies, including:

- Ensure an adequate sample size by either redefining areas to be sampled or canvassing a greater number of areas.
- Conduct the coverage study at a different time of the year (rather than February and March) so that certain areas would not be excluded from the study.

Alaska agrees with these suggestions. We anticipates that by incorporating them into the design of the next coverage study – scheduled for calendar year 2011 -- the study will more accurately reflect the coverage rate of the list frame.