

ANNUAL SYNAR REPORT

42 U.S.C. 300x-26

OMB № 0930-0222

FFY 2019

State: AR

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INTRODUCTION

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

How the Synar report helps the Center for Substance Abuse Prevention

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

How the Synar report can help states

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

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

Getting assistance in completing the Synar report

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

Where and when to submit the Synar report

The ASR must be received by SAMHSA no later than December 31, 2018 and must be submitted in the format specified by these instructions. Use of the approved format will avoid delays in the review and approval process. The chief executive officer (or an authorized designee) of the applicant organization must sign page one of the ASR certifying that the state has complied with all reporting requirements.

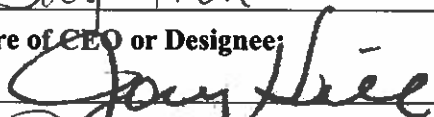
The state must upload one copy of the ASR using the online WebBGAS (Block Grant Application System). In addition, the following items must be uploaded to WebBGAS:

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

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

FFY 2019: FUNDING AGREEMENTS/CERTIFICATIONS

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

PUBLIC HEALTH SERVICES ACT AND SYNAR AMENDMENT	
42 U.S.C. 300x-26 requires each state to submit an annual report of its progress in meeting the requirements of the Synar Amendment and its implementing regulation (45 C.F.R. 96.130) to the Secretary of the Department of Health and Human Services. By signing below, the chief executive officer (or an authorized designee) of the applicant organization certifies that the state has complied with these reporting requirements and the certifications as set forth below.	
SYNAR SURVEY SAMPLING METHODOLOGY	
The state certifies that the Synar survey sampling methodology on file with the Center for Substance Abuse Prevention and submitted with the Annual Synar Report for FFY 2019 is up-to-date and approved by the Center for Substance Abuse Prevention.	
SYNAR SURVEY INSPECTION PROTOCOL	
The state certifies that the Synar Survey Inspection Protocol on file with the Center for Substance Abuse Prevention and submitted with the Annual Synar Report for FFY 2019 is up-to-date and approved by the Center for Substance Abuse Prevention.	
State:	Arkansas
Name of Chief Executive Officer or Designee:	Jay Hill
Signature of CEO or Designee:	
Title:	DIRECTOR
Date Signed:	11/28/2018
If signed by a designee, a copy of the designation must be attached.	

SECTION I: FFY 2018 (Compliance Progress)

YOUTH ACCESS LAWS, ACTIVITIES, AND ENFORCEMENT

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

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

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

Yes No

If Yes, current minimum age: 19 20 21

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

Yes No

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

- Changed to require that law enforcement conduct inspections of tobacco outlets
- Changed to make it illegal for youth to possess, purchase or receive tobacco
- Changed to require ID to purchase tobacco
- Changed definition of tobacco products
- Other change(s) (Please describe.) _____

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

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

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

- Placed on file for public review
- Posted on a state agency Web site (Please provide exact Web address and the date when the FFY 2019 ASR was posted to this Web address.)

Web address: <https://humanservices.arkansas.gov/about-dhs/dbhs/prevention-overview>

Date published: 11/28/2018

- Notice published in a newspaper or newsletter
- Public hearing

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

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

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

Arkansas Department of Human Services-Division of Aging, Adult and Behavioral Health Services (DAABHS), Arkansas Department of Health (ADH)

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

- Yes No

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

Arkansas Department of Human Service-Division of Aging, Adult and Behavioral Health Services (DAABHS), Arkansas Department of Health (ADH)

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):**

Arkansas Tobacco Control (ATC)

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).**

Division of Aging, Adult and Behavioral Health Services (DAABHS); Arkansas Tobacco Control (ATC); Arkansas Department of Health (ADH)-Center for Health Advancement-Tobacco Prevention and Cessation Program

- 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)).
Arkansas Tobacco Control (ATC)

f. Has the responsible agency changed since last year's Annual Synar Report?
 Yes No

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

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

h. Does the state use data from the FDA enforcement inspections for Synar survey reporting?
 Yes No

5. Please answer the following questions regarding the state's activities to enforce the state's youth access to tobacco law(s) in FFY 2018 (see 42 U.S.C. 300x-26 and 45 C.F.R. 96.130(e)).

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

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

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

PENALTY	OWNERS	CLERKS	TOTAL
Number of <u>citations issued</u>	20	440	460
Number of <u>fin es assessed</u>	134	N/A	134
Number of <u>permits/licenses suspended</u>	111		111
Number of <u>permits/licenses revoked</u>	0		0
Other (Please describe.) 1st violation warnings - 322 Total fine amount: \$50,900.00			

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:

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

The Arkansas Tobacco Settlement Commission established by the Master Settlement Agreement funds described in the “Tobacco Settlement Proceeds Act” is charged with the oversight and assessment of performance of six statewide programs. Arkansas Tobacco Control (ATC) receives fiduciary support from the Arkansas Department of Health (ADH) Tobacco Prevention and Cessation Program (TPCP), which is funded by the “Tobacco Settlement Proceeds Act.”

Both the ATC and the TPCP work with the Department of Human Services (DHS)/ Regional Prevention Providers (RPPs) to educate tobacco merchants throughout the state of Arkansas. The training consists of: reviewing the laws regarding sales of tobacco products to minors, providing details of what specific tobacco and vapor products are age-restricted, and explaining the penalties for violating the law. Each trainee receives an Arkansas driver’s license brochure showing how to recognize an underage ID by the color-coding and vertical format. During the class, trainees are given an opportunity to ask questions.

The RPPs collaborate with Strategic Prevention Framework Partners for Success (PFS) Youth Lead Development grantees to conduct Synar inspections and maintain compliance with state youth tobacco access laws. The RPPs also assist with the coordination and development of merchant education brochures, handouts and presentations.

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

Arkansas Tobacco Control (ATC) recognizes a job well done by sending out what is referred to as a “Good News” letter to all outlets that passed the compliance check. The letter goes to the store’s “home” office. The letter states the calendar year the compliance check occurred and passing status. This effort by ATC encourages retail management and employees to keep up the good work. In addition, each region may choose to recognize those merchants who complied with the law.

The Arkansas Department of Human Services Division of Aging, Adult and Behavioral Services (DAABHS) sends out, through the Arkansas Department of Health – Health Statistics Branch, letters to tobacco merchants included in the Synar’s sample. The “Good” letter informs merchants of successfully completing the survey designed to monitor rate of sales of tobacco products to minors. The “Bad” letter informs merchants they were found to have sold tobacco products to under age youth during the anonymous shopper survey.

Community education regarding youth access laws

Tobacco Prevention Cessation Program (TPCP) works to increase partnerships to create systems that will aid in prevention of initiation by youth. TPCP also works with multi-media communications in regards to media campaigns that are ran in the state to show the importance of limiting youth access to tobacco products. We also collaborate with AR Department of Education, AR School Board, and sub-grantees to implement Best Practice Guidelines. We actively engage youth to promote tobacco abstinence through sub-grantees and statewide youth coalitions by having them work with thought leaders in their communities to pass policy that limits the age of tobacco purchases to individuals who are 21 and older. We have all youth coalitions participate in Project Prevent activities throughout the year to show the importance of tobacco access laws as well as the harmful effects that tobacco can have on a community.

Media use to publicize compliance inspection results

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

The RPPs participate as members in local tobacco coalitions’ activities providing assistance at events such as health fairs, town hall meetings, and forums. The RPPs also support tobacco prevention presentations delivered by local coalition members at community events in the effort of increasing visibility and awareness of state tobacco youth access laws.

Other activities *(Please list.)* _____

The RPPs are working with other community stakeholders, including local municipal governments, to raise the legal age of purchasing tobacco products to 21 years. Three communities – Helena/West Helena, Phillips County and Harrison – have succeeded in raising the legal age to purchase tobacco to 21. For more information, please visit this site: <https://tobacco21.org/state/arkansas/>

SYNAR SURVEY METHODS AND RESULTS

The following questions pertain to the survey methodology and results of the Synar survey used by the state to meet the requirements of the Synar Regulation in FFY 2018 (see 42 U.S.C. 300x-26 and 45 C.F.R. 96.130).

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

Yes No

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

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

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

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

Yes No

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

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

Unweighted RVR _____

Weighted RVR _____

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

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

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

Accuracy rate _____

Completion rate _____

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

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

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

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

- Yes No No stratification

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

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

- Yes No

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

If No, go to Question 7g.

Were any certainty primary sampling units selected this year?

- Yes No

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

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

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

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

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

Yes No

If Yes, answer the following questions about its coverage.

a. The calendar year of the latest Sampling frame coverage study: 2018

b. Percent coverage from the latest Sampling frame coverage study: 100%

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: 2021

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**

N/A

b. **Provide the inspection period: From 02/24/2018 to 05/31/2018**
MM/DD/YY MM/DD/YY

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

75

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

N/A

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

SECTION II: FFY 2019 (Intended Use):

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

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

- Synar sampling methodology Yes No
Synar inspection protocol Yes No

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

2. Please describe the state's plans to maintain and/or reduce the target rate for Synar inspections to be completed in FFY 2019. Include a brief description of plans for law enforcement efforts to enforce youth tobacco access laws, activities that support law enforcement efforts to enforce youth tobacco access laws, and any anticipated changes in youth tobacco access legislation or regulation in the state.

Arkansas continues to work hard in its efforts to reduce youth access to tobacco and to enforce laws related to sales of tobacco products to minors. Arkansas has strong enforcement of underage tobacco laws through the large number of compliance checks that are conducted annually by the Arkansas Tobacco Control (ATC). A graduated penalty system for violation of laws related to tobacco sales to minors has been in place for several years.

With the rise of penalty costs during the program's lifetime, retailers have made a conscious effort to educate their employees about the current tobacco legislation. The Arkansas Tobacco Control program offers a certified training program for retailers who meet a high performing criterion. All sales to minor violations remain on the store's record for 48 months. ATC requires all employees of that retail location complete training in legal tobacco sales by ATC within six months.

Penalties increase for each offense within the 12-month post-violation period. From October 1, 2017 to September 30, 2018, there were 134 fines, totaling \$50,900.00.

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

- Limited resources for law enforcement of youth access laws

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

- Limitations in the state youth tobacco access laws

- Limited public support for enforcement of youth tobacco access laws

- Limitations on completeness/accuracy of list of tobacco outlets

- Limited expertise in survey methodology

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

- Difficulties recruiting youth inspectors

The Regional Prevention Providers (RPPs) are challenged by recruiting youth inspectors and lack of parental consent. It is often an arduous task to identify and recruit willing youth who appropriately reflect the demographics of the youth in a particular community to assist with compliance inspections. Parents often are apprehensive about allowing their children to participate in the inspection process. To avoid alienation, parents often request that children conduct inspections in a county outside of the one they reside in but within the same region. The Division of Aging, Adult and Behavioral Health Services has continued to encourage the RPPs responsible for conducting youth inspections to network with youth focused agencies to build relations and increase recruitment.

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

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

- Geographic, demographic, and logistical considerations in conducting inspections

A challenge we are unable to avoid is geographic, demographic, and logistical land barriers and large distances between outlets. Arkansas is a rural state comprised of small towns and diverse terrain, both of which directly have an impact on Synar efforts. As there are often large distances between outlets, conducting an inspection of a single outlet demands extensive effort, in terms of time and cost. For example, to access bait and tackle stores located on a peninsula on the Arkansas Lake, RPP Representatives and youth inspectors must either access the outlet by boat or drive

across the state line into Missouri and then turn down to the tip of the peninsula. It is impossible to access this remote site without being conspicuous. The Division of Aging, Adult and Behavioral Health Services, recommends that RPPs responsible for conducting the Synar survey allow more travel time for remote locations, and begin inspections the moment the Synar timeframe opens.

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

The diverse ethnicity among the state population introduces a cultural challenge. As the Hispanic population of Arkansas continues to increase, so do the number of Spanish-speaking establishments. In many cases, a sales clerk may speak only Spanish and the youth may not speak Spanish. The language barrier makes it impossible to complete the compliance check. Diversity and cultural trainings are offered to the RPPs by DAABHS to enable them to provide services to different ethnic groups, including the Latino population. The RPPS efforts to build relationships in ethnically diverse communities increase the likelihood of recruiting bilingual teens to conduct Synar checks. In addition, community members within small towns and rural areas are familiar with each other; strangers or people of a different ethnicity stand out. Local tobacco retailers are much less likely to sell to customers who may be considered "outsiders."

- Issues regarding sources of tobacco under tribal jurisdiction

- Other challenges (*Please list.*) Lack of parental consent

Some youth program providers do not accept the concept of "compliance inspections." Without the support of these programs, a parent is less likely to allow his/her son or daughter to participate in compliance checks.

APPENDIX A: FORMS 1–5

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

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

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

Column 1: *If stratification was used:*

1(a) Sequentially number each row.

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

If no stratification was used:

1(a) Leave blank.

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

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

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

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

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

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

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

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

FORM 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: 2019

(1) STRATUM		(2) NUMBER OF OUTLETS IN SAMPLING FRAME			(3) ESTIMATED NUMBER OF ELIGIBLE OUTLETS IN POPULATION			(4) NUMBER OF OUTLETS INSPECTED			(5) 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 to calculate the weighted RVR. This table (in Excel form) is designed to calculate the weighted RVR for stratified simple or systematic random sampling designs, accounting for ineligible outlets and noncomplete inspections encountered during the annual Synar survey.

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

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

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

Calculation of Weighted Retailer Violation Rate

State: _____
 FFY: 2019

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

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

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

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

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

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

Column 1: Sequentially number each row.

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

Synar Survey Inspector Characteristics		
		State: _____
		FFY: 2019
	(1) Attempted Buys	(2) Successful Buys
Male		
15 years		
16 years		
17 years		
18 years		
19 years		
20 years		
Male Subtotal		
Female		
15 years		
16 years		
17 years		
18 years		
19 years		
20 years		
Female Subtotal		
Other		
Total		

APPENDIXES B & C: FORMS

Instructions

Appendix B (Sampling Design) and Appendix C (Inspection Protocol) are to reflect the state's CSAP-approved sampling design and inspection protocol. These appendixes, therefore, should generally describe the design and protocol and, with the exception of Question #10 of Appendix B, are not to be modified with year-specific information. Please note that any changes to either appendix must receive CSAP's advance, written approval. To facilitate the state's completion of this section, simply cut and paste the previously approved sampling design (Appendix B) and inspection protocol (Appendix C) and respond to Question #10 of Appendix B to provide the requested information about sample size calculations for the Synar survey conducted in FFY 2018.

APPENDIX B: SYNAR SURVEY SAMPLING METHODOLOGY

State: Arkansas
 FFY: 2019

1. What type of sampling frame is used?

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

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

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

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

Name of Frame Source	Type of Source	Description	Updating Method and Cycle
Statewide Tobacco License/Permit List	3	Arkansas Tobacco Control provides a comprehensive list of all tobacco license/permits	Each fiscal year a sample of retail and vending tobacco license permits is requested.

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

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

- Yes No

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

_____%

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

- Yes No

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

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

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

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

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.

The state is geographically divided stratified into 13 strata or 13 Prevention Resource Regions. These 13 regions are contiguous clusters of counties. This represents the first sampling 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 multistage clusters are used, give definitions of clusters at each stage.)**

Each of the thirteen regions is divided into clusters or Primary Sampling Units (PSUs). Each PSU may be a single county or a fraction of a county based on a longitude. Each PSU will have several tobacco retail outlets.

- 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.**

There are two parts to arriving at the Arkansas Synar Sample.

First, The completion of the sample size calculation. This provides: (a) Effective Sample Size; (b) Target Sample Size; and (c) Original Sample Size. This satisfies the statutory required Sample Size Calculation.

Inputs are:

3,871 Total retail outlets in Arkansas Tobacco Control Board database
 0.026 Weighted non-compliance rate from previous year
 0.895 Weighted accuracy rate from previous year
 0.988 Unweighted completion rate from last year
 1.645 Confidence level, one sided
 0.03 Tolerable error: (1/2 confidence interval)
 1.53 Design effect ($[1 + (\text{Average cluster size} - 1) * \text{Intra-class correlation}] * (1 + \text{Coefficient of Variance of baseweight from previous year's sample})$).

Second, is the completion of the Arkansas Synar Field Sample. This process consists of two steps. **Step 1**: The sample frame consists of total number of retail outlets in the Arkansas Tobacco Control database, including both Over-the-Counter and vending machine outlets. Using simple random sampling 6 PSUs are selected from each region or sampling stratum. This will produce 78 clusters.

Step 2: Tobacco outlets are selected by simple random sampling at a sample rate of .545 from those PSUs selected in Step 1. For FFY 2019, this produced a sample size of 518 outlets or observations.

By this process, Arkansas field sample aims to over sample tobacco outlets by approximately twice the sample size (i.e. Target Sample Size + 10% Reserve) produced by the statutory required Sample Size calculation.

For FFY 2019, the statutory required Sample Size Calculation produced a target sample of 170 with a 10% reserve of 211 outlets.

The field final sample size is of 518 more than twice the 10% reserve size of 211 outlets.

A random sampling methodology of approximately 55% of the vendors within each PSU is pulled. This resulted in the total sample size of 518 observations.

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

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

Yes (Respond to part b.)

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

b. SSES Sample Size Calculator used?

State Level (Respond to Question 10a.)

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

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

Effective sample size = $n = n' = n / (1 + (n/N))$;

N = population size (total outlets) (3871)

$n = p(1-P) / (0.0182)^2$

p = violation rate from the previous year's survey (0.026)

The denominator 0.0182 is based on a 3% tolerance of a one-sided 95% Confidence Interval.

Target sample = $nt = deff * n'$; where

Design effect (Deff) = $\{1 + (m-1)\rho\}(1 + CVw)$,

m = average cluster size (2.18), (computed from target sample size / number of clusters)

ρ = intra-class correlation (0.05), (an a priori estimate)

CVw = Coefficient of Variation of the sample weights (0.445), (CV of baseweight from previous year's sample)

Original sample size = $no = nt / rarc$; where

ra = accuracy rate from previous year (0.895)

rc = completion rate from previous year (0.988)

NOTE: The actual original sample size drawn in the field is often much larger than the calculated original sample size to allow for geographic/PRC Region comparisons.

Design effect used in the calculations:

$Deff = (1 + n-1)\rho(1 + V)$, where n is the average cluster size, ρ is the intra-class correlation, and V is the coefficient of the variation of weights.

Average cluster size, n , is the target sample size/number of clusters, ρ is estimated a priori as 0.05, and V is computed from the previous year's sample.

Note:

These Sample Size calculations produced:

Ideal Sample Size: 76

Effective Sample Size: 75

Target Sample Size: 170

Original Sample Size: 192
With 10% Reserve: 211

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

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

Inputs for Effective Sample Size:

RVR:

Frame Size:

Input for Target Sample Size:

Design Effect:

Inputs for Original Sample Size:

Safety Margin:

Accuracy (Eligibility) Rate:

Completion Rate:

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

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

- a. 3,871 Total retail outlets in Arkansas Tobacco Control Board database
b. 0.026 Weighted non-compliance rate from previous year
c. 0.895 Weighted accuracy rate from previous year
d. 0.988 Unweighted completion rate from last year
e. 1.645 Confidence level, one sided
f. 0.03 Tolerable error: (1/2 confidence interval)
g. 1.53 Design effect ($[1+(Average\ cluster\ size-1)*Intra-class\ correlation]* (1+ Coefficient\ of\ Variance\ of\ baseweight\ from\ previous\ year's\ sample))$).

APPENDIX C: SYNAR SURVEY INSPECTION PROTOCOL SUMMARY

State: Arkansas

FFY: 2019

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

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

a. Consummated buy attempts?

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

b. Youth inspectors to carry ID?

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

c. Adult inspectors to enter the outlet?

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

d. Youth inspectors to be compensated?

- Required
- Permitted under specified circumstances (Describe: Regional Prevention Providers may provide youth with gift cards up to \$30, in accordance with SAMHSA guidelines. The gift cards are not used for recruitment purposes but as a token of appreciation for participating in the Synar checks.)
- 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): Preferred Family Healthcare, Inc. dba Decision PT; North Arkansas Partnership for Health Education; Preferred Family Healthcare, Inc. dba Health Resources of Arkansas; Crowley's Ridge Development Council; Harbor House, Inc.; Community Service, Inc.;
CHI St. Vincent; Family Service Agency, Inc.; Community Empowerment Council, Inc.; Phoenix Youth & Family Services

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 Bidis

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

The Regional Prevention Providers (RPPs) are trained to identify what type of products and what brands of products should be requested during an inspection of the tobacco retail outlet. Once the youth inspectors and the adult supervisors are selected, all youth inspectors are in turn trained in the compliance check methodology and protocol by the RPPs.

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

The Division of Aging, Adult and Behavioral Health Services is responsible for coordinating the annual Synar training to provide adequate training to all Regional Prevention Providers (RPPs). The RPPs are responsible for recruiting and training all youth inspectors and adult supervisors. Adult volunteers who wish to supervise inspections may attend annual Synar training and may be involved in the recruiting and training all youth inspectors and any additional adult supervisors.

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

Regional Prevention Providers recruit youth inspectors between the ages of 15 and 16 years and adult supervisors from his or her region at county and/or local level. RPPs may also recruit youth inspectors and adult supervisors from the Division of Aging, Adult and Behavioral Health Services funded grant programs.

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.)

Arkansas legislation (ACA 5-27-227) states that it shall not be an offense if the minor was acting at the direction of an employee or authorized agent of a governmental agency authorized to enforce or ensure compliance with Arkansas laws relating to the prohibition of the sale of tobacco products in any form, or cigarette papers to such minors. The Synar youth inspectors are under the auspices of an authorized agent.

b. Procedural

Yes No

(If Yes, please describe.)

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.)

If the selected location is deemed unsafe by the adult supervisor and/or the location denies admission to individuals under the age of eighteen (18) or twenty-one (21) years of age, then the check should not be conducted.

The Division of Aging, Adult and Behavioral Health Services provides authorized adults to accompany youth inspectors on inspections during the specific period as a safety protocol and for quality control.

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.)

1. Obtain parental consent for each youth participating in the survey.
2. Youth inspectors must state their correct age if asked by the clerk to provide it.

b. Procedural

Yes No

(If Yes, please describe.)

1. Only adolescents aged 15-16 will be recruited to conduct the study.
2. Efforts are made to ensure that the age, race, and gender distribution of youth participants reflect the distribution of the county.
3. Attempt to recruit enough youth so that no youth makes more than 9 visits.
4. Youth should look and dress their age.
5. Record data on youth participants and adults on appropriate sheets.
6. Fax copies of parental consent forms to the Arkansas Department of Health (ADH) and the Division of Aging, Adult and Behavioral Health Services (DAABHS) for review and approval.
7. Provide adult volunteers assisting in the checks with authorization letters.
8. Each participant, who attempts to or is successful in completing a purchase, initials the survey form.
9. All survey forms must be returned to the ADH, regardless of the result of the visit.
10. Youth inspectors do not take their identification cards into the outlet.
11. Youth inspectors should not attempt a purchase in an outlet where there is an individual present that the youth knows.

APPENDIX C: SYNAR INSPECTION PROTOCOL

Youth Recruitment

1. Only adolescents ages 15-16 will be recruited to conduct the study.
2. The age, race, and gender distribution of youth participants should reflect the distribution of the county.
3. Attempt to recruit enough youth so that no youth should make more than 9 visits.
4. Youth should look and dress their age.

Youth Training ~ Documenting Participants

1. Record data on youth participants and adults on appropriate sheets.
2. Obtain parental consent for each youth participating in the survey.
3. Fax copies of parental consent forms to the Arkansas Department of Health (ADH) and ADH will review with Division of Aging, Adult and Behavioral Health Services (DAABHS) for approval.
4. Keep parental consent forms on file at the agency conducting the checks.
5. Provide adult volunteers assisting in the checks with authorization letters from DHS/DAABHS.
6. Be sure that each participant has initialed the form. Form should be signed irrespective of whether there was a purchase or not.
7. Return every single outlet form to ADH Health Statistics, regardless of visit or non-visit.

Training of Minors

1. Remind of the purpose and goal of the survey.
2. Make sure that all participants understand the procedures and protocol.
3. Review how to make a "buy".
4. Instruct youth not to take their IDs into the outlet.
5. Instruct youth that if the clerk asks his/her age, the youth is to give his/her exact age.
6. Instruct youth not to attempt to purchase tobacco in stores if they know someone who works there or is present at the time of visit.
7. Prepare participants for what to expect.
8. Review the inspection forms and how they are to be completed.

APPENDIX C: SYNAR INSPECTION PROTOCOL

Reasons for Ineligibility or Non-Visit

- Does not sell
- Inaccessible to youth
- No longer in business
- Unable to locate
- Not open during day
- Seasonal business
- Restricted Access
- Unsafe
- Broken vending machine

Data Collection ~ Over the Counter

1. The adult volunteer will locate and drive the youth volunteer to the establishment designated for OTC inspection.
2. The adult volunteer will park out of sight.
3. The youth volunteer will enter the establishment. The youth will not take forms into the store.
4. If the tobacco products are located away from the counter, the youth will choose a particular product and carry it to the clerk for check out.
5. If the tobacco products are located behind the counter, the youth will ask the clerk for assistance in obtaining the product.
6. The youth can choose to purchase other items, such as gum or candy, along with the tobacco product.
7. If the clerk asks the youth volunteer his/her age, the youth volunteer will give his exact age.
8. If the clerk makes the sale, the youth volunteer will take the tobacco product from the establishment, return to the car, give the product to the adult volunteer and provide the necessary information to complete the inspection form.
9. The adult volunteer will document all tobacco products purchased with the outlet code on the pack and date of purchase.
10. If the clerk refuses the sale, the youth will leave the establishment and note that there was no sale on the inspection form.
11. Forward to Arkansas Department of Health (ADH) all properly labeled tobacco products purchased as a result of Synar compliance checks and ADH will review with Division of Aging, Adult and Behavioral Health Services (DAABHS) for approval.
12. Fax a copy of completed inspection form denoting a sale to the Arkansas Tobacco Control Board.

APPENDIX D: LIST SAMPLING FRAME COVERAGE STUDY

(LIST FRAME ONLY)

State: Arkansas

FFY: 2019

1. **Calendar year of the coverage study:** 2018

2. a. **Unweighted percent coverage found:** 100%
b. **Weighted percent coverage found:** 100%
c. **Number of outlets found through canvassing:** 230
d. **Number of outlets matched on the list frame:** 230

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

Census Tract

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.**

Twenty-six census tracts were randomly selected by using a SAS program and specifying the selection of two tracts per RPP region.

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

This calendar year's (or FFY 2019) Synar Survey provided us with an estimate of 3871 eligible tobacco outlets in the State of Arkansas. Based on a total of 624 census tracts (1 tract is not populated), there are 6.213 eligible outlets per populated census tract. A coverage study would require 22 census tracts to achieve a sample size of 130 and 34 census tracts to achieve a sample size of 200; the minimum and maximum sample sizes recommended by SAMHSA. As there are thirteen (13) Prevention Resource regions, a random selection of 2 census tracts per region would yield a sample size of approximately 162 eligible outlets.

Twenty-six census tracts were randomly selected using the SAS[®] PROC SURVEYSELECT procedure and specifying the selection of two tracts per Prevention Resource region. ArcMap 10.4 was used to create detailed maps.

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

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

Yes No

6. Were all sampled areas visited by canvassing teams?

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

a. Was the subset of areas randomly chosen?

Yes No

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

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

Yes No

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

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

Yes No

If No, respond to Question 9.

If Yes, describe any instructions given to the field observers to ensure the entire area was

canvassed, then go to Question 10.

See attached Appendix D: Synar Coverage Survey CY2018/FFY2019 Canvassing Instructions and Synar Coverage Study Field Instructions

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 observers/canvassers enter all stores and shops and visibly check for tobacco products. If no tobacco products are seen, the field observer/canvasser verbally checks with clerk/store attendant if tobacco products are sold.

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

Retail outlets are matched by the business license number.

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

$100 \times (\text{number of matched outlets} / \text{total number of outlets found by coverage study})$

$100 \times (230/230) = 100\%$

Note: The results of the Coverage Study yielded 230 tobacco outlets, with 226 tobacco outlets described as accessible to youth. All 230 establishments could be matched to the Arkansas Tobacco Control (ATC) list of licensed tobacco vendors that form the sampling frame for the Synar Survey. Therefore, the sampling frame of the Synar Survey has an estimated coverage rate of 100%. Find attached an excel spreadsheet with study results, copies of maps and log sheet.

SYNAR COVERAGE SURVEY (CY2018/FFY2019)
Canvassing Instructions

CONTENTS OF CONVASSING PACKET

1. Each Prevention Resource Center (PRC) region will receive one or two coverage study packets.
2. Each packet consists of the following:
 - a. Maps of census tract;
 - b. Log sheets (You may make more copies of the log sheet if required);
 - c. Postage-paid return envelopes;
 - d. Instruction sheet.

DESCRIPTION OF MAPS

Maps consist of the following:

- Statewide map that shows the location of the census tract in relation to neighboring parts of the state.
- Local map that shows the location of the census tract in relation to other local areas.
- Close up maps (there may be more than one close up map per census tract). These show the streets, roads, parks, malls or other locations that will be canvassed.

MAP LEGEND

	COUNTY
	CENSUS TRACTS
	HYDROGRAPHY / WATER
	CITY

CANVASSING DIRECTIONS

1. Each PRC must provide needed staff to travel
2. Canvasser must travel all routes (streets, roads, parks, mall) in selected census tract
3. Canvasser must physically enter all stores/shops, etc.
4. Each canvasser must **record only tobacco outlets** found using log sheet provided
 - Note: Canvasser must stay within the red sand area (i.e. census tract).
 - Note: Where the red line falls on a street, canvasser must canvass the side of the street **on the inside** of the census tract only.

COMPLETING LOG SHEETS

- Log sheet must be fully completed!!!
 - *** PRC Region, Name of County, and Census Tract number are already provided.
 - Name of canvasser
 - Date of canvass
 - Outlet details
 - Name of outlet
 - Address of outlet
 - Type of business
 - Accessible to youth? Is the outlet accessible to youth? If not, note why!
 - Area Code and Telephone Number (Provide this information if possible)
 - Tobacco License Number (Provide this information if possible)
- *** Return completed log sheets in business envelopes included in the packets.

FREQUENTLY ASKED QUESTIONS

What is a coverage study?

A coverage study is a type of survey conducted to measure the coverage or completeness of the list frame.

Why do we need to conduct a coverage study?

Previously, states have used inaccurate and incomplete lists of tobacco retailers to select random samples of outlets to inspect.

What is the purpose of a coverage study?

The coverage study aims to reduce the potential for bias in the estimation of retailer violation rates.

What is an eligible outlet?

An eligible outlet is one that sells tobacco.

What are the green markings on the maps?

The bright green markings indicate city limits.

What are the red lines on the maps?

The red lines indicate the boundaries of a census tract.

What are reasons why an outlet may not be accessible to youth?

- Outlet is a private club or residence.
- Wholesale or carton sale only.