

# **ANNUAL SYNAR REPORT**

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

OMB № 0930-0222

**FFY 2013**

**State: Arkansas**

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## INTRODUCTION

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

Public reporting burden for the collection of information is estimated to average 15 hours for Section I and 3 hours for Section II, including the time for reviewing instructions, completing and reviewing the collection of information, searching existing data sources, and gathering and maintaining the data needed. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing the burden, to SAMHSA Reports Clearance Officer; Paperwork Reduction Project; 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 05-31-2013.

### **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 2012 Compliance Progress) and future plans to ensure compliance with the Synar requirements to reduce youth tobacco access rates (FFY 2013 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 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.

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<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 email. 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, 2012. 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 ASR using the online WebBGAS (Block Grant Application System). In addition, the following items must be uploaded to WebBGAS:

- FFY 2013 Synar Survey Results: States that use the Synar Survey Estimation System (SSES) must upload one copy of SSES Tables 1–5 (in Excel) to WebBGAS. 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) 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.

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

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:

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 2013: 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 AMENDMENT</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 2013 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 2013 is up-to-date and approved by the Center for Substance Abuse Prevention.	
<b>State:</b>	
<b>Name of Chief Executive Officer or Designee:</b>	
<b>Signature of CEO or Designee:</b>	
<b>Title:</b> _____	<b>Date Signed:</b> _____
<b>If signed by a designee, a copy of the designation must be attached.</b>	

## SECTION I: FFY 2012 (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 attach a photocopy of the law to the hard copy of the ASR and also 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

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 and the date when the FFY 2013 ASR was posted to this 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 (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:**

Division of Behavioral Health Services (DBHS), Arkansas Department of Human Services (DHS)

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

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

Division of Behavioral Health Services (DBHS)

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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) Board

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

**4. 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 Behavioral Health Services (DBHS), ATC, and Center for Health Advancement (Arkansas Department of Health)

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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 2012 (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 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>	317	304	621
Number of <u>fin es assessed</u>	103	NA	103
Number of <u>permits/licenses suspended</u>	29		29
Number of <u>permits/licenses revoked</u>	0		0
Other <i>(Please describe.)</i> 214 – 1 <sup>st</sup> offense warnings 103- Fines totaling \$34,300.00			

**c. Which one of the following best describes the level of enforcement of 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.

**d. Did every tobacco outlet in the State receive at least one enforcement compliance check in the last year?**

- Yes
- No

**e. 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., nonenforcement compliance checks in which compliant retailers are given positive reinforcement and noncompliant retailers are warned about youth access laws)
- Community education regarding youth access laws
- Media use to publicize compliance inspection results
- Community mobilization to increase support for retailer compliance with youth access laws
- Other activities *(Please list.)* Arkansas Tobacco Control Board(ATC) is predominantly funded through a Memorandum of Agreement with the Arkansas Department of Health's (ADH) Tobacco Prevention and Cessation Program (TPCP) and works with the Division of Behavioral Health Services (DBHS) Prevention Resource Centers (PRCs) to provide tobacco merchant education throughout the state of Arkansas. The training consists of reviewing the sales to minors law and explaining the penalties for violating the law. The training also covers what specific items are age restricted according to the law. Each student receives a driver's license brochure showing how to recognize an underage ID by the color coding and vertical format. The class gives each student an opportunity to ask any questions that they might have.

*The Arkansas Tobacco Control Board has been awarded a one year contract for services which includes data collection to be utilized by the Food and Drug Administration for regulatory activity.*

*ATCB recognizes a job well done by sending out what is called a "good news" letter within 24 hours of a passed compliance check. The letter is generated and mailed to the store's home office stating the date and the time the check occurred and that the store passed. The letter encourages management and their employees to keep up the good work.*

*DBHS's PRCs provide merchant education in their regions to assist with reducing sales of tobacco to underage youth. Also, each region may choose to have the list of merchants who did not sell to youth during the Synar checks reported in their local paper to recognize and congratulate those who were in compliance with the law. PRCs also participate as members in their local tobacco coalitions.*

*In local communities throughout the state, ADH's Hometown Health Initiative, as well as ADH/TPCP's funded coalitions help to promote tobacco prevention. ADH/TPCP's community-based coalitions' media activities include print and radio advertising, billboards, letters to the editor, and press releases on topics involving the dangers of tobacco use and secondhand smoke as well as promotion of the Arkansas Tobacco Quitline and local tobacco cessation resources. All of the coalitions work with their local news media and a small percentage of the coalitions also do local advertising.*

*Through the Master Settlement Agreement (MSA), the Arkansas Department of Health, Tobacco Prevention and Cessation Program (TPCP) supports local prevention and cessation efforts. The statewide tobacco counter-marketing activities, branded as SOS (“Stamp Out Smoking” and “Smokeless isn’t Harmless”), include paid print, radio, and television advertising on topics involving the dangers of tobacco use and secondhand smoke and promote use of the Arkansas Tobacco Quitline. The paid advertising targets both young and adult audiences, particularly urging them to call the Quitline. Other health communication intervention activities include press releases, radio/television news stories, editorials, and event sponsorships (state and county fairs and other county festivals). These messages are strategically designed to target specific demographics through grassroots efforts as well as various types of media, such as print, television, radio, and internet. SOS has been instrumental in building favorable outcomes through its tobacco counter-marketing campaign. Since the inception of SOS, media recall for the Stamp Out Smoking brand is 80% in a 2010 survey. Additional indicators of success are the numbers of Public Services Announcements, community events, and media advertisement funds leveraged.*

*Since fiscal year 2003, local coalitions and community-based tobacco control programs have been funded. These programs are responsible for engaging youth in developing and implementing tobacco control interventions; developing partnerships with local organizations; conducting educational programs for young people, parents, enforcement officials, community and business leaders, health care providers, school personnel, and others; promoting governmental and voluntary policies to strengthen the Clean Indoor Air Act, restricting access to tobacco products, promoting cessation treatment and achieving other policy objectives; and educating on successful health initiatives regarding tobacco prevention.*

*Since fiscal year 2003, school-based and youth programs have been funded. These programs have been responsible for providing evidence-based tobacco prevention programs including curricula for all grade levels K-12 and while implementing comprehensive tobacco control policies in all the funded schools. While these programs have been successful, in fiscal year 2008, a coordinated school health initiative was implemented. The Coordinated School Health Initiative is a collaborative effort designed to provide children with the education, environment, and services necessary for optimal health and academic outcomes.*

The Youth Leadership Initiative (YLI) is a program of Family Service Agency funded in part by Arkansas Department of Health as a statewide tobacco control youth movement committed to preventing the initiation of tobacco use among youth and reducing the use of tobacco products. The YLI program provides youth with opportunities to increase their knowledge on the harmful effects of tobacco use. The YLI develop and implement a counter-marketing campaign against the use of tobacco products. The YLI carried out through three interconnection programs: The Tobacco Control Youth Board, the YES Team,

and Team YES Speaks. Currently there are 25 Y.E.S! Team leaders with more than 2,500 Y.E.S! Team members across the state.

*Briefly describe all checked activities:*

- f. 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 5f, 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:*

- g. Please describe the relationship between the State’s Synar program and the Food and Drug Administration-funded enforcement program:

There is no relationship between the Food and Drug Administration-funded enforcement program and the State’s Synar program.

### 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 2012 (see 42 U.S.C. 300x-26 and 45 C.F.R. 96.130).

6. Has the sampling methodology changed from the previous year?  Yes  No

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

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

- a. Did the State use the optional Synar Survey Estimation System (SSES) to analyze the Synar survey data?  Yes  No

*If Yes, attach SSES summary tables 1, 2, 3, and 4 to the hard copy of the ASR and upload a copy of SSES tables 1–5 (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.

$$\underline{\hspace{2cm}} + \frac{(1.645}{(1.645} \times \underline{\hspace{2cm}} = \underline{\hspace{2cm}}$$

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
<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 noncompletion)	
<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:** 2012

**b. Percent coverage from the latest 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:** 2015

**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** 03/10/12 **to** 05/03/12  
MM/DD/YY MM/DD/YY

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

93

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.

**c. 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 2013 (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 2013. 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 effort to reduce youth access to tobacco. 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) Board. During the period of October 1, 2011 through September 30, 2012, ATC conducted 3413 compliance checks at 2585 different locations.

ATC has continued conducting sales-to-minor saturations where several agents perform compliance checks simultaneously in one area. These saturations result in more accurate compliance check results because it does not give stores the opportunity to alert neighboring stores that ATC is in the area.

Sales-to-minor violations stay on a store's record for 48 months. For each offense in that 48 month period, penalties escalate. As a result, retailers with multiple sales-to-minor violations face more severe penalties. A total of \$32,300 in fines was issued this year, including 29 suspensions totaling 92 days.

As penalties have increased over time, retailers have begun to work harder to equip their employees with the tools and knowledge necessary to make responsible tobacco sales. ATC continues to offer a certified training program for retailers who go above-and-beyond in their training efforts. A total of 22 companies, covering 239 stores have applied and met the criteria for this since it was first offered in 2006. Many other retailers have their employees attend regional merchant education seminars conducted by ATC. During the period of October 1, 2011, through September 30, 2012, 25 regional trainings and 20 individual store trainings were held, with a total of 1,219 employees in attendance. When a store reaches a

third offense the Board requires all employees of that location to attend training in the next six months. There have been 70 stores required to attend training, since July 2007.

ATC plans to continue its enforcement and training efforts around the state that has led to the success that we have experienced. In the coming year, we plan to conduct approximately 5,000 compliance checks and at least 40 regional training sessions at locations around the state.

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

*Briefly describe all checked challenges and propose a plan for each, or indicate the State's need for technical assistance related to each relevant challenge.*

A.) It is frequently difficult to identify and recruit willing youth who appropriately reflect the demographics of the youth in a particular community to assist with the compliance inspections. Furthermore, parents often do not want their children involved in the inspection process. Often, when parents do agree, they require that their child conduct inspections in communities other than their own. Parents are concerned that their child might be stigmatized by neighbors or friends who witness an attempt to purchase tobacco products. DBHS will continue to encourage Prevention Resource Coordinators responsible for conducting the survey to strengthen their working relationship with youth serving agencies, organizations, and schools as this will facilitate youth recruitment.

B.) Arkansas is basically 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 a bait and tackle store located on a peninsula on the Arkansas lake, PRC Coordinators and youth inspectors must either access the outlet by boat or drive across the state line into Missouri and then turn down the tip of the peninsula. It is impossible to access this

remote site without being conspicuous. DBHS recommends that PRC Coordinators responsible for conducting the Synar survey allow more travel time to remote locations, and also to begin inspections the moment the Synar inspection time opens. PRC Coordinators should strive to recruit youth who are familiar with the remote locations so that they do not appear to be so "out of place" when entering an outlet.

C.) In rural areas and small towns, strangers or people of a different race stand out. Also, local residents are familiar to tobacco merchants. In such areas, merchants are much less likely to sell to customers who may be considered "outsiders". PRC Coordinators are to do all that they can to ensure that the youth used for the checks "fit in" with the demographic of the area.

D.) As the Hispanic population of Arkansas continues to increase, so do the number of Spanish-speaking establishments. In many of these establishments, the sales clerk can only speak Spanish. Thus, there may be instances in which an inspection cannot be completed as a youth inspector is unable to communicate with the store clerk. DBHS encourages the PRC Coordinators to work with other agencies and/or organizations that serve the Hispanic population to recruit Hispanic youth for compliance checks.

## APPENDIX A: FORMS 1–5

**SSES Table 1 (Synar Survey Estimates and Sample Sizes)**

### CSAP-SYNAR REPORT

State	AR
Federal Fiscal Year (FFY)	2013
Date	12/21/2012 10:28
Data	SSEsv4_DataEntryTemplate_Cluster.xlsx
Analysis Option	Stratified Clustered with FPC

### Estimates

Unweighted Retailer Violation Rate	3.7%
Weighted Retailer Violation Rate	3.3%
Standard Error	0.7%
Is SAMHSA Precision Requirement met?	YES
Right-sided 95% Confidence Interval	[0.0%, 4.5%]
Two-sided 95% Confidence Interval	[1.9%, 4.8%]
Design Effect	0.9
Accuracy Rate (unweighted)	85.1%
Accuracy Rate (weighted)	85.2%
Completion Rate (unweighted)	98.2%

### Sample Size for Current Year

Effective Sample Size	147
Target (Minimum) Sample Size	229
Original Sample Size	582
Eligible Sample Size	495
Final Sample Size	486
Overall Sampling Rate	14.9%

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

STATE: AR  
FFY: 2013

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	385	174	29	6	47	35	34	2	5.0%	
10	10	179	218	14	6	42	41	41	6	14.7%	
11	11	202	211	16	6	42	34	33	1	1.9%	
12	12	213	233	16	6	50	44	42	2	4.2%	
13	13	148	223	12	6	46	42	40	0	0.0%	
2	2	336	177	14	6	42	28	27	0	0.0%	
3	3	298	187	23	6	46	38	36	1	3.4%	
4	4	284	350	23	6	42	42	42	1	2.1%	
5	5	321	218	26	6	46	36	36	0	0.0%	
6	6	267	234	22	6	42	40	40	0	0.0%	
7	7	252	196	20	6	45	35	35	0	0.0%	
8	8	283	210	22	6	45	36	36	5	13.0%	
9	9	690	238	52	6	47	44	44	0	0.0%	
Total		3,858	2,869	289	78	582	495	486	18	3.3%	0.7%
<b>Over the Counter Outlets</b>											
1	1	383	174	29	6	47	35	34	2	5.0%	
10	10	176	218	14	6	41	41	41	6	14.7%	
11	11	202	211	16	6	42	34	33	1	1.9%	
12	12	213	233	16	6	50	44	42	2	4.2%	
13	13	148	223	12	6	46	42	40	0	0.0%	
2	2	336	177	14	6	42	28	27	0	0.0%	
3	3	298	187	23	6	46	38	36	1	3.4%	
4	4	283	350	23	6	42	42	42	1	2.1%	
5	5	309	218	26	6	45	36	36	0	0.0%	
6	6	267	234	22	6	42	40	40	0	0.0%	
7	7	252	196	20	6	45	35	35	0	0.0%	
8	8	266	210	22	6	43	36	36	5	13.0%	
9	9	667	238	52	6	46	44	44	0	0.0%	
Total		3,800	2,869	289	78	577	495	486	18	3.3%	0.7%

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

STATE: AR  
FFY: 2013

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>Vending Machines</b>											
1	1	2	0	29	6	0	0	0	0	0.0%	
10	10	3	0	14	6	1	0	0	0	0.0%	
11	11	0	0	16	6	0	0	0	0	0.0%	
12	12	0	0	16	6	0	0	0	0	0.0%	
13	13	0	0	12	6	0	0	0	0	0.0%	
2	2	0	0	14	6	0	0	0	0	0.0%	
3	3	0	0	23	6	0	0	0	0	0.0%	
4	4	1	0	23	6	0	0	0	0	0.0%	
5	5	12	0	26	6	1	0	0	0	0.0%	
6	6	0	0	22	6	0	0	0	0	0.0%	
7	7	0	0	20	6	0	0	0	0	0.0%	
8	8	17	0	22	6	2	0	0	0	0.0%	
9	9	23	0	52	6	1	0	0	0	0.0%	
Total		58	0	289	78	5	0	0	0	0.0%	0.0%

**SSES Table 3 (Synar Survey Sample Tally Summary)**

STATE: AR

FFY: 2013

Disposition Code	Description	Count	Subtotal
EC	Eligible and inspection complete outlet	486	
Total (Eligible Completes)			486
N1	In operation but closed at time of visit	4	
N2	Unsafe to access	2	
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	2	
N7	Tobacco out of stock	1	
N8	Run out of time	0	
N9	Other noncompletion	0	
Total (Eligible Noncompletes)			9
I1	Out of Business	11	
I2	Does not sell tobacco products	11	
I3	Inaccessible by youth	35	
I4	Private club or private residence	7	
I5	Temporary closure	8	
I6	Can't be located	14	
I7	Wholesale only/Carton sale only	1	
I8	Vending machine broken	0	
I9	Duplicate	0	
I10	Other ineligibility	0	
Total (Ineligibles)			87
Grand Total			582

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

STATE: AR  
FFY: 2013

**Frequency Distribution**

Gender	Age	Number of Inspectors	Attempted Buys	Successful Buys
Male	14	0	0	0
	15	21	123	6
	16	27	141	4
	17	0	0	0
	18	0	0	0
	Subtotal	48	264	10
Female	14	0	0	0
	15	25	149	5
	16	20	73	3
	17	0	0	0
	18	0	0	0
	Subtotal	45	222	8
Other		0	0	0
Grand Total		93	486	18

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

Age	Male	Female	Total
14	0.0%	0.0%	0.0%
15	4.9%	3.4%	4.0%
16	2.8%	4.1%	3.3%
17	0.0%	0.0%	0.0%
18	0.0%	0.0%	0.0%
Other			0.0%
Total	3.8%	3.6%	3.7%

## 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).

## APPENDIX B: SYNAR SURVEY SAMPLING METHODOLOGY

State: Arkansas  
 FFY: 2013

**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
AR Tobacco Control Board	3	List of State tobacco retail permit holders	Continuous update. Sample drawn from the most up-to-date tobacco license list.

**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 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 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 stratified into 13 strata; Alcohol and Drug Abuse Prevention Resource Regions. The 13 PRC regions are contiguous clusters of counties. This is 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.)

Some clusters (PSUs) are a single county, and some are a fraction of a county based on longitude, so that each cluster has between 13 and 26 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.

The first stage of sampling is the selections of 6 PSUs from each stratum using SRS (Simple Random Sampling). The second stage is selection of outlets from sample PSUs at a constant rate via SRS.

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

$$\text{Effective Sample Size} = n' = \frac{n}{\left(1 + \frac{n}{N}\right)}; \text{ where}$$

$N$  = population size (total outlets),

$$n = \frac{p(1-p)}{(0.0182)^2},$$

$p$  = violation rate from the previous year's survey.

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

Target Sample size =  $n_t = Deff \times n'$ ; where

$$\text{Design Effect (Deff)} = \{1 + (m-1)\rho\}(1 + CV_w^2),$$

$m$  = average cluster size,

$\rho$  = intra-class correlation,

$CV_w$  = coefficient of variation of the sample weights.

$$\text{Original sample size} = n_o = \frac{n_t}{r_a r_c}; \text{ where}$$

$r_a$  = accuracy rate from previous year.

$r_c$  = completion rate from previous year.

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:***

$Deff = (1 + (n - 1) * \rho) * (1 + V) = 1.50$ , where  $n$  is the average cluster size,  $\rho$  is the intraclass correlation, and  $V$  is the coefficient of variation of the weights.

Average cluster size,  $n$ , is the target sample size/number of clusters,  $\rho$  is estimated *a priori* as 0.05, and  $V$  is computed from the previous year sample.

--

**10. Provide the following information about sample size calculations for the current FFY Synar survey.**

- a. If the State uses the sample size formulas embedded in the Synar Survey Estimation System (SSES) Sample Size Calculator, 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 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. 3858 (Total number of retail outlets in Arkansas Tobacco Control Board database, including vending machines);
- b. 0.054 (Weighted non-compliance rate from previous year);
- c. 0.830 (Weighted accuracy rate from previous year);
- d. 0.990 (Unweighted completion rate from previous year);
- e. 1.645 (.05 confidence level, one sided);
- f. 0.03 (Tolerable error: (1/2 confidence interval));
- g. 1.56 (Design effect ( $[1 + (\text{Average cluster size} - 1) * \text{Intraclass correlation}] * (1 + \text{Coef of Var of Baseweights from previous year's sample})$ )).

## APPENDIX C: SYNAR SURVEY INSPECTION PROTOCOL

State: Arkansas

FFY: 2013

*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  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): 13 Regional Prevention Resource Centers (PRC)

### 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 methods used to recruit, select, and train youth inspectors and adult supervisors.**

The PRCs recruit youth inspectors and adults from each of their Regions at the county and local level. They may also recruit and obtain youth from DBHS funded grant programs located in their region, since some of the DBHS grantees have staff and/or youth ages 15 and 16 that would be available to assist with conducting the compliance checks. Once the appropriate number of youth and adult supervisors are selected, the PRCs train all the youth inspectors and adult supervisors on the inspection methodology and protocol for conducting the compliance checks.

PRCs attend the annual Synar training and are then responsible for training their youth volunteers and any adult volunteers they may chose to use. PRCs sometimes bring adult volunteers to the Synar training.

**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.)*

Arkansas legislation 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 laws relating to the prohibition of the sale of tobacco in any form or cigarette papers to such minors. The Synar Youth Inspectors are under the auspices of an authorized agency.

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

**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.)*

If the selected location is deemed unsafe by the adult driver and/or youth under the age of eighteen (18) or twenty-one (21) years, then the check should not be conducted. DBHS provides authorized adults to accompany youth inspectors on inspections during the specified period as a safety protocol and for quality control.

**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.)*

The State law limits the circumstances under which a minor may be used to conduct compliance checks. The minor may act as an agent of the Arkansas Tobacco Control Board, Division of Behavioral Health Services (DBHS), and an Arkansas Retail Cigarette and Tobacco permit holder (who may use minor check on permit holder's own retail business).

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

Youth inspectors must be 15 or 16 years of age, have written parental approval to participate, and be trained by the Prevention Resource Center staff prior to conducting inspections. Established protocol outlines the procedures for conducting the inspections. DBHS provides authorized adults to accompany youth inspectors on inspections during the specified period as a safety protocol and for quality control.

SALE

### 2012 OTC SYNAR SURVEY

NO SALE

*Note: To be completed immediately after each check. Answer all questions completely.*

**PSU «psu»**

«Name» «PhysicalAddress1» «PhysicalCity», «PhysicalState» «MAILZIP» OWNER: «Owner» «PHONE1»  PERMIT: «PermitNumber»	DATE OF CHECK (MONTH, DAY, YEAR) ____/____/____  Time of check: _____ (AM or PM)
------------------------------------------------------------------------------------------------------------------------------------	-------------------------------------------------------------------------------------------

NAME OF ADULT SUPERVISOR: \_\_\_\_\_ TELEPHONE: ( ) \_\_\_\_\_

**IS THE OUTLET INELIGIBLE?**

<input type="checkbox"/> I1 Out of business	<input type="checkbox"/> I2 Does not sell tobacco products	<input type="checkbox"/> I3 Inaccessible to youth	<input type="checkbox"/>
<input type="checkbox"/> I4 Private club or residence	<input type="checkbox"/> I5 Temporary closure	<input type="checkbox"/> I6 Unlocatable	
<input type="checkbox"/> I7 Wholesale only	<input type="checkbox"/> I10 Other ineligible reason (Explain) _____		

**STOP** if any of these reasons apply.

**OUTLET NOT INSPECTED (Eligible non-completes)**

<input type="checkbox"/> N2 Unsafe to access	<input type="checkbox"/> N5 Moved to a new location	<input type="checkbox"/> N6 Drive-through only/ youth inspector has no license	<input type="checkbox"/>
<input type="checkbox"/> N7 Tobacco out of stock	<input type="checkbox"/> N8 Run out of time	<input type="checkbox"/> N9 Other non-completion reasons (Explain) _____	

**STOP** filling out form for any of the above reasons.

NI In operation but closed at time of visit

*Return with another youth*

<input type="checkbox"/> N3 Presence of police	<input type="checkbox"/> N4 Youth inspector knows sales person	<input type="checkbox"/>
<input type="checkbox"/> First attempt	<input type="checkbox"/> Second attempt	
Date: _____	Date: _____	

**TYPE OF OUTLET**

<input type="checkbox"/> 1. Gas station only	<input type="checkbox"/> 2. Convenience (with gas)	<input type="checkbox"/> 3. Convenience (no gas)	<input type="checkbox"/> 4. Small food store (deli)	<input type="checkbox"/>
<input type="checkbox"/> 5. Supermarket/Grocery store	<input type="checkbox"/> 6. Drug store/pharmacy	<input type="checkbox"/> 7. Liquor store	<input type="checkbox"/> 8. Discount store	
<input type="checkbox"/> 9. Hotel/motel	<input type="checkbox"/> 10. Restaurant	<input type="checkbox"/> 11. Tobacco outlet	<input type="checkbox"/> 12. Bar/club	
<input type="checkbox"/> 13. Other (describe): _____				

**Complete this section ONLY IF OUTLET WAS INSPECTED**

YOUTH'S INITIALS: \_\_\_\_\_ YOUTH'S GENDER:  FEMALE  MALE YOUTH'S AGE: \_\_\_\_\_  
*(Max of one youth per form)* YOUTH'S RACE: White Black Hispanic Asian Other

**STATUS OF THE INSPECTION**  
*(Check one - Also mark box on top of page!)*

Sale Occurred  Purchase attempted Sale Refused

**HOW WAS THE TOBACCO PLACED FOR SALE**

Picked up tobacco without asking (self-serve)  Had to ask clerk for tobacco (behind the counter)

Were you asked your age?  Yes  No      Were you asked for identification?  Yes  No

Was there a NO SALES TO MINORS sign posted at the point of purchase?  Yes  No

Was a Tobacco Vending Machine PRESENT?  Yes  No

Type of tobacco attempted to buy:  Cigarettes  Cigars  Bidis  Smokeless/Spit Tobacco

**INFORMATION ON CLERK**  
*If necessary, the adult escort may wish to go back into store to collect this information. CIRCLE ONE:*

Was the clerk (1) Female (2) Male  
 Height of the clerk (1) Short (2) Average (3) Tall  
 How old was the clerk? (1) Teenager (2) Young adult (3) Adult (4) Senior  
 Race the clerk? (1) Black (2) White (3) Hispanic (4) Asian (5) Other

Hair color: \_\_\_\_\_  
 Clerk's Name (only if available without asking): \_\_\_\_\_  
 Describe other distinguishing characteristics (e.g. birth mark): \_\_\_\_\_  
 Location of sales counter: \_\_\_\_\_

COMMENTS: \_\_\_\_\_

Checked for accuracy by Prevention Resource SYNAR Coordinator: \_\_\_\_\_ Date signed: \_\_\_\_\_

**SALE****VENDING MACHINE  
2012 SYNAR DATA COLLECTION FORM****NO SALE***Note: To be completed immediately after each check. Answer all questions completely.***PSU «PSU»**

«Name» _____ «PhysicalAddress» _____ «PhysicalCity», «PhysicalState» «MAIL/ZIP» _____  Inspect # «machines» of «NUMBER» machines Permit #: «PermitNumber» _____	DATE OF CHECK (MONTH, DAY, YEAR) _____ Time of check: _____ (AM or PM)  NAME OF ADULT ESCORT _____ TELEPHONE: ( ) _____												
NAME OF ADULT SUPERVISOR: _____ TELEPHONE: ( ) _____													
<b>IS THE OUTLET INELIGIBLE?</b>													
<table style="width:100%; border: none;"> <tr> <td style="width:33%;">I1 Out of business</td> <td style="width:33%;">I2 Does not sell tobacco products</td> <td style="width:33%;">I3 Inaccessible to youth</td> <td rowspan="3" style="text-align: center; vertical-align: middle;">   <b>STOP!</b> <i>If any of these reasons apply.</i> </td> <td rowspan="3" style="width:10%; text-align: center; vertical-align: middle;"> <input type="checkbox"/> </td> </tr> <tr> <td>I4 Private club or residence</td> <td>I5 Temporary closure</td> <td>I6 Unlocatable</td> </tr> <tr> <td>I7 Wholesale only</td> <td>I8 Vending machine broken</td> <td>I10 Other ineligible reason (Explain)</td> </tr> </table>		I1 Out of business	I2 Does not sell tobacco products	I3 Inaccessible to youth	 <b>STOP!</b> <i>If any of these reasons apply.</i>	<input type="checkbox"/>	I4 Private club or residence	I5 Temporary closure	I6 Unlocatable	I7 Wholesale only	I8 Vending machine broken	I10 Other ineligible reason (Explain)	
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I7 Wholesale only	I8 Vending machine broken	I10 Other ineligible reason (Explain)											
<b>OUTLET NOT INSPECTED (Eligible non-completes)</b>													
<table style="width:100%; border: none;"> <tr> <td style="width:33%;">N2 Unsafe to access</td> <td style="width:33%;">N5 Moved to a new location</td> <td style="width:33%;">N6 Drive-through only! youth inspector has no license</td> <td rowspan="3" style="text-align: center; vertical-align: middle;">   <b>STOP!</b> <i>If any of these reasons apply.</i> </td> <td rowspan="3" style="width:10%; text-align: center; vertical-align: middle;"> <input type="checkbox"/> </td> </tr> <tr> <td>N7 Tobacco out of stock</td> <td>N8 Run out of time</td> <td>N9 Other non-completion reasons (Explain)</td> </tr> </table> <p style="text-align: center;"><i>STOP filling out form for any of the above reasons.</i></p>		N2 Unsafe to access	N5 Moved to a new location	N6 Drive-through only! youth inspector has no license	 <b>STOP!</b> <i>If any of these reasons apply.</i>	<input type="checkbox"/>	N7 Tobacco out of stock	N8 Run out of time	N9 Other non-completion reasons (Explain)				
N2 Unsafe to access	N5 Moved to a new location	N6 Drive-through only! youth inspector has no license	 <b>STOP!</b> <i>If any of these reasons apply.</i>	<input type="checkbox"/>									
N7 Tobacco out of stock	N8 Run out of time	N9 Other non-completion reasons (Explain)											
<table style="width:100%; border: none;"> <tr> <td style="width:33%;">N1 In operation but closed at time of visit <i>Return with another youth</i></td> <td style="width:33%;">N3 Presence of police Date: _____</td> <td style="width:33%;">N4 Youth inspector knows sales person Date: _____</td> </tr> </table>		N1 In operation but closed at time of visit <i>Return with another youth</i>			N3 Presence of police Date: _____	N4 Youth inspector knows sales person Date: _____							
N1 In operation but closed at time of visit <i>Return with another youth</i>	N3 Presence of police Date: _____	N4 Youth inspector knows sales person Date: _____											
<b>TYPE OF OUTLET</b> <table style="width:100%; border: none;"> <tr> <td style="width:25%;">1. Gas station only</td> <td style="width:25%;">2. Convenience (with gas)</td> <td style="width:25%;">3. Convenience (no gas)</td> <td style="width:25%;">4. Small food store (deli)</td> </tr> <tr> <td>5. Supermarket/Grocery store</td> <td>6. Drug store/pharmacy</td> <td>7. Liquor store</td> <td>8. Discount store</td> </tr> <tr> <td>9. Hotel/motel</td> <td>10. Restaurant</td> <td>11. Tobacco outlet</td> <td>12. Bar/club</td> </tr> </table> 13. Other (describe): _____		1. Gas station only	2. Convenience (with gas)	3. Convenience (no gas)	4. Small food store (deli)	5. Supermarket/Grocery store	6. Drug store/pharmacy	7. Liquor store	8. Discount store	9. Hotel/motel	10. Restaurant	11. Tobacco outlet	12. Bar/club
1. Gas station only	2. Convenience (with gas)	3. Convenience (no gas)	4. Small food store (deli)										
5. Supermarket/Grocery store	6. Drug store/pharmacy	7. Liquor store	8. Discount store										
9. Hotel/motel	10. Restaurant	11. Tobacco outlet	12. Bar/club										
<b>Complete this section ONLY IF OUTLET WAS INSPECTED</b>													
YOUTH'S INITIALS: _____ YOUTH'S GENDER: <input type="checkbox"/> FEMALE <input type="checkbox"/> MALE YOUTH'S AGE: _____ <i>(Max of one youth per form)</i> YOUTH'S RACE: White Black Hispanic Asian Other													
<b>STATUS OF THE INSPECTION</b> <i>(Check one - Also mark box on top of page!)</i>													
<input type="checkbox"/> Sale Occurred <input type="checkbox"/> Purchase attempted Sale Refused													
Was the machine under supervision? <input type="checkbox"/> Yes <input type="checkbox"/> No													
Did the minor ask employee for change to purchase from the vending machine? <input type="checkbox"/> Yes <input type="checkbox"/> No													
Were you asked your age? <input type="checkbox"/> Yes <input type="checkbox"/> No													
Were you asked for identification? <input type="checkbox"/> Yes <input type="checkbox"/> No													
Was there a NO SALES TO MINORS sign posted at the vending machine? <input type="checkbox"/> Yes <input type="checkbox"/> No													
Type of tobacco attempted to buy: <input type="checkbox"/> Cigarettes <input type="checkbox"/> Cigars <input type="checkbox"/> Bidis <input type="checkbox"/> Smokeless/Spit Tobacco													
<b>Complete this section ONLY IF SALE OCCURRED:</b>													
If necessary, the adult escort may wish to go back into store to collect this information. Location of Vending Machine: _____													
Stamp #: _____ 2011 (ORANGE) OR _____ 2012 (HOT PINK)													
COMMENTS: _____													

Checked for accuracy by Prevention Resources SYNAR Coordinator \_\_\_\_\_

Date signed: \_\_\_\_\_

## **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 DBHS office for review and approval prior to conducting checks.
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/DBHS.
6. Take picture of youth each day to document that youth looks and dresses the appropriate age; keep picture on file with parental consent forms and send copy with inspection forms to contractor.
7. Be sure that each participant, WHO MADE THE PURCHASE, has initialed the form.
8. 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 DBHS all properly labeled tobacco products purchased as a result of Synar compliance checks.
12. Fax a copy of completed inspection form denoting a sale to the Arkansas Tobacco Control Board.

## **APPENDIX C: SYNAR INSPECTION PROTOCOL**

### **Special Instructions for Vending Machines**

1. The adult volunteer will locate and drive the youth volunteer to the retail outlet designated for vending machine inspections.
2. The youth volunteer is to enter establishment and seek out vending machine. If the youth volunteer cannot find the vending machine, he/she is to ask the attendant where the vending machine is located.
3. The sample frame will uniformly consist of individual vending machines. In cases where the machines are listed as a group, the listing will be expanded so that each machine will be assigned an individual number, i.e. 1 of 3, 2 of 3, etc. The inspectors will attempt to identify all vending machines in a premise and number them left to right, going clockwise from the entrance point. The inspection will be conducted only on the individual vending machine or machines that are listed in the sample. If, for example, the sample form indicates to inspect machine 1 of 2, the inspector will inspect the first machine encountered on the left of the entrance, sweeping around the establishment in the clockwise direction.
4. Upon identifying the vending machine, the youth volunteer is to purchase tobacco from the vending machine unless attendant questions the youth volunteer.
  - If asked about his/her age, the youth volunteer will respond with his/her actual age and unless told by the attendant that they cannot purchase, the youth volunteer is to purchase the tobacco from the vending machine.
  - If told he/she cannot purchase, the youth volunteer will leave the outlet.
5. Once the youth volunteer has completed the purchase, the youth will exit the outlet, return to the car, give the cigarettes to the adult volunteer and provide the necessary information to complete the inspection form.

# APPENDIX D: LIST SAMPLING FRAME COVERAGE STUDY

(LIST FRAME ONLY)

State: Arkansas  
FFY: 2013

1. Calendar year of the coverage study: 2012
2. a. Unweighted percent coverage found: 100%  
b. Weighted percent coverage found: 100%  
c. Number of outlets found through canvassing: 162  
d. Number of outlets matched on the list frame: 162
3. a. Describe how areas were defined. (e.g., census tracts, counties, etc.)

Areas defined by census tracts.

- b. Were any areas of the State excluded from sampling?  Yes  No

*If Yes, please explain.*

Yes, one census tract was excluded as it has a population size of zero.

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 SAS PROC SURVEYSELECT and specifying the selection of two tracts per PRC region.

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

Synar Survey FFY 2013 provided an estimate of 3689 eligible tobacco outlets in Arkansas. Based on a total of 624 census tracts (1 tract not populated), there are 5.883 eligible outlets per census tract.

Selection of 22 census tracts will yield sample size of 130 and 34 census tracts, sample size of 200; minimum and maximum sample sizes recommended by SAMHSA.

With 13 PRC regions in Arkansas, random selection of 2 census tracts per region would yield a sample size of approximately 153 eligible outlets.

**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 Canvassing Instruction Sheet.

**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 enter all stores/shops and visibly check for tobacco products. If none seen, field observer 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).**

Business license number.

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

100 X (number of matched outlets/total number of outlets found by coverage survey)  
100 X (162/162) = 100%

# APPENDIX D: LIST SAMPLING FRAME COVERAGE STUDY

(Question 8: Canvassing Instructions)

## SYNAR COVERAGE SURVEY, 2012 Canvassing Instructions

### CONTENTS OF CONVASSING PACKET

1. Each Prevention Resource Center (PRC) region will receive 2 Coverage Study packets.
2. Each packet consists of the following:
  - a. Maps of census tracts;
  - b. Log sheets (You may make more copies of the log sheet if required);
  - c. Return business envelope;
  - 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
	Selected Census Tracts
	City limit
	Water

### 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 yellow-orange lines (i.e. census tract).
  - **Note: Where yellow-orange 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 # 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 packet.