# **ANNUAL SYNAR REPORT**

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

OMB № 0930-0222

# FFY 2015 State: Arkansas

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### OMB No. 0930-0222 Expiration Date: 05/31/2016

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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 2014 Compliance Progress) and future plans to ensure compliance with the Synar requirements to reduce youth tobacco access rates (FFY 2015 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.

<sup>&</sup>lt;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) 276-2550 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, 2014 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 2015 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 Division of Grants Management Office of Financial Resources Substance Abuse and Mental Health Services Administration

#### **Regular Mail:**

#### **Overnight Mail:**

1 Choke Cherry Road, Rm.7-1091 Rockville, Maryland 20857 1 Choke Cherry Road, Rm.7-1091 Rockville, Maryland 20850

# FFY 2015: 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 2015 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 2015 is up-to-date and approved by the Center for Substance Abuse Prevention.

State: AR

Name of Chief Executive Officer or Designee:

Signature of CEO or Designee:

Title:

Date Signed:

If signed by a designee, a copy of the designation must be attached.

# **SECTION I: FFY 2014 (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?



If <b>Yes</b> , current minimum age:	19	20	21
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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 state law that impact the following?

Licensing of tobacco vendors Yes Penalties for sales to minors Yes Vending machines Yes

Yes	$\boxtimes$	No
Yes	$\boxtimes$	No

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 2015 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 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:

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

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)

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?



- 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).
     <u>Division of Behavioral Health Services (DBHS), Arkansas Tobacco Control (ATC) and Center for Health Advancement, Arkansas Department of Health (ADH)</u>
  - 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*.)

- d. 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 Office of the Food and Drug Administration
- e. Has the responsible agency changed since last year's Annual Synar Report?
- f. 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*.)

g. 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 2014 (see 42 U.S.C. 300x-26 and 45 C.F.R. 96.130(e)).
  - a. Which one of the following describes the enforcement of state youth access to tobacco laws carried out in your state? (Check one category only.)
    - Enforcement is conducted exclusively by local law enforcement agencies.

Enforcement is conducted exclusively by state agency (ies).

Enforcement is conducted by both local *and* state agencies.

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

PENALTY	OWNERS	CLERKS	TOTAL
Number of <u>citations issued</u>	693	659	1352
Number of fines assessed	672	NA	672
Number of permits/licenses suspended	128	地议学业主义	128
Number of permits/licenses revoked	0		0
Other (Please describe.) 1 <sup>st</sup> Violation Warnings/ 1 <sup>st</sup> Violation Fines	435 238	0 0	435 238

- c. 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.
- d. 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

- e. What additional activities are conducted in your state to support enforcement and compliance with state youth 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.) <u>Y.L.I. YOUTH PROGRAM</u>

Briefly describe all checked activities:

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 (TCPC) and works with the Division of Behavioral Health Services (DBHS) Regional Prevention Providers (RPP) to provide tobacco merchant education throughout the state of Arkansas. The training consists of: reviewing the sales to minors law, details of what specific tobacco products are age-restricted, and explaining the penalties for violating the law. Each student in the training receives an Arkansas driver's license brochure showing how to recognize an underage ID by the color-coding and vertical format. During the class, students are given an opportunity to ask related questions.

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, 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 RPP's 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 coalition's 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 activities that promote appropriate information for prevention or intervention include news stories. editorials, and event sponsorships (state and county fairs and other county festivals). All 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. The S.O.S. campaign has been instrumental in building favorable outcomes through its tobacco counter-marketing campaign. Since the inception of S.O.S., media recall for the Stamp Out Smoking brand is 80% in a 2010 survey. Additional indicatoMErchans 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, and others. Funded programs also promote 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 education 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 implementing comprehensive tobacco control policies in all the funded schools.

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), a program of our Family Service Agency, is funded in part by Arkansas Department of Health as a statewide tobacco control youth movement committed to preventing the initiation of tobacco and reducing the use of tobacco products use among youth. The YLI program provides youth with opportunities to increase their knowledge on the harmful effects of tobacco use. The YLI develop and implement counter-marketing campaigns against the use of tobacco products. The YLI is instrumental in 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 Arkansas.

# 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:

#### 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 2014 (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 <u>right limit</u> of the right-sided 95% confidence interval.

<b>RVR Estimate</b>	(1.645 (1.645	) Standard Error )	= equals	Right Limit
Accuracy rate				
<b>Completion rate</b>				

c.	Fill out Form 1 in Appendix A (Forms	1–5).	(Required	regardless	of the s	ample
	design.)			-	0	*

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?	U
Yes No No stratification	
If Yes, explain how this situation was dealt with in variance estimat	tion.
. Was a cluster sample design used?	
Yes No	
If <b>Yes,</b> fill out and attach Form 3 in Appendix A (Forms $1-5$ ), and a following question.	inswer the
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 varianc	e estimation.
. 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)	
<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)	
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).

f.

g.

## 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: <u>100%</u>
- 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 <u>04/01/14</u> to <u>05/14/14</u> MM/DD/YY MM/DD/YY

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

<u>94</u>

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.

b. 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 2015 (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 2015. 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 enforce laws related to sales of tobacco products to minors through unannounced sales-to-minors check compliance checks conducted annually by the Arkansas Tobacco Control (ATC) Board and through a graduated penalty system for violation of laws related to tobacco sales to minors. In addition to the graduated penalty system, ATC continues to offer a voluntary certified training program for retailers.

The compliance checks is a process of several agents performing the compliance checks simultaneously in one area. These saturations result in more accurate compliance checks because stores have little or no opportunity to alert neighboring stores when ATC agents are in the area.

The graduated penalty system begins with a warning and escalates through a series of fines and penalties for each offense to the possibility of additional fines and/or revoked licenses. All sales-to-minor violations stay on the store's record for 48 months. For each offense within that 48 months, penalties escalate. As a result, retailers with multiple sales-to-minor violation face more severe penalties. When a store reaches a third offense, ATC requires all employees of that location to complete training of legal tobacco sales by ATC within six months. Only 109 stores have been required to complete the training since 2007.

Due to the graduate penalty system, retailers have begun to work hard to assure all employees are properly trained in legal tobacco sales, often taking advantage of the voluntary training program offered by ATC.

**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

Issues regarding the age balance of youth inspectors

Issues regarding the gender balance of 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.*) Familiarity of youth due to the large number of small towns

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.

1. It is frequently difficult to recruit youth who reflect the demographics of the youth in a particular county. Many parents do not want their children involved in the inspection process; and those who do agree to let their child participate, frequently request the child conduct inspections in communities other than the one in which the child lives. This is often the reflection of parents being concerned the child will be stigmatized by neighbors or friends who witness the attempted purchase of tobacco products, especially in small towns. DBHS will continue to encourage the Regional Prevention Providers (RPP) responsible for conducting the youth inspections to strengthen working relationships with youth agencies, community organizations, and schools in an effort to reduce the difficulty in recruiting youths for this project.

2. The geography contribute to the many variables of diverse demographics of our land. Arkansas is a very rural state comprised primarily of small towns and diverse terrain; both of which directly affect our Synar efforts. The terrain of Arkansas creates large distances between outlets; therefore, conducting an inspection of a single outlet demands extensive effort, time, and cost in travel. DBHS recommends that RPP coordinators responsible for conducting the inspections allow more travel time to remote locations; and to begin the inspections the moment the Synar inspection time opens.

3. 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; thus creating a barrier in accurately completing an inspection. DBHS encourages RPP coordinators to work with other community-based agencies and organizations that serve the Hispanic population to improve recruitment of teens who can effectively communicate with clerks.

4. In rural areas and small towns of Arkansas, strangers may stand out from the majority of the residents; thus, those not living in the community may be recognized as visitors. In such areas, merchants are much less likely to sell to sell to customers whom they perceive as "outsiders." RPP Coordinators are encourage to ensure the youth doing the inspections look and act as a member of the community. RPP coordinators should

strive to recruit youth who are familiar with the remote locations so they do not appear to be "out of place" when entering an outlet.

# **APPENDIX A: FORMS 1–5**

SSES Table 1 (Synar Survey Estimates and Sample Sizes)

#### **CSAP-SYNAR REPORT**

State	AR
Federal Fiscal Year (FFY)	2015
Date	10/17/2014 14:25
2017年1月月日前日前日本市内支付	
	Copy of
Data	SSESv5_DataEntry10OCT2014_SRS.xlsx
Analysis Option	Stratified Clustered with FPC

#### Estimates

Unweighted Retailer Violation Rate	2.8%		
Weighted Retailer Violation Rate	3.0%		
Standard Error	0.8%		
Is SAMHSA Precision Requirement met?	YES		
Right-sided 95% Confidence Interval	[0.0%, 4.3%]		
Two-sided 95% Confidence Interval	[1.4%, 4.6%]		
Design Effect	1.4		
Accuracy Rate (unweighted)	88.1%		
Accuracy Rate (weighted)	88.8%		
Completion Rate (unweighted)	99.1%		

#### Sample Size for Current Year

Effective Sample Size	106
Target (Minimum) Sample Size	128
Original Sample Size	646
Eligible Sample Size	569
Final Sample Size	564
Overall Sampling Rate	15.8%

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

#### STATE: AR FFY: 2015

Samp. Stratum	Var. Stratum	Outlet Frame Size	Estimated Outlet Population Size	Number of PSU Clusters Created	Number of PSU Clusters in Sample	Outlet Sample Size	Number of Eligible Outlets in Sample	Number of Sample Outlets Inspected	Number of Sample Outlets in Violation	Retailer Violation Rate(%)	Standard Error(%)
					All	Outlets					
1	1	452	208	84	10	83	65	65	2	3.1%	
2	2	534	287	74	10	74	70	70	1	1.4%	
3	3	598	328	79	10	78	73	73	2	2.7%	
4	4	334	178	92	9	83	71	69	2	2.8%	
5	5	604	331	87	10	77	72	71	3	4.2%	
6	6	380	213	86	10	86	76	76	2	2.6%	
7	7	395	198	77	10	76	64	62	0	0.0%	
8	8	762	406	112	10	89	78	78	4	5.1%	
Total		4,059	2,149	691	79	646	569	564	16	3.0%	0.8%
1				C	ver the C	ounter O	utlets				
1	1	451	208	84	10	83	65	65	2	3.1%	1.
2	2	534	287	74	10	74	70	70	1	1.4%	
3	3	597	328	79	10	78	73	73	2	2.7%	
4	4	325	178	92	9	80	71	69	2	2.8%	
5	5	594	331	87	10	77	72	71	3	4.2%	
6	6	380	213	86	10	86	76	76	2	2.6%	
7	7	394	198	77	10	76	64	62	0	0.0%	
8	8	739	406	112	10	89	78	78	4	5.1%	
Total		4,014	2,149	691	79	643	569	564	16	3.0%	0.8%
					Vending	g Machine	es				
1	1	1	0	84	10	0	0	0	0	0.0%	
2	2	0	0	74	10	0	0	0	0	0.0%	
3	3	1	0	79	10	0	0	0	0	0.0%	
4	4	9	0	92	9	3	0	0	0	0.0%	
5	5	10	0	87	10	0	0	0	0	0.0%	
6	6	0	0	86	10	0	0	0	0	0.0%	
7	7	1	0	77	10	0	0	0	0	0.0%	
8	8	23	0	112	10	0	0	0	0	0.0%	
Total		45	0	691	79	3	0	0	0	0.0%	0.0%

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

#### STATE: AR FFY: 2015

Disposition Code	Description	Count	Subtotal
EC	Eligible and inspection complete outlet	564	
Total (Eligible Completes)			564
N1	In operation but closed at time of visit	0	
N2	Unsafe to access	3	
N3	Presence of police	0	
N4	Youth inspector knows salesperson	0	
N5	Moved to new location but not inspected	0	
N6	Drive thru only/youth inspector has no drivers license	0	
N7	Tobacco out of stock	0	
N8	Run out of time	2	
N9	Other noncompletion	0	
Total (Eligible Noncompletes)			5
11	Out of Business	9	
12	Does not sell tobacco products	9	
13	Inaccessible by youth	33	
14	Private club or private residence	6	
15	Temporary closure	8	
16	Can't be located	10	
17	Wholesale only/Carton sale only	1	
18	Vending machine broken	0	
19	Duplicate	1	
110	Other ineligibility	0	
Total (Ineligibles)			77
Grand Total			646

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

STATE: AR FFY: 2015

Gender	Age	Number of Inspectors	Attempted Buys	Successful Buys
Male	14	0	0	0
	15	17	98	1
	16	31	189	3
	17	0	0	0
	18	0	0	C
	Subtotal	48	287	4
Female	14	0	0	0
	15	25	161	8
	16	21	116	4
	17	0	0	0
	18	0	0	0
	Subtotal	46	277	12
Other		0	0	C
Grand Tota		94	564	16

## Buy Rate in Percent by Age and Gender

Age	Male	Female	Total
14	0.0%	0.0%	0.0%
15	1.0%	5.0%	3.5%
16	1.6%	3.4%	2.3%
17	0.0%	0.0%	0.0%
18	0.0%	0.0%	0.0%
Other			0.0%
Total	1.4%	4.3%	2.8%

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	Wand	Inspector	Gender	Ŀ	ц	ίĽ.	<u>لت</u>	12	Ц	ſ <u>r</u>	Ĺ.		М	Σ	ц	ц	ा म	ţ۲.			М	М	М	М	М	М				М	M	М	M
		Youth	Inspector ID	CMPF15	CMPF15	CMPF15	CMPF15	CMPF15	CMPF15	CMPF15	CMPF15		JIMM15	31MMILS	JMF16	JMF16	JMF16	JMF16			DVM15	DVM15	DVM15	DVM15	DVM15	DVM15				DVM15	DVM15	DVM15	JIMM15
		Outlet	Type	OTC	OTC	OTC	OTC	OTC	OTC	OTC	OTC	OTC	OTC	OTC	OTC	OTC	OTC	OTC	OTC	OTC	OTC	OTC	OTC	OTC	OTC	OTC	OTC	OTC	OTC	OTC	OTC	OTC	OTC
	Total Outlets	In Sampling	Stratum	452	452	452	452	452	452	452	452	452	452	452	452	452	452	452	452	452	452	452	452	452	452	452	452	452	452	452	452	452	452
		Violation																-	-		-				·				·				,
	Reportse	Disposition	Code	EC	EC	EC	EC	EC	EC	EC	EC	13	EC	EC	EC	EC	EC	EC	13	B	EC	EC	EC	EC	EC	EC	IS	13	I3	EC	EC	EC	EC
		Sampling	Weight	3.2	3.2	3,2	3.2	3.2	3,2	3.2	3.2	3.2	3.2	3.2	32	3.2	3.2	3.2	3.2	3.2	3.2	3.2	3.2	3.2	3.2	3.2	3.2	3.2	3.2	3.2	3.2	3.2	3.2
	Total Outlets			15	15	15	15	15	15	15	15	15	14	14	14	14	14	14	4	14	15	5	5	15	15	5	15	15	IS	15	15		
		Variance	Unit	100702 1	100702	100702	100702 1	100702 1	100702 1	100702	100702 1	100702 1	100705 1	100705 1	100705 1	100705 1	100705 1	100705 1	100705 1	100705 1	100707	100707 1	100707	100707 1	100707	100707	100707	100707 1.	100707 I.	100709	100709 1	100709 15	100709 15
Total Variance	Units in		Stratom U	84 10	84 10	84 10	84 1(	84 1(	84 10	84 10	84 10	84 1(	84 10	84 10	84 10	84 10	84 10	84 10	84 10	84 10	84 10	84 10	84 10	84 10	84 10	84 10	84 10	84 10					
H	1	Variance	Stratum S	1 8	1	1 8	8	1	80	80	1 8	8	8	00	80	80	8	60	00	00	80	00	00	00	00	00	00	80	84	84	84	1 84	84
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	h in			100702	100702	100702	100702	100702	100702	100702	100702	100702	100705	100705	100705	100705	100705	100705	100705	100705	100707	100707	100707	100707	100707	100707	100707	100707	100707	100709	100709	100709	100709
	Total PSUA in	Sampling Sampling	Stratum	84	84	84	84	84	84	84	84	84	84	84	84	84	84	84	84	84	84	84	84	84	84	84	84	84	84	84	84	84	84
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100709	100709	100709	100709	101502	101502	101502	101502	101502	101502	101502	101502	101503	101503	101503	101503	101503	101503	101503	101503	114300	114300	114300	114300	114300	114300	114300	114302	114302	114302	114302	114302	114302	114302	114302
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	4.1	4.1	4.1	4.1	4.1	4.1	4.1	4.1	4.1	4.1	4.1	4.1	4.1	4.1	4.1	4.1	4.1	4.1	4.1	4.5	4.5	4.5	4.5	45	4.5	4.5	4.5	4.5	4.5	45	4.5	4.5	4.5	45	4.5	
	10	10	10	14	14	14	14	14	14	14	14	13	13	13	13	13	13	13	13	13	13	13	13	13	13	13	13	13	13	13	13	13	13	13	13	
	208900	208900	208900	213500	213500	213500	213500	213500	213500	213500	213500	214504	214504	214504	214504	214504	214504	214504	214504	303100	303100	303100	303100	303100	303100	303100	303100	303102	303102	303102	303102	303102	303102	303102	303102	
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4.5	4.5	4.5	4.5	4.5	4.5	4.5	4.5	4.5	4.5	4.5	4.5	4.5	4.5	4.5	4.5	4.5	4.5	4.5	4.5	4.5	4.5	4.5	4.5	4.5	4.5	4.5	4.5	4.5	4.5	4.5	4.5	4.5	4.5	4.5	4.5
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4.5	4.5	4.5	4.5	4.5	4.5	4.5	4.5	4.5	4.5	4.5 🦂	4.5	4.5	4.5	4.5	4.5	4.5	4.5	4.5	4.5	4.5	4.5	4.5	4.5	4.5	4.5	2.5	2.5	2.5	2.5	2.5	2.5	2.5	2.5	2.5	2.5	
21	21	21	21	21	21	12	12	12	12	12	12	11	11	11	11	11	11	14	14	14	14	14	14	14	14	15	15	15	15	15	15	15	15	15	15	
307700	307700	307700	307700	307700	307700	309502	309502	309502	309502	309502	309502	310701	310701	310701	310701	310701	310701	311100	311100	311100	311100	311100	311100	311100	311100	403301	403301	403301	403301	403301	403301	403301	403301	403301	403302	
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2.5	2.5	2.5	2.5	2.5	2.5	25	2.5	25	2.5	25	2.5	25	2.5	2.5	2.5	25	2.5	25	2.5	2.5	2.5	25	2.5	2.5	2.5	2.5	2.5	2.5	2.5	2.5	25	2.5	2.5	2.5	25
15	15	15	15	15	15	15	15	14	14	14	14	14	14	34	14	11	11	11	11	11	11	18	18	18	18	18	18	18	18	18	18	14	14	14	14
403302	403302	403302	403302	403302	403302	403302	403302	403303	403303	403303	403303	403303	403303	403303	403303	408302	408302	408302	408302	408302	408302	412700	412700	412700	412700	412700	412700	412700	412700	412700	412700	413101	413101	413101	413101
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	OTC	OTC	OTC	OTC	OTC	OTC	OTC	OTC	OTC	OTC	OTC	OTC	MV	OTC	OTC	OTC	MV	OTC	OTC	OTC	OTC	OTC	MV	OTC	OTC	OTC	OTC	OTC									
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	2.5	2.5	2.5	2.5	2.5	25	2.5	2.5	2.5	2.5	2.5	2.5	2.5	2.5	2.5	2.5	2.5	2.5	2.5	2.5	2.5	2.5	2.5	2.5	2.5	2.5	2.5	2.5	2.5	2.5	2.5	2.5	2.5	2.5	2.5	2.5	
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	413101	413101	413101	413101	413105	413105	413105	413105	413105	413105	413105	413105	413105	413109	413109	413109	413109	413109	413109	413109	413109	413109	413109	413109	413109	413109	413109	413109	413109	413110	413110	413110	413110	413110	413110	413110	
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	15	15	16	16	16	16	91	15	15	15	15	16	16	16	16	15	15	15	16	16	16	16	16	16	16	16	16	16	16	16	16	16	16	16	16	
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2.5	4.6	4,6	4.6	4.6	4.6	4.6	4,6	4.6	4.6	4.6	4.6	4.6	4,6	4.6	4.6	4.6	4.6	4.6	4.6	4,6	4.6	4.6	4.6	4.6	4.6	4.6	4.6	4.6	4.6	4.6	4.6	4.6	4.6	4.6	4.6	
14	12	12	12	12	12	12	12	13	13	13	13	13	13	13	13	12	12	12	12	12	12	12	14	14	14	14	14	14	14	14	13	13	13	13	13	
413110	502901	502901	502901	502901	502901	502901	502901	502902	502902	502902	502902	502902	502902	502902	502902	502903	502903	502903	502903	502903	502903	502903	505105	505105	505105	505105	505105	505105	505105	505105	505109	505109	505109	505109	505109	
92	87	87	87	87	87	87	87	87	87	87	87	87	87	87	87	87	87	87	87	87	87	87	87	87	87	87	87	87	87	87	87	87	87	87	87	
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413110	502901	502901	502901	502901	502901	502901	502901	502902	502902	502902	502902	502902	502902	502902	502902	502903	502903	502903	502903	502903	502903	502903	505105	505105	505105	505105	505105	505105	505105	505105	505109	505109	505109	505109	505109	
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4.6	4.6	4.6	4.6	4.6	4.6	4.6	4.6	4.6	4.6	4.6	4.6	4.6	4.6	4.6	4.6	4.6	4.6	4,6	4.6	4.6	4.6	4.6	4,6	4.6	4.6	4.6	4.6	4.6	4.6	4.6	4.6	4.6	4.6	4.6	4.6	
13	13	13	14	14	14	14	14	14	14	14	14	14	14	14	14	14	13	13	13	13	13	13	13	13	12	12	12	12	12	12	12	18	18	18	18	
505109	505109	505109	505901	205901	505901	505901	505901	505901	205901	505901	507101	101/05	507101	507101	207101	507101	509700	509700	509700	509700	509700	509700	509700	509700	510900	510900	510900	510900	510900	510900	510900	511503	511503	511503	511503	
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505109	505109	505109	205901	106505	505901	205901	505901	205901	505901	205901	507101	507101	507101	507101	507101	507101	509700	509700	509700	509700	509700	509700	509700	209700	510900	510900	510900	510900	510900	210900	510900	511503	511503	511503	511503	
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1137801	1210201	1264701	95601	350002	440001	1053001	1088601	1272301	326401	758302	115301	852705	903301	955901	1002901	1265401	153103	153404	358704	434201	1155601	1204101	1243501	998501	167701	600401	718902	1208701	1264901	497002	934901	414901 <sup>.</sup>	442601	518002	572204	Ì.

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EPF15	TSM16	1SM16	TSM16	TSM16		AJM16	AJM16	91MLA	AJM16	HDF15	HDF15	TMM15		JSM16	JSM16	JSM16	JSM16	JSM16	31MSL	WBM15	WBM15	WBM15	JSM16	WBM15	WBM15	WBM15	WBM15	WBM15			AJM16	AJM16	BMM16	BMM16	HDF15	
OTC	OTC	OTC	OTC	OTC	OTC	OTC	OTC	OTC	OTC	OTC	OTC	OTC	OTC	OTC	OTC	OTC	OTC	OTC	OTC	OTC	OTC	OTC	OTC	OTC	OTC	OTC	OTC	OTC	OTC	OTC	OTC	OTC	OTC	OTC	OTC	
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EC	EC	EC	EC	EC	14	EC	EC	EC	EC	EC	EC	EC	16	EC	EC	EC	EC	EC	EC	EC	EC	EC	EC	EC	EC	EC	EC	EC	16	16	EC	EC	EC	EC	EC	
4.6	4.6	4.6	4,6	4.6	4.6	2.8	2.8	2.8	2.8	2.8	1.8	2.8	2.8	2.8	2.8	2.8	2.8	2.8	2.8	2.8	2.8	2.8	2.8	2.8	2.8	2.8	2.8	2.8	2.8	2.8	2.8	2.8	2.8	2.8	2.8	
18	18	18	18	18	18	14	14	14	14	14	14	14	14	15	15	15	15	15	15	15	15	15	14	14	14	14	14	14	14	14	14	14	14	14	14	
511503	511503	511503	511503	511503	511503	600100	600100	600100	600100	600100	600100	600100	001009	600101	600101	600101	600101	600101	600101	600101	600101	600101	602500	602500	602500	602500	602500	602500	602500	602500	604101	604101	604101	604101	604101	
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511503	511503	511503	511503	511503	511503	600100	600100	600100	600100	600100	600100	600100	600100	600101	600101	600101	101009	600101	600101	600101	101009	600101	602500	602500	602500	602500	602500	602500	602500	602500	604101	604101	604101	604101	604101	
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OTC	OTC	OTC	OTC	OTC	OTC	OTC	OTC	OTC	OTC	OTC	OTC	OTC	OTC	OTC	OTC	OTC	OTC	OTC	OTC	OTC	OTC	OTC	OTC	OTC	OTC	отс									
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2.8	2.8	2.8	2,8	2.8	2.8	2.8	2.8	2.8	2.8	2.8	2.8	2.8	2.8	2.8	2.8	2.8	2.8	2.8	2.8	2.8	2.8	2.8	2.8	2.8	2.8	2.8	2.8	2,8	2.8	2.8	2.8	2.8	2.8	2.8	2.8
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604101	604101	604101	606900	606900	606900	606900	606900	606909	006909	606900	606902	606902	606902	606902	606902	606902	606902	606902	606902	606903	606903	606903	606903	606903	606903	606903	606903	606903	606905	606905	606905	606905	606905	606905	606905
86	86	86	86	86	86	86	86	86	86	86	86	86	86	86	86	86	86	86	86	86	96	98	98	86	86	86	86	86	86	86	86	86	86	86	86
9	9	9	9	9	9	9	9	9	9	9	9	9	9	9	9	9	6	9	9	9	9	9	9	9	9	9	9	9	9	9	9	9	9	9	9
14	14	14	14	14	14	14	14	14	14	14	15	15	15	15	15	15	15	15	15	15	15	15	15	15	15	15	15	15	15	15	15	15	15	15	15
604101	604101	604101	006909	606909	606900	606900	606900	606900	606900	606900	606902	606902	606902	606902	606902	606902	606902	606902	606902	606903	606903	606903	606903	606903	606903	606903	606903	606903	606905	606905	606905	606905	606905	606905	606905
98	86	86	86	86	86	86	86	86	86	86	86	86	86	86	86	86	86	86	86	86	86	86	86	86	86	86	86	86	98	86	86	86	86	86	86
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66201	387302	399302	106401	106601	110603	112004	394805	68950L	1261401	607103	107102	768106	114950	106903	113003	388602	1208201	1278101	524601	106801	108702	109304	363202	461104	735701	875407	1122703	342502	272104	426501	453201	691107	700204	1207501	285802

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OTC	OTC	OTC	OTC	OTC	OTC	OTC	OTC	OTC	OTC	OTC	OTC	OTC	OTC	OTC	OTC	OTC	OTC	OTC	OTC	OTC	OTC	OTC	OTC	OTC	OTC	OTC	OTC								
380	380	380	380	380	380	380	380	380	380	380	380	380	380	380	380	380	380	380	380	395	395	395	395	395	395	395	395	395	395	395	395	395	395	395	395
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13	13	EC	EC	EC	EC	EC	EC	EC	EC	EC	EC	EC	EC	EC	EC	EC	EC	EC	II	EC	EC	DE	EC	EC	EC	EC	17	EC	EC						
2.8	2.8	2.8	2.8	2.8	2.8	2.8	2.8	2.8	2.8	2.8	2.8	2.8	2.8	2.8	2.8	2.8	2.8	2.8	2.8	3.1	3.1	3.1	3.1	3.1	3.1	3.1	3.1	3.1	3.1	3.1	3.1	3.1	3.1	3.1	3.1
15	15	15	15	15	15	15	15	15	15	15	15	15	15	15	15	15	15	15	15	10	10	10	10	10	10	14	14	14	14	14	14	14	14	14	14
606905	606905	606906	606906	606906	606906	606906	906909	606906	606906	606906	606907	606907	606907	606907	606907	606907	606907	606907	606907	705700	705700	705700	705700	705700	705700	706100	706100	706100	706100	706100	706100	706100	706100	706101	706101
86	98	86	86	86	86	86	86	86	86	86	86	86	86	86	86	86	86	86	86	77	11:	77	11	77	77	11	11	77	11	11	11	77	11	77	11
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606905	606905	606906	606906	606906	606906	606906	906909	906909	606906	606906	606907	606907	606907	606907	606907	606907	606907	606907	606907	705700	705700	705700	705700	705700	705700	706100	706100	706100	706100	706100	706100	706100	706100	706101	706101
98	86	86	86	86	86	86	86	86	86	98	86	86	86	86	86	86	86	86	86	11	μ	11	μ	11	11	μ	11	11	77	11	11	11	11	77	11
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448702	668403	107402	111401	112701	113602	440703	778104	1027101	1200701	1226801	267501	350902	412703	433203	1211101	383904	749101	1154101	1256801	451202	499504	592002	1082201	1202801	1283301	101580	1024601	530601	98501	268903	327703	592201	1201301	97801	10266

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#### **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:	AR	
FFY:	2015	

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

- List frame (Go to Question 2.)
- Area frame (Go to Question 3.)
- List-assisted area frame (Go to Question 2.)
- 2. List all sources of the list frame. Indicate the type of source from the list below. Provide a brief description of the frame source. Explain how the lists are updated (method), including how new outlets are identified and added to the frame. In addition, explain how often the lists are updated (cycle). (After completing this question, go to Question 4.)

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

- 1 Statewide commercial business list
- 2 Local commercial business list
- 4 Statewide retail license/permit list
- 5 Statewide liquor license/permit list
  6 Other
- 3 Statewide tobacco license/permit list
- Name of Frame SourceType of<br/>SourceDescriptionUpdating Method and CycleAR Tobacco Control<br/>Board3List of Arkansas Tobacco Retail permits<br/>hldersContinuous updte. Sample drawn<br/>from the most up-to-date tobacco<br/>license listImage: Image: Im
  - 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.*)

# 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 was geographically divided into eight (8) Alcohol and Drug Abuse Regional Prevention Providers catchment areas due to request by the Office of Applied Studies.

#### b. Is clustering used within the stratified sample?

 $\boxtimes$  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 eight (8) regions was divided into 10 clusters. This created 80 catchment areas.

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.

Arkansas Synar sampling process for FFY2015 was a two-stage process of simple random sampling within each of eight regionally defined RPP.

In the first stage, the state was geographically divided into eight (8) areas known as 'Regional Prevention Provider' areas. This created 8 strata. Each of the eight strata were divided into ten (10) clusters. This resulted in 80 clusters.

In the second stage, a random sampling of selecting 57% of the vendors within the 8 strata were pulled. This resulted in a total sample size of 646 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.*)

 $\boxtimes$  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.

Effect Sample Size =  $n' = \frac{n}{1 + (\frac{n}{N})}$ ; 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 a one sided 95% CI. Target Sample =  $n_{t - Deff x}$  n'; where Design Effect (Deff) =  $\{1+(m-1)p\}(1+CVw^2),$ m= average cluster size,  $\rho$  = intra-class correlation, CV<sub>w</sub> coefficient of variation of the sample weights. Original sample size =  $n_0 = n_t / r_a r_c$ ; where  $r_a = accuracy$  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), where n is the average cluster size,  $\rho$  is the Intraclass correlation, and V is the coefficient of the 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
  - 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

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. 4,059 Total Number of retail outlets in Arkansas Tobacco Control Board
- b. 0.037 Weighted non-compliance rate from previous year
- c. 0.078 Weighted accuracy rate from previous year
- d. 0.975 Unweighted completion rate from last year
- e. 1.645 Confidence level, one sided
- f. 0.03 Tolerable error: (1/2 confidence interval)
- g. 1.49 Design effect ([1 +(Average cluster size 1) \* Intraclass correlation] \*
  - (1 + Coef of Var of Baseweights from previous year's sample)).

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

State:	AR	
FFY:	2015	

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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 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:)

X Not permitted

# d. Youth inspectors to be compensated?

Required

Permitted under specified circumstances (Describe: Where funding is available)

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

 $\square$  Private contractor(s)

Other

List the agency name(s): Arkansas's Regional Prevention Providers

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 Never
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# 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

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

The RPP's are trained to identify what type of products and what brands of productsshould be requested during an inspection of the tobacco retail outlet. Once the youth inspectors and the adult supervisors are selected, all youth inspectors are trained in the compliance checks methodology and protocol by the RPP.

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

RPPs attend annual Synar training and are responsible for recruiting and training all youth inspectors and adult supervisors. Adult volunteers who wish to supervise inspections may attend annual Synar training with the RPP or can be trained by the RPP after annual RPP training.

RPPs recruit youth inspectors between the ages of 15 and 16 years of age and adult supervisors from his or her region at county and/or local level, including but not limited to, DBHS funded grant programs located in that region.

RPPs train all youth inspectors and adult supervisors on correct inspection methodology and protocol for conducting compliance checks.

# 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 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.

DBHS 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.)

Arkansas state laws limit the circumstances under which a minor may be used to conduct compliance checks. According to Arkansas laws, a minor may act as an agent of the Arkanas Tobacco Control Board, the Division of Behavioral Health Services (DBHS), and an Arkansas Retail Cigarette and Tobacco permit holder (who may only use minor for compliance checks on permit holder's own retail business.)

b. Procedural

# 🛛 Yes 🗌 No

(If Yes, please describe.)

Youth inspectors must:

1. be 15 or 16 years of age

2. have written parental approval to participate

3. be trained by the Regional Prevention Provider staff prior to conducting inspections.

4. Follow the established protocol for conducting a complience check as trained.

The established protocol outlines the procedures for conducting the inspections, including specifying the timeframe of the complience checks, as a safety protocol and for quality control.

# **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
- Geasonal 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.

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

## **APPENDIX D: LIST SAMPLING FRAME COVERAGE STUDY**

#### (LIST FRAME ONLY)

State:	AR	
FFY:	2015	

#### 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: <u>162</u>
  - d. Number of outlets matched on the list frame: <u>162</u>
- 3. a. Describe how areas were defined. (e.g., census tracts, counties, etc.)

Based on a total of 624 census tracts,	there were 5,883	eligible outlets pe	r populated
cenus tract.		0	

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.

The Arkansas coverage study requires 22 census tracts to achieve a sample size of approximately 200; the minimum and maximum sample sizes recommended by SAMSHA.

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

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

Twenty-six (26) census tracts were randomly selected by using SAS PROC SURVEYSELECT and specifying the selection of two tracts per PRC region. ARCVIEW 10 was used to create detailed maps. The maps of the selected census tracts included: (1) A statewide map to help canvassers identify canvassing area in relation of the State; (2) A local map to help canvassers identify canvassing area in relation to the local area; and (3) A close-up map that provided canvassers with detailed markings of the roads to be canvassed. On the maps, the census tract boundaries were marked with yellow-orange lines, census tract boundaries in study sample with green lines and city limits with bold green lines. Canvassers were instructed to travel on all roads within the green lines, and check all establishments for tobacco sales. In the event that a green line coincided with a road, the canvassers were to check only establishments on the side of the road inside the census tract. Following half a day of training, the canvassers were handed a canvassing packet that included maps of the 2 census tracts, 4 log sheets, return business envelope and instruction sheet.

The results of the Coverage Study yielded 162 tobacco outlets; 133 were described as youth accessible tobacco outlets. All establishments could be matched to the Tobacco Control Agency 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.

#### 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.)  $\square$  **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.

Calendar year's Synar Survey provided us with an estimate of 3,689 eligible tobacco outlets in the State of Arkansas. Based on a total of 624 census tracts (1 tract is not populated), there are 5.883 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 13 PRC regions, a random selection of 2 census tracts per region would yield a sample size of approximately 153 eligible outlets.

# 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.

Canvassers were instructed to travel on all roads within the designated areas specified on the Geographic Information System (GIS) maps provided.

# 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).

An eligible outlet was defined as a match to the Synar sampling frame based on the address, business name, type of business, and license number.

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

100%