

# **ANNUAL SYNAR REPORT**

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

OMB No 0930-0222

**FFY 2014**

**State: Arkansas**

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**Public Burden Statement:** 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. Public reporting burden for this collection of information is estimated to average 18 hours per respondent, per year, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to SAMHSA Reports Clearance Officer, 1 Choke Cherry Road, Room 2-1057, Rockville, Maryland, 20857.

## 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 2013 Compliance Progress) and future plans to ensure compliance with the Synar requirements to reduce youth tobacco access rates (FFY 2014 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) 276-2550 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, 2013 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 2014 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:**

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

### **Overnight Mail:**

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

## FFY 2014: 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 2014 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 2014 is up-to-date and approved by the Center for Substance Abuse Prevention.

**State:** \_\_\_\_\_

**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 2013 (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 state law that impact the following?

Licensing of tobacco vendors  Yes  No

Penalties for sales to minors  Yes  No

Vending machines  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 2014 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?

Yes  No

**4. Identify the following agencies and describe their relationship with the agency responsible for the oversight of the Synar requirements.**

- a. **Identify the state agency responsible for tobacco prevention activities (the agency that receives the Centers for Disease Control and Prevention's National Tobacco Control Program funding).**

Division of Behavioral Health Services (DBHS), ATC, and Center for Health Advancement (Arkansas Department of Health)

- b. **Has the responsible agency changed since last year's Annual Synar Report?**

Yes  No

- c. **Describe the coordination and collaboration that occur between the agency responsible for tobacco prevention and the agency responsible for oversight of the Synar requirements. (Check all that apply.) The two agencies**

Are the same

Have a formal written memorandum of agreement

Have an informal partnership

Conduct joint planning activities

Combine resources

Have other collaborative arrangement(s) (Please describe.) \_\_\_\_\_

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?  
 Yes  No

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 2013 (see 42 U.S.C. 300x-26 and 45 C.F.R. 96.130(e)).

- a. Which one of the following describes the enforcement of state youth access to tobacco laws carried out in your state? (Check one category only.)
- Enforcement is conducted exclusively by local law enforcement agencies.
  - Enforcement is conducted exclusively by state agency (ies).
  - Enforcement is conducted by both local *and* state agencies.



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

PENALTY	OWNERS	CLERKS	TOTAL
Number of citations issued	478	460	938
Number of fines assessed	150	N/A	150
Number of permits/licenses suspended	37		37
Number of permits/licenses revoked	0		0
Other (Please describe.) 1 <sup>st</sup> offense warnings – 328 150 fines totaling \$46,750.00			

- 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.) 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.

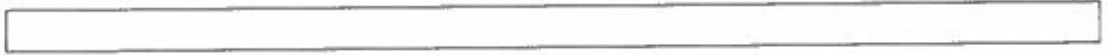
The Youth Leadership Initiative (YLI) is a program of Family Service Agency funded in part by Arkansas Department of Health as a statewide tobacco control youth movement committed to preventing the initiation of tobacco use among youth and reducing the use of tobacco products. The YLI program provides 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:



## 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 2013 (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.

RVR Estimate      +      (1.645      ×      \_\_\_\_\_ )      =  
 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 \_\_\_\_\_ to \_\_\_\_\_  
MM/DD/YY MM/DD/YY

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

\_\_\_\_\_

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 2014 (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 2014. 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, 2012 through September 30, 2013, ATC conducted 5390 compliance checks at 3586 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 \$46,700 in fines was issued this year, including 37 suspensions totaling 111 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 20 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, 2012, through September 30, 2013, 31 regional trainings and 27 individual store trainings were held, with a total of 1,682 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 109 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
- 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.)

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)	2014
Date	12/27/2013 16:21
Data	SSEsv5_DataEntryTemplate_Cluster.xlsx
Analysis Option	Stratified Clustered with FPC

**Estimates**

Unweighted Retailer Violation Rate	3.8%
Weighted Retailer Violation Rate	3.7%
Standard Error	1.0%
Is SAMHSA Precision Requirement met?	YES
Right-sided 95% Confidence Interval	[0.0%, 5.4%]
Two-sided 95% Confidence Interval	[1.7%, 5.8%]
Design Effect	1.2
Accuracy Rate (unweighted)	80.2%
Accuracy Rate (weighted)	78.5%
Completion Rate (unweighted)	97.5%

**Sample Size for Current Year**

Effective Sample Size	94
Target (Minimum) Sample Size	139
Original Sample Size	540
Eligible Sample Size	433
Final Sample Size	422
Overall Sampling Rate	13.6%

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

STATE: AR  
FFY: 2014

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	422	199	34	6	45	22	22	0	0.0%	
10	10	180	177	16	6	41	39	39	0	0.0%	
11	11	208	165	17	6	43	35	33	3	11.8%	
12	12	218	169	18	6	44	34	34	1	2.9%	
13	13	149	103	14	6	34	26	24	1	3.7%	
2	2	183	146	15	6	43	36	33	2	7.2%	
3	3	327	266	28	6	40	35	34	2	5.5%	
4	4	304	253	25	6	43	38	38	0	0.0%	
5	5	329	252	28	6	39	32	32	1	3.2%	
6	6	286	223	25	6	40	33	33	3	8.9%	
7	7	273	223	24	6	42	34	34	0	0.0%	
8	8	286	222	23	6	42	36	33	2	5.6%	
9	9	735	518	59	6	44	33	33	1	2.9%	
<b>Total</b>		<b>3,900</b>	<b>2,916</b>	<b>326</b>	<b>78</b>	<b>540</b>	<b>433</b>	<b>422</b>	<b>16</b>	<b>3.7%</b>	<b>1.0%</b>
<b>Over the Counter Outlets</b>											
1	1	420	199	34	6	44	22	22	0	0.0%	
10	10	178	177	16	6	40	39	39	0	0.0%	
11	11	208	165	17	6	43	35	33	3	11.8%	
12	12	218	169	18	6	44	34	34	1	2.9%	
13	13	149	103	14	6	34	26	24	1	3.7%	
2	2	183	146	15	6	43	36	33	2	7.2%	
3	3	327	266	28	6	40	35	34	2	5.5%	
4	4	303	253	25	6	42	38	38	0	0.0%	
5	5	319	252	28	6	36	32	32	1	3.2%	
6	6	286	223	25	6	40	33	33	3	8.9%	
7	7	273	223	24	6	42	34	34	0	0.0%	
8	8	269	222	23	6	41	35	33	2	5.6%	
9	9	711	518	59	6	41	33	33	1	2.9%	
<b>Total</b>		<b>3,844</b>	<b>2,916</b>	<b>326</b>	<b>78</b>	<b>530</b>	<b>432</b>	<b>422</b>	<b>16</b>	<b>3.7%</b>	<b>1.0%</b>

SSES Table 3 (Synar Survey Sample Tally Summary)

STATE: AR  
FFY: 2014

Disposition Code	Description	Count	Subtotal
EC	Eligible and inspection complete outlet	422	
Total (Eligible Completes)			422
N1	In operation but closed at time of visit	0	
N2	Unsafe to access	5	
N3	Presence of police	0	
N4	Youth inspector knows salesperson	1	
N5	Moved to new location but not inspected	0	
N6	Drive thru only/youth inspector has no drivers license	1	
N7	Tobacco out of stock	3	
N8	Run out of time	0	
N9~	Other noncompletion (see below)	1	
Total (Eligible Noncompletes)			11
I1	Out of Business	23	
I2	Does not sell tobacco products	29	
I3	Inaccessible by youth	32	
I4	Private club or private residence	5	
I5	Temporary closure	9	
I6	Can't be located	6	
I7	Wholesale only/Carton sale only	0	
I8	Vending machine broken	0	
I9	Duplicate	0	
I10*	Other ineligibility (see below)	3	
Total (Ineligibles)			107
Grand Total			540

\*I10- Other ineligible reason (Explain):

1 location had the gate locked – boat owners only and 2 locations were closed for the season

~N9-Area where vending machine was located was closed/unavailable.

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

STATE: AR  
FFY: 2014

**Frequency Distribution**

Gender	Age	Number of Inspectors	Attempted Buys	Successful Buys
Male	14	0	0	0
	15	16	83	4
	16	21	109	2
	17	0	0	0
	18	0	0	0
	Subtotal	37	192	6
Female	14	0	0	0
	15	16	85	4
	16	28	145	6
	17	0	0	0
	18	0	0	0
	Subtotal	44	230	10
Other		0	0	0
Grand Total		81	422	16

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

Age	Male	Female	Total
14	0.0%	0.0%	0.0%
15	4.8%	4.7%	4.8%
16	1.8%	4.1%	3.1%
17	0.0%	0.0%	0.0%
18	0.0%	0.0%	0.0%
Other			0.0%
Total	3.1%	4.3%	3.8%

## **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: 2014

**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(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 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 Arkansas Synar Sampling design consists of a 2-stage cluster design in which there are 318 clusters defined based on county or smaller locales which yields 8 to 22 vendors per cluster. Each cluster has an average size of about 14 vendors.**

**Stage 1 consists of selecting 6 clusters from each Prevention Resource Center (PRC). There are 13 PRCs and each have 6 clusters which yields a total of 78 clusters.**

**Stage 2 consists of selecting 57% of the vendors within a cluster which typically yields an average of 8 per cluster.**

**In summary, our sampling design selects clusters also known as primary sampling units by simple random sampling within each PRC, with a fixed rate.**

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

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

**Yes** (*Respond to part b.*)

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

**b. SSES Sample Size Calculator used?**

**State Level** (*Respond to Question 10a.*)

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

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

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

$N$  = 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

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.

Original sample size =  $n_o = \frac{n_t}{r_a r_c}$ ; 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 SSES Sample Size Calculator to calculate the state level sample size, please provide the following information:**

**Inputs for Effective Sample Size:**

RVR:

Frame Size:

**Input for Target Sample Size:**

Design Effect:

**Inputs for Original Sample Size:**

Safety Margin:

Accuracy (Eligibility) Rate:

Completion Rate:

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

## APPENDIX C: SYNAR SURVEY INSPECTION PROTOCOL

State: Arkansas

FFY: 2014

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

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

#### a. Consummated buy attempts?

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

#### b. Youth inspectors to carry ID?

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

#### c. Adult inspectors to enter the outlet?

- Required  
 Permitted under specified circumstances (Describe: Situational specific \_\_\_\_\_ )  
 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  
 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 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  
 Other

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

The PRCs are trained for identifying what types of products and what brands of products are requested during an inspection of the tobacco retailer outlet. 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.

5. 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.

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 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.)*

**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 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.

**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.)*

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. Below is the Appendix C written Arkansas Synar Inspection Protocol procedure.

## **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: 2014

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.)

Based on a total of 624 census tracts, there were 5.883 eligible outlets per populated census tract.

b. Were any areas of the state excluded from sampling?

Yes  No

If Yes, please explain.

4. Please answer the following questions about the selection of canvassing areas.

a. Which category below best describes the sample design? (Check only one.)

Census (Go to Question 6.)

**Unstratified statewide sample:**

Simple random sample (Respond to Part b.)

Systematic random sample (Respond to Part b.)

Single-stage cluster sample (Respond to Parts b and d.)

Multistage cluster sample (Respond to Parts b and d.)

**Stratified sample:**

Simple random sample (Respond to Parts b and c.)

Systematic random sample (Respond to Parts b and c.)

Single-stage cluster sample (Respond to Parts b, c, and d.)

Multistage cluster sample (Respond to Parts b, c, and d.)

Other (Please describe and respond to Part b.) \_\_\_\_\_

b. Describe the sampling methods.

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. As there are 13 PRC regions, a random selection of 2 census tracts per region yield a sample size of approximately 153 outlets.

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

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

Twenty-six 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.)  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 (or FFY 2013) 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).**

100.00%