

# ANNUAL SYNAR REPORT

42 U.S.C. 300x-26

OMB No 0930-0222

## Alaska

## FFY 2006

Version 2



U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES

Substance Abuse and Mental Health Services Administration

Center for Substance Abuse Prevention

[www.samhsa.gov](http://www.samhsa.gov)

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## INTRODUCTION

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

An agency may not conduct or sponsor and a person is not required to respond to a collection of information unless it displays a currently valid OMB control number. The OMB control number for this project is 0930-0222 with an expiration date of 08/31/2007. Public reporting burden for the collection of information is estimated to average 15 hours for Section I and 3 hours for Section II, including the time for reviewing instructions, completing and reviewing the collection of information, searching existing data sources, and gathering and maintaining the data needed. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing the burden, to SAMHSA Reports Clearance Officer; Paperwork Reduction Project (0930-0222); 1 Choke Cherry Road, Room 7-1044, Rockville, Maryland 20857

### **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 2005 Compliance Progress) and future plans to ensure compliance with the Synar requirements to reduce youth tobacco access rates (FFY 2006 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 Substance Abuse and Mental Health Services Administration's (SAMHSA) 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 SAMHSA/CSAP in improving technical assistance resources and expertise on enforcement efforts and tobacco control program support activities, including State Synar Program support services, through an enhanced technical assistance program involving conferences and workshops, development of training materials and guidance documents, and on-site technical assistance consultation.

### **How the Synar report can help States**

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

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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 and Community Assistance at 240-276-2570 and ask for your respective State Project Officer, or contact your State Project Officer directly by telephone or e-mail using the directory provided. If you have questions about fiscal or grants management issues, you may call the Grants Management Officer, Office of Program Services, Division of Grants Management, at 240-276-1404.

## **Where and when to submit the Annual Synar Report**

The Annual Synar Report (ASR) must be received by SAMHSA no later than December 31, 2005. The ASR must be submitted in the **approved OMB report format**. Use of the approved format will avoid delays in the review and approval process. The chief executive officer (or an authorized designee) of the applicant organization must sign page 1 of the ASR certifying that the State has complied with all reporting requirements.

Submit one signed original of the report, one additional copy, and an electronic version on either CD-ROM or 3.5" diskette to the Grants Management Officer at the address below:

Grants Management Officer  
Office of Program Services, Division of Grants Management  
Substance Abuse and Mental Health Services Administration

### **Regular Mail:**

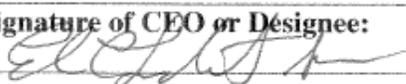
1 Choke Cherry Road, Room 7-1091  
Rockville, Maryland 20857

### **Overnight Mail:**

1 Choke Cherry Road, Room 7-1091  
Rockville, Maryland 20850

**FFY 2006: FUNDING AGREEMENTS/CERTIFICATIONS**

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

<b>PUBLIC HEALTH SERVICES ACT AND SYNAR AMMENDMENT</b>	
42 U.S.C. 300x-26 requires each State to submit an annual report of its progress in meeting the requirements of the Synar Amendment and its implementing regulation (45 C.F.R. 96.130) to the Secretary of the Department of Health and Human Services. By signing below, the chief executive officer (or an authorized designee) of the applicant organization certifies that the State has complied with these reporting requirements and the certifications as set forth below.	
<b>SYNAR SURVEY SAMPLING METHODOLOGY</b>	
The State certifies that the Synar survey sampling methodology on file with the Center for Substance Abuse Prevention and submitted with the Annual Synar Report for FFY 2006 is up-to-date and approved by the Center for Substance Abuse Prevention.	
<b>SYNAR SURVEY INSPECTION PROTOCOL</b>	
The State certifies that the Synar Survey Inspection Protocol on file with the Center for Substance Abuse Prevention and submitted with the Annual Synar Report for FFY 2006 is up-to-date and approved by the Center for Substance Abuse Prevention.	
<b>State:</b> ALASKA	
<b>Name of Chief Executive Officer or Designee:</b> Karleen Jackson	
<b>Signature of CEO or Designee:</b> 	
<b>Title:</b> Commissioner of Health & Social Services	<b>Date Signed:</b> 12-23-2005
<b>If signed by a designee, a copy of the designation must be attached</b>	

FRANK H. MURKOWSKI  
GOVERNOR

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November 30, 2005

Ms. LouEllen M. Rice, Grants Management Officer  
Substance Abuse and Mental Health Services Administration  
Office of Program Services  
Division of Grants Management  
1 Choke Cherry Road, Room 7-1091  
Rockville, MD 20857

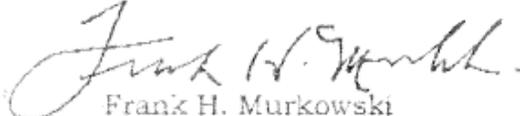
Dear Ms. Rice:

We appreciate the assistance Substance Abuse and Mental Health Services Administration has given to the State of Alaska, through many initiatives, including the Substance Abuse Prevention/Treatment grant program.

In regard to Substance Abuse Prevention and Treatment grants, I would like to designate my signatory power to Alaska's Department of Health and Social Services Commissioner, Karleen Jackson, who in turn delegates such authority to the Director of the Division of Behavioral Health, Cristy Willer.

Thank you for your assistance in this matter.

Sincerely yours,

  
Frank H. Murkowski  
Governor

cc: Karleen Jackson, Commissioner, Department of Health and Social Services  
Bill Hogan, Deputy Commissioner, Department of Health and Social Services  
Cristy Willer, Director, Division of Behavioral Health, Department of Health and Social Services

**SECTION I: FFY 2005 (Compliance Progress)****YOUTH ACCESS LAWS, ACTIVITIES, AND ENFORCEMENT**

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

**1. Please indicate any changes or additions to the State tobacco statute(s) relating to youth access since the last reporting year. Please attach a photocopy of the change(s) in the State law(s) if any was made since the last reporting year. (See 42 U.S.C. 300x-26)**

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

Yes  No

*If Yes, current minimum age:*  19  20  21

**b. Have there been any changes in State law that impact the State's *protocol for conducting Synar inspections*?  Yes  No**

*If Yes, indicate change (check all that apply):*

Changed to require that law enforcement conduct inspections of tobacco outlets

Changed to make it illegal for youth to possess, purchase or receive tobacco

Changed to require ID to purchase tobacco

Other change(s) *(please describe)*: \_\_\_\_\_

**c. Have there been any changes in the law concerning *vending machines*?**

Yes  No

*If Yes, indicate change (check all that apply):*

Total ban enacted

Banned from location(s) accessible to youth

Locking device or supervision required

Other change(s) *(please describe)*: \_\_\_\_\_

**d. Have there been any changes in State law that impact the following?**

Licensing of tobacco vendors  Yes  No

Penalties for sales to minors  Yes  No

**2. Describe how the Annual Synar Report (see 45 C.F.R. 96.130(e)) and the State Plan (see 42 U.S.C. 300x-51) were made public within the State. (Check all that apply)**

Placed on file for public review

Posted on a State agency Web site (Specify Web site location: \_\_\_\_\_)

Notice published in a newspaper or newsletter

Public hearing

Announced in a news release, a press conference, or discussed in a media interview

- Distributed for review as part of the SAPT Block Grant application process
- Distributed through the public library system
- Published in an annual register
- Other change(s) (*please describe*): Distributes at Tobacco Control Alliance event

**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(s) designated by the Governor for oversight of the Synar requirements:**

Department of Law, Office of the Attorney General

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

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

Department of Health & Social Services, Division of Behavioral Health

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

**c. The State agency(s) responsible for enforcing youth tobacco access law(s):**

Department of Health & Social Services, Division of Behavioral Health

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

**4. Identify the State agency(s) responsible for tobacco prevention control activities.**

Department of Health & Social Services, Division of Public Health and Division of Behavioral Health; and Department of Commerce, Community, and Economic Development, Division of Occupational Licensing

Has the responsible agency changed since last year's Annual Synar Report?

Yes  No

**a. Describe the coordination and collaboration that occur between the agency responsible for tobacco control and the agency responsible for oversight of the Synar requirements. The two agencies (*check all that apply*):**

- Are the same
- Have a formal written memorandum of agreement
- Have an informal partnership
- Conduct joint planning activities
- Combine resources
- Have other collaborative arrangement(s) (*please describe*): \_\_\_\_\_

**5. Please answer the following questions regarding the State’s activities to enforce the youth access to tobacco law(s) in FFY 2005. (See 42 U.S.C. 300x-26 and 45 C.F.R. 96.130(e))**

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

- Enforcement is conducted exclusively by local law enforcement agencies.
- Enforcement is conducted exclusively by State agency(s).
- Enforcement is conducted by both local and State agencies.

**b. The following items concern penalties imposed for violations of youth access to tobacco laws by LOCAL AND/OR STATE LAW ENFORCEMENT AGENCIES. Please fill in the number requested or indicate if these data are unavailable or the item is not applicable.**

PENALTY	NOT APPLICABLE	NOT AVAILABLE	TOTAL	If Available	
				OWNERS	CLERKS
Number of <u>citations issued</u>			17		17
Number of <u>finest assessed</u>		<input type="checkbox"/>	28	11	17
Number of <u>permits/licenses suspended</u>	<input type="checkbox"/>	<input type="checkbox"/>	11		
Number of <u>permits/licenses revoked</u>	<input type="checkbox"/>	<input type="checkbox"/>	0		
<i>Other (please describe):</i>					

**c. What additional activities are conducted in your State to support enforcement and compliance with State tobacco access law(s)? (Check all that apply)**

- Merchant education and/or training
- Incentives for merchants who are in compliance (e.g., Reward and Reminder)
- Community education regarding youth access laws
- Media use to publicize compliance inspection results
- Community mobilization to increase support for retailer compliance with youth access laws
- Other activities (please list): \_\_\_\_\_

*Briefly describe all checked activities:*

Merchant education was conducted across the state throughout the year, and several news articles covered the tobacco enforcement program activities.

**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 2005. (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 and go to Question 8.*

*If No, continue to Question 7b.*

**b. Report the weighted and unweighted Retailer Violation Rate (RVR) estimates, and the standard error.**

**Unweighted RVR** \_\_\_\_\_

**Weighted RVR** \_\_\_\_\_

**Standard error (s.e.) of the (weighted) RVR** \_\_\_\_\_

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

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

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

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

*(Check the one that applies)*

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

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

- Yes    No    No stratification

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

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

- Yes    No

*If No, go to Question 7g.*

*If Yes, fill out and attach Form 3 in Appendix A (Forms), and answer the following question:*

**Were any certainty primary sampling units selected this year?**

- Yes    No

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



**SECTION II: FFY 2006 (Intended Use):**

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

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

- Synar sampling methodology  Yes  No  
 Synar inspection protocol  Yes  No

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

**2. Please describe the State's plans to maintain and/or reduce the retailer violation rate for Synar inspections to be completed in FFY 2006. Include a brief description of plans for law enforcement efforts to enforce youth tobacco access laws, activities that support law enforcement efforts to enforce youth tobacco access laws, and any anticipated changes in youth tobacco access legislation or regulation in the State.**

Alaska intends to continue ongoing statewide tobacco enforcement through the efforts of the seasoned staff of investigators and prosecutors. Vendor and community education efforts will continue in close coordination with the Divisions of Occupational Licensing, Division of Public Health, and the Division of Behavioral Health. No changes to regulations are expected in the FFY 2006.

**3. Describe any challenges the State faces in complying with the Synar regulation. (Check all that apply)**

- Limited resources for law enforcement of youth access laws  
 Limited resources for activities to support enforcement and compliance with youth tobacco access laws  
 Limitations in the State youth tobacco access laws  
 Limited public support for enforcement of youth tobacco access laws  
 Limitations on completeness/accuracy of list of tobacco outlets  
 Limited expertise in survey methodology  
 Laws/regulations limiting the use of minors in tobacco inspections  
 Difficulties recruiting youth inspectors

- Geographic, demographic, and logistical considerations in conducting inspections
- Cultural factors (e.g., language barriers, young people purchasing for their elders)
- Issues regarding sources of tobacco under tribal jurisdiction
- Other challenges (*please list*): Seasonal Activity
- No challenges (*please explain*): \_\_\_\_\_

*Briefly describe all items checked above:*

Alaska's transportation challenges continue to consume much of the time and funding for the enforcement program. The cultural factors vary widely from town to town and often require special considerations for the enforcement teams. Seasonal activity and high turnover for store clerks in Alaska create an unusually chaotic retail environment. Ongoing training and education for the vendor community is essential for restricting the availability of tobacco products to minors.

**APPENDIX A: FORMS****SSES Table 1 (Synar Survey Estimates and Sample Sizes)****CSAP-SYNAR REPORT**

State	AK
Federal Fiscal Year (FFY)	2006
Date	3/7/2006 11:41
Data	2005 Survey Results.xls
Analysis Option	Stratified SRS with FPC

**Estimates**

Unweighted Retailer Violation Rate	9.4%
Weighted Retailer Violation Rate	9.4%
Standard Error	1.2%
Is SAMHSA Precision Requirement met?	YES
Right-sided 95% Confidence Interval	[0.0%, 11.4%]
Two-sided 95% Confidence Interval	[6.9%, 11.8%]
Design Effect	1.0
Accuracy Rate (unweighted)	74.1%
Accuracy Rate (weighted)	74.3%
Completion Rate (unweighted)	98.1%

**Sample Size for Current Year**

Effective Sample Size	213
Target (Minimum) Sample Size	216
Original Sample Size	352
Eligible Sample Size	261
Final Sample Size	256
Overall Sampling Rate	53.8%

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

STATE: AK

FFY: 2006

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>											
Large	Large	203	169	N/A	N/A	108	90	89	7	7.9%	
Medium	Medium	442	310	N/A	N/A	244	171	167	17	10.2%	
Total		645	479			352	261	256	24	9.4%	1.2%
<b>Over the Counter Outlets</b>											
Large	Large	203	169	N/A	N/A	108	90	89	7	7.9%	
Medium	Medium	442	310	N/A	N/A	244	171	167	17	10.2%	
Total		645	479			352	261	256	24	9.4%	1.2%
<b>Vending Machines</b>											
Large	Large	0	0	N/A	N/A	0	0	0	0	0.0%	
Medium	Medium	0	0	N/A	N/A	0	0	0	0	0.0%	
Total		0	0			0	0	0	0	0.0%	0.0%

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

STATE: AK

FFY: 2006

Disposition Code	Description	Count	Subtotal
EC	Eligible and inspection complete outlet	256	
Total (Eligible Completes)			256
N1	In operation but closed at time of visit	1	
N2	Unsafe to access	2	
N3	Presence of police	0	
N4	Youth inspector knows salesperson	0	
N5	Moved to new location but not inspected	0	
N6	Drive thru only/youth inspector has no drivers license	0	
N7	Tobacco out of stock	1	
N8	Run out of time	1	
N9	Other noncompletion	0	
Total (Eligible Noncompletes)			5
I1	Out of Business	19	
I2	Does not sell tobacco products	15	
I3	Inaccessible by youth	31	
I4	Private club or private residence	6	
I5	Temporary closure	5	
I6	Unlocatable	8	
I7	Wholesale only/Carton sale only	1	
I8	Vending machine broken	0	
I9	Duplicate	6	
I10	Other ineligibility	0	
Total (Ineligibles)			91
Grand Total			352

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

STATE: AK

FFY: 2006

**Frequency Distribution**

Gender	Age	Number of Inspectors	Attempted Buys	Successful Buys
Male	14	0	0	0
	15	4	82	6
	16	2	39	4
	17	1	33	6
	18	0	0	0
	Subtotal	7	154	16
Female	14	0	0	0
	15	1	25	0
	16	2	27	5
	17	2	35	3
	18	1	15	0
	Subtotal	6	102	8
Other		0	0	0
Grand Total		13	256	24

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

Age	Male	Female	Total
14	0.0%	0.0%	0.0%
15	7.3%	0.0%	5.6%
16	10.3%	18.5%	13.6%
17	18.2%	8.6%	13.2%
18	0.0%	0.0%	0.0%
Other			0.0%
Total	10.4%	7.8%	9.4%

**APPENDIX B**

**SYNAR SURVEY SAMPLING METHODOLOGY**

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

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

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

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

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

Name of Frame Source	Type of Source	Description	Updating Method and Cycle
Department of Community and Economic Development	3	Tobacco vendor business license file from the Dept. of Community and Economic Development.	All tobacco vendors were registered as of January 1 using improved application forms. The Division of Occupational Licensing closely edited the information on the application forms. Also, licensed outlets were telephoned to confirm hours of operation, verify physical location, and to determine if the outlet was a bar/liquor store.
Department of Health and Social Services	6	Alaska requires both a business license and a tobacco endorsement to sell tobacco products. The updated lists maintained by the Dept. of Health and Social Services contain the name and address of tobacco vendors who pay a fee of \$100 per outlet every two years for tobacco endorsements on their business license.	

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

a. **Is any area left out in the formation of the area frame?**     Yes     No

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

\_\_\_\_\_ %

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

Yes     No

*If No, please indicate the reason they are not included in the Synar survey.*

State law bans vending machines

State law bans vending machines from locations accessible to youth

State has SAMHSA approval to exempt vending machines from the survey

**Other** (please describe):

---

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

**Census** (*STOP HERE: Appendix B is complete*)

**Unstratified State-wide sample:**

Simple random sample (*go to Question 9*)

Systematic random sample (*go to Question 6*)

Single-stage cluster sample (*go to Question 8*)

Multi-stage cluster sample (*go to Question 8*)

**Stratified sample:**

Simple random sample (*go to Question 7*)

Systematic random sample (*go to Question 6*)

Single-stage cluster sample (*go to Question 7*)

Multi-stage cluster sample (*go to Question 7*)

**Other** (please describe):

---

**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 9)

**7. Provide the following information about stratification**

**a. Provide a full description of the strata that are created.**

There are two strata, based on the number of tobacco outlets within the city and its vicinity:

Stratum 1 – Large – cities with at least 50 licensed tobacco outlets

Stratum 2 – Medium – cities with 9 to 49 licensed tobacco outlets.

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

**Yes** (go to Question 8)

**No** (go to Question 9)

**8. Provide the following information about clustering**

**a. Provide a full description of how clusters are formed.** (If multi-stage clusters are used, give definitions of clusters at each stage.)

**b. Specify the sampling method (simple random, systematic, or probability proportional to size sampling) for each stage of sampling and describe how the method(s) is (are) implemented.**

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

Effective sample size:

$$n_e = \frac{1}{\left( \frac{(0.0182)^2}{P(1-P)} + \frac{1}{N} \right)}$$

Target sample size: The target sample size ( $n_t$ ) is derived as the effective sample size multiplied by the design effect,  $d$  (i.e.,  $n_t = dn_e$ ). Assuming that the design effect is 1 for the stratified SRS, the target sample size is set to be equal to the effective sample size.

Original sample size: The original sample size is calculated by inflating the target sample size by 25%, namely

$$n_o = (1 + s)n_t,$$

where  $s = 0.25$

## APPENDIX C

STATE: AlaskaFFY: 2006

## SYNAR SURVEY INSPECTION PROTOCOL

*Note: Attach a copy of the inspection form and protocol used to record the inspection result.*

**1. How does the State Synar survey protocol address the following?**

**a. Consummated buy attempts?**

- Required  Not Permitted  
 Permitted under specified circumstances  Not specified in protocol

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

- Required  Not Permitted  
 Permitted under specified circumstances  Not specified in protocol

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

- Required  Not Permitted  
 Permitted under specified circumstances  Not specified in protocol

**d. Youth inspectors to be compensated?**

- Required  Not Permitted  
 Permitted under specified circumstances  Not specified in protocol

**2. Identify the agency(s) or entity(s) that actually conduct the random, unannounced Synar inspections of tobacco outlets. (Check all that apply)**

- Law enforcement agency(s)  
 State or local government agency(s) other than law enforcement  
 Private contractor(s)  
 Other

List the agency name(s): The H&SS Division of Public Health (DPH) and Division of Behavioral Health

**3. Are Synar inspections combined with law enforcement efforts (i.e., do law enforcement issue warnings or citations to retailers found in violation of the law at the time of the inspection)?**

- Always  Usually  Sometimes  Rarely  Never

**4. Describe the methods used to recruit, select, and train youth inspectors and adult supervisors.**

UIs are recruited through local law enforcement and public health employees and school intern programs. They are not chosen solely on their enthusiasm or dedication to the program or upon their capability to purchase tobacco. The physical appearance of their age to everyday people is a major factor regarding whether they are hired. They should look their age. They are instructed on the manner of dress, make-up and accessories worn during survey activities. The protocol for investigators includes requirements for shaving (males should have clean shaven faces). Investigators having consistently high buy-rates for a particular community are carefully re-evaluated to insure that they do not look older than 18 years of age.

The protocol covers training requirements for the UIs. It includes how to act, what to say, and how to respond to a variety of questions. UIs are given the opportunity to practice the protocol in role-play exercises. When possible, provision is made for them to watch, or participate with, another UI attempting a tobacco purchase as part of an actual investigation prior to working alone. UIs are told never to entice an employee to sell through word or action. UIs must answer truthfully if asked their age and must produce an ID if requested. UIs are advised that they do not have to attempt a purchase if they know someone else in the business (they may, if they choose to do so), and they must NOT attempt a purchase from an employee whom they know. UIs are trained to know they can always decline to go into a business or to leave a business if they feel uncomfortable or for any other reason.

**5. Are there specific legal or procedural requirements instituted by the State to address the issue of youth inspectors' immunity when conducting inspections?**

**a. Legal**             Yes     No (*If Yes, please describe*):

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

UIs are instructed to cooperate when challenged by Retail Store Employees. An Adult Investigator is always in close proximity to supervise the buy attempt and to account for the tobacco products.

**6. Are there specific legal or procedural requirements instituted by the State to address the issue of the safety of youth inspectors during all aspects of the Synar inspection process?**

**a. Legal**             Yes     No (*If Yes, please describe*):

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

All investigators are trained to interrupt an operation rather than put the UI in a situation where he/she is inadequately monitored. UI are trained to know they can leave a business or refuse to enter if they feel uncomfortable. Investigation activity is coordinated with local law enforcement to increase awareness of potential problems.

**7. Are there any other legal or procedural requirements the State has regarding how inspections are to be conducted (e.g., age of youth inspector, time of inspections, training that must occur)?**

**a. Legal**             Yes     No (*If Yes, please describe*):

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

Alaska protocol allows for the enlistment of 15 through 18 year-old Underage Investigators (UIs). Alaska law prohibits the sale of tobacco products to persons less than 19 years of age, so including 18 year-old UIs was satisfactory protocol for both enforcement and for Synar survey objectives.

### Sample Investigation Form

ALASKA STATE TOBACCO COMPLIANCE INVESTIGATION FORM			
Business License # <input type="text"/>	Tobacco Endorsement # <input type="text"/>	Business Name <input type="text"/>	Location <input style="width: 100%;" type="text"/>
<input type="checkbox"/> Synar <input type="checkbox"/> Regular Enforcement		Phone: <input type="text"/>	
<b>Store Address</b>	Address <input style="width: 60%;" type="text"/>		City <input style="width: 15%;" type="text"/> State <input style="width: 10%;" type="text"/> Zip <input style="width: 5%;" type="text"/>
<b>Mailing Address</b>	Address <input style="width: 60%;" type="text"/>		City <input style="width: 15%;" type="text"/> State <input style="width: 10%;" type="text"/> Zip <input style="width: 5%;" type="text"/>
<b>Owner's Address</b>	Address <input style="width: 60%;" type="text"/>		City <input style="width: 15%;" type="text"/> State <input style="width: 10%;" type="text"/> Zip <input style="width: 5%;" type="text"/>
Date of Investigation (mm/dd/yy)  _____ / _____ / _____  Time of Investigation (military)  _____	<b>Eligible Complete</b> <input type="checkbox"/> Eligible and inspection complete outlet  <b>Eligible Noncomplete</b> <input type="checkbox"/> In operation, but closed at time of visit <input type="checkbox"/> Unsafe to access <input type="checkbox"/> Presence of Police <input type="checkbox"/> Youth inspector knows salesperson <input type="checkbox"/> Moved to a new location but not inspected <input type="checkbox"/> Drive thru only/youth inspector no driver lic <input type="checkbox"/> Tobacco out of stock <input type="checkbox"/> Ran out of time <input type="checkbox"/> Other noncompletion reason(s)	<b>Ineligible</b> <input type="checkbox"/> Out of business <input type="checkbox"/> Does not sell tobacco products <input type="checkbox"/> Inaccessible by youth <input type="checkbox"/> Private club or private residence <input type="checkbox"/> Temporary closure <input type="checkbox"/> Unlocatable <input type="checkbox"/> Whole sale only/Carton sale only <input type="checkbox"/> Vending machine broken <input type="checkbox"/> Duplicate <input type="checkbox"/> Other ineligibility reason(s)	
Minor's ID (last 4 #'s of SS#)  _____	Officer's ID (last 4 #'s of SS#)  _____		
Was the sale completed by the Clerk?    ___ Yes    ___ No		Clerk's Name <input style="width: 100%;" type="text"/>	
Police:  Did the officer issue a citation? ___ Yes    ___ No  Enter ID Number of the Citation <input style="width: 100%;" type="text"/>  Police Report Number: <input style="width: 100%;" type="text"/>	Minor's ID requested?    ___ Yes    ___ No Did minor present ID?    ___ Yes    ___ No Minor's age asked?    ___ Yes    ___ No Did you observe?    ___ Yes    ___ No  What buy was attempted?    ___ Cigarettes ___ Other  Location of tobacco products?    ___ Clerk access only ___ Self-serve possible ___ Vending machine	Gender    ___ M    ___ F  Hair Color ___ Black    ___ Brown    ___ Red ___ Blond    ___ Gray    ___ Bald ___ Other  Age ___ Teen    ___ Adult    ___ Sen.  Height/Build ___ Short    ___ Avg.    ___ Tall ___ Slim    ___ Avg.    ___ Heavy  Ethnicity ___ White    ___ Black    ___ Asian ___ Hisp.    ___ AK Native ___ Native Am.    ___ Other	
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**APPENDIX D****STATE:** Alaska**FFY:** 2006**List Sampling Frame Coverage Study**  
*(LIST FRAME ONLY)***1. Calendar year of the coverage study:** 2005**2. Percent coverage found:** 118 %*(Provide calculation of the percent coverage)*

Over coverage occurred since the frame assessment found no additional outlets that were not included in the frame, and several listed outlets were ineligible.

% coverage = (# outlets in study / # eligible outlets in study) \* 100

%Coverage = ( 110 / 93) \* 100

%Coverage = 118%

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

A preliminary list frame was developed by downloading the current list of business license tobacco endorsements from the States licensing records. The list was then filtered to remove business registered as bars, private clubs, and other outlets which by law cannot admit persons under 21 years of age. Alaska law requires all tobacco vending machines to be inaccessible to youth, so vending-machine-only locations were excluded. Additional editing was done to identify duplicates that occur when an outlet changes ownership or is operated by multiple parties. Tobacco outlets in village jurisdictions recognized as tribal authorities are excluded from the survey frame as are extremely remote outposts.

Outlets in the state were grouped into 60 similar sized groups based on proximity. 10 groups were randomly selected for the study. Adult tobacco enforcement officers inspected the vicinity in each of the 10 groups looking for additional outlets and validating the eligibility of listed outlets. Of the 110 outlets in the study, 2 did not sell tobacco, 5 were bars, 5 were out of business, 1 was a duplicate, 1 was a private residence, 2 were vending machines and 1 was a tobacco only store (off limits to minors). These 17 outlets were considered ineligible and subsequently removed from the frame.

Since the coverage study identified no additional outlets, and ineligible outlets occurred at a 15% rate, the over coverage condition existed. This was compensated for in the final Synar sample generation by including a 25% safety margin in the SSES Sample Size Calculator.

# Checklist for Completing the FFY 2006 Annual Synar Report

This checklist is also available for download at [www.samhsa.gov](http://www.samhsa.gov) and has been included electronically on the enclosed CD.

STATE NAME: Alaska FISCAL YEAR: 2006

Checklist Completed By (Print): Paul Kaiser Position: Analyst

Telephone Number: 907 - 465 -2177 E-mail Address: Paul\_Kaiser@health.state.ak.us

Signed:  Date: 12/23/2005

**Check the following items as they have been completed, prior to submission of the Annual Synar Report to SAMHSA/CSAP. Please include a copy of this checklist along with your FFY 2006 Annual Synar Report submission.**

- Completion and inclusion of the Checklist for Completing the Annual Synar Report ..... ✓
- Inclusion of 1 electronic version of the complete Annual Synar Report..... ✓
- Inclusion of 1 hardcopy of the completed Annual Synar Report..... ✓
- Signature on Funding Agreements/Certifications..... ✓
- Completion of all Annual Synar Report Questions (see below)..... ✓

Section I: (Compliance Progress)

- Question 1 ..... ✓
  - State Tobacco Legislation..... ✓
- Question 2 ..... ✓
  - Publicizing the Annual Synar Report ..... ✓
- Question 3 ..... ✓
  - Identify Lead Agencies ..... ✓
- Question 4 ..... ✓
  - Tobacco Prevention and Control Agency ..... ✓
  - Coordination and Collaboration with Lead Synar Agency ..... ✓

Question 5 ..... ✓  
 Enforcement of Youth Access ..... ✓  
 Penalties for Violations of Youth Access Laws ..... ✓  
 Supporting Activities ..... ✓

Question 6 ..... ✓  
 Sampling Methodology (Appendix B)..... ✓

Question 7 ..... ✓  
 SSES Used ..... ✓Yes  No  
*If Yes*, SSES Summary Table 1..... ✓  
 SSES Summary Table 2..... ✓  
 SSES Summary Table 3..... ✓  
 SSES Summary Table 4..... ✓

*If No*, Random Sample Survey Results.....   
 Form 1.....   
 Form 2 (Optional) .....   
 Form 3.....   
 Sample Sizes .....   
 Form 4.....

Question 8 ..... ✓  
 List Frame ..... ✓  
 Appendix D..... ✓

Question 9 ..... ✓  
 Inspection Protocol (Appendix C) ..... ✓  
 Form 5.....

Section II (Intended Use)

Question 1 ..... ✓  
 Anticipated Changes ..... ✓

Question 2 ..... ✓  
 State Plan ..... ✓

Question 3 ..... ✓  
 Challenges..... ✓