

# ANNUAL SYNAR REPORT

42 U.S.C. 300x-26

**OMB № 0930-0222**

FFY 2015

State: AK

Version 1.0 FINAL

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## INTRODUCTION

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

### **How the Synar report helps the Center for Substance Abuse Prevention**

In accordance with the tobacco regulations, states are required to provide detailed information on progress made in enforcing youth tobacco access laws (FFY 2014 Compliance Progress) and future plans to ensure compliance with the Synar requirements to reduce youth tobacco access rates (FFY 2015 Intended Use Plan). These data are required by 42 U.S.C. 300x-26 and will be used by the Secretary to evaluate state compliance with the statute. Part of the mission of the Center for Substance Abuse Prevention (CSAP) is to assist states<sup>1</sup> by supporting Synar activities and providing technical assistance helpful in determining the type of enforcement measures and control strategies that are most effective. This information is helpful to CSAP in improving technical assistance resources and expertise on enforcement efforts and tobacco control program support activities, including state Synar program support services, through an enhanced technical assistance program involving conferences and workshops, development of training materials and guidance documents, and onsite technical assistance consultation.

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

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

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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, 2014 and must be submitted in the format specified by these instructions. Use of the approved format will avoid delays in the review and approval process. The chief executive officer (or an authorized designee) of the applicant organization must sign page one of the ASR certifying that the state has complied with all reporting requirements.

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

- FFY 2015 Synar Survey Results: States that use the Synar Survey Estimation System (SSES) must upload one copy of SSES Tables 1–5 (in Excel) to WebBGAS. States that do not use SSES must upload one copy of ASR Forms 1, 4, and 5, and Forms 2 and 3, if applicable, (in Excel) to WebBGAS.
- Synar Inspection Form: States must upload one blank copy of the inspection form used to record the result of each Synar inspection.
- Synar Inspection Protocol: States must upload a copy of the protocol used to train inspection teams on conducting and reporting the results of the Synar inspections.

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

Additionally, the state must submit one signed original of the report (including the signed Funding Agreements/Certifications), as well as one additional copy of the signed Funding Agreements/Certifications, to the Grants Management Officer at the address below:

Grants Management Officer  
Division of Grants Management  
Office of Financial Resources  
Substance Abuse and Mental Health Services Administration

### **Regular Mail:**

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

### **Overnight Mail:**

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

## FFY 2015: FUNDING AGREEMENTS/CERTIFICATIONS

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

### PUBLIC HEALTH SERVICES ACT AND SYNAR AMENDMENT

42 U.S.C. 300x-26 requires each state to submit an annual report of its progress in meeting the requirements of the Synar Amendment and its implementing regulation (45 C.F.R. 96.130) to the Secretary of the Department of Health and Human Services. By signing below, the chief executive officer (or an authorized designee) of the applicant organization certifies that the state has complied with these reporting requirements and the certifications as set forth below.

### SYNAR SURVEY SAMPLING METHODOLOGY

The state certifies that the Synar survey sampling methodology on file with the Center for Substance Abuse Prevention and submitted with the Annual Synar Report for FFY 2015 is up-to-date and approved by the Center for Substance Abuse Prevention.

### SYNAR SURVEY INSPECTION PROTOCOL

The state certifies that the Synar Survey Inspection Protocol on file with the Center for Substance Abuse Prevention and submitted with the Annual Synar Report for FFY 2015 is up-to-date and approved by the Center for Substance Abuse Prevention.

**State:** Alaska

**Name of Chief Executive Officer or Designee:** Valerie Davidson

**Signature of CEO or Designee:**

**Title:** DHSS Commissioner

**Date Signed:**

12/31/14

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

**SECTION I: FFY 2014 (Compliance Progress)**

**YOUTH ACCESS LAWS, ACTIVITIES, AND ENFORCEMENT**

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

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

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

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 2015 ASR was posted to this Web address.)*

<http://dhss.alaska.gov/dbh/Pages/Prevention/programs/tobacco/default.aspx>

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.) Prior to submission of the draft ASR to SAMHSA, the same draft is placed on the state website identified above. Following SAMHSA approval of the ASR, the draft version on the website is replaced with the final ASR. Additionally, an announcement will be made in a news release. The final approved ASR is also distributed at Tobacco Control Alliance events.

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**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:**

Department of Law, Office of the Attorney General and Department of Health & Social Services, Division of Behavioral Health

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

Yes  No

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

Department of Health and Social Services, Division of Behavioral Health

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

Yes  No

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

Department of Health and Social Services, Division of Behavioral Health

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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).**

Department of Health and Social Services, Division of Public Health

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**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)).**

*In April 2012, the Department of Health and Social Services, Division of Behavioral Health (DBH) submitted an application to the FDA to enforce the youth access and advertising restriction in the Family Smoking Prevention and Tobacco Control Act. In August 2012, DBH entered into contract negotiations with the FDA for a contract award. A contract award was predicated on the state legislature providing additional federal authority to DBH to receive FDA funds. This request for additional federal authority was denied by the legislature. No other state agency has applied to FDA for funding to enforce provisions of the Family Smoking Prevention and Tobacco Control Act.*

**e. Has the responsible agency changed since last year’s Annual Synar Report?**  
 Yes    No    Not Applicable. See 4d above.

**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.)* \_\_\_\_\_
- Not Applicable. See 4d above.

**g. Does the state use data from the FDA enforcement inspections for Synar survey reporting?**

- Yes    No    Not Applicable. See 4d above.

5. Please answer the following questions regarding the state's activities to enforce the state's youth access to tobacco law(s) in FFY 2014 (see 42 U.S.C. 300x-26 and 45 C.F.R. 96.130(e)).

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

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

b. The following items concern penalties imposed for all violations of state youth access to tobacco laws by **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 <u>citations issued</u>	3	22	25
Number of <u>finest assessed</u>	27	21	48
Number of <u>permits/licenses suspended</u>	24		24
Number of <u>permits/licenses revoked</u>	0		0
Other (Please describe.)	0	0	0

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

*Briefly describe all checked activities:*

Activities to increase knowledge about youth access to tobacco, enforcement and compliance of retailers includes a multi-strategy approach. Materials are available for all Alaska retailers related to the state's laws related to legal age for tobacco purchase/use, retailer responsibility to enforce youth access laws and suggestions to assist retailers in reducing violations of these laws. DBH staff are available upon request to provide retailer/clerk training and send materials to retailers upon request and periodically to all Alaska retailers. In addition, DBH uses the media to highlight compliance with the laws, the annual retail violation rates and issues related to health issues for youth who choose to use tobacco. The Alaska Tobacco Control Alliance assist Behavioral Health in mobilizing community education, outreach, and support related to youth tobacco issues. In recent years, the Alaska legislature has approved new funding to update, revise and reproduce new tobacco educational materials for retailers.

**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:*

To minimize the risk of survey bias, the enforcement team splits into groups and conducts simultaneous inspections. Throughout the inspection period, team members maintain contact via cell phones. In the event that one team issues a citation, all other teams are immediately notified. Enforcement teams will conduct one or two more inspections and then terminate inspections for the day. During these post-citation inspections, enforcement teams want especially to observe whether store personnel are talking among themselves of the tobacco citations just issued that day. If store personnel are aware of such citations, then stores most likely are passing this information among themselves. In these cases, the enforcement team will choose to reschedule investigations for a future date.

## SYNAR SURVEY METHODS AND RESULTS

The following questions pertain to the survey methodology and results of the Synar survey used by the state to meet the requirements of the Synar Regulation in FFY 2014 (see 42 U.S.C. 300x-26 and 45 C.F.R. 96.130).

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

**Yes**    **No**

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

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

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

**Yes**    **No**

*If Yes, attach SSES summary tables 1, 2, 3, and 4 to the hard copy of the ASR and upload a copy of SSES tables 1–5 (in Excel) to WebBGAS. Then go to Question 8. If No, continue to Question 7b.*

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

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

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

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

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

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

**Accuracy rate** \_\_\_\_\_

**Completion rate** \_\_\_\_\_

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

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

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

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

- Yes  No  No stratification

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

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

- Yes  No

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

*If No, go to Question 7g.*

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

- Yes  No

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

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

	Sample Size
<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:** 2014

**b. Percent coverage from the latest frame coverage study:** 95.62%

**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:** Given Alaska's continued coverage rate of above 90%, we are requesting permission to conduct the coverage studies at 5-year intervals instead of 3-year intervals. If approved, the next coverage study will be planned for calendar year 2019.

**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** 6/1/2014 **to** 9/30/2014  
MM/DD/YY MM/DD/YY

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

12

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

n/a

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

## SECTION II: FFY 2015 (Intended Use):

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

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

- Synar sampling methodology  Yes  No  
Synar inspection protocol  Yes  No

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

### 2. Please describe the state's plans to maintain and/or reduce the target rate for Synar inspections to be completed in FFY 2015. Include a brief description of plans for law enforcement efforts to enforce youth tobacco access laws, activities that support law enforcement efforts to enforce youth tobacco access laws, and any anticipated changes in youth tobacco access legislation or regulation in the state.

Alaska anticipates the following statewide tobacco enforcement activities for FFY15:

- Work with our partners in the Alaska Court System and the Alaska Department of Commerce, Community and Economic Development (DCCED), to process suspensions for vendors convicted of selling tobacco to youths in a timelier manner. Suspensions of tobacco endorsements block vendors from selling tobacco to the public for specified periods of time. Suspensions of tobacco endorsements have been slow due to high personnel turnover.
- Continue efforts to educate vendors and communities about laws related to the sale of tobacco products to underage youth.
- Updating new vendor education materials and exploring positive rewards for vendors that do not sell tobacco to youths during investigations (example: mailing thank-you letters to vendors or publishing in local papers the names of vendors who do not sell tobacco to youths). Additional funds have been provided by the Alaska legislature to update and revise our current vendor education materials.
- Mail letters to all tobacco vendors at least once yearly to remind them of tobacco access laws and to inform them that investigators may visit their premises to conduct under-cover tobacco investigations;
- Work in closer partnership with DBH community grantees and Division of Public Health Tobacco Prevention grantees to assist in educating the local community about the importance of retailer enforcement of tobacco access and sell laws.

- Because of Alaska’s Synar methodology, tobacco sales in stratum 4 (rural/remote Alaska) are weighted significantly more than sales in other strata. As such, Alaska will always maintain special oversight of stratum 4 in terms of non-Synar premise inspections and enforcement activities. Additionally, Alaska will increase non-Synar activities in strata with high RVR rates in the prior year. For FFY15, this includes stratum 6, Southeast.

**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.*) See narrative below.

*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.*

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 1-5**

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

**CSAP-SYNAR REPORT**

State	AK
Federal Fiscal Year (FFY)	2015
Date	12/19/2014 11:04
Data	FFY2015 Synar Investigation results_v3.xlsx
Analysis Option	Stratified SRS with FPC

**Estimates**

Unweighted Retailer Violation Rate	5.1%
Weighted Retailer Violation Rate	7.4%
Standard Error	2.0%
Is SAMHSA Precision Requirement met?	NO
Right-sided 95% Confidence Interval	[0.0%, 10.7%]
Two-sided 95% Confidence Interval	[3.6%, 11.3%]
Design Effect	2.3
Accuracy Rate (unweighted)	86.3%
Accuracy Rate (weighted)	86.8%
Completion Rate (unweighted)	54.2%

**Sample Size for Current Year**

Effective Sample Size	358
Target (Minimum) Sample Size	716
Original Sample Size	881
Eligible Sample Size	760
Final Sample Size	412
Overall Sampling Rate	55.9%

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

STATE: AK

FFY: 2015

Samp. Stratum	Var. Stratum	Outlet Frame Size	Estimated Outlet Population Size	Number of PSU Clusters Created	Number of PSU Clusters in Sample	Outlet Sample Size	Number of Eligible Outlets in Sample	Number of Sample Outlets Inspected	Number of Sample Outlets in Violation	Retailer Violation Rate(%)	Standard Error(%)
<b>All Outlets</b>											
1	1	165	132	N/A	N/A	165	132	127	3	2.4%	
2	2	61	51	N/A	N/A	61	51	46	1	2.2%	
3	3	64	50	N/A	N/A	64	50	47	2	4.3%	
4	4	422	395	N/A	N/A	349	327	48	5	10.4%	
5	5	128	107	N/A	N/A	128	107	81	4	4.9%	
6	6	114	93	N/A	N/A	114	93	63	6	9.5%	
Total		954	828			881	760	412	21	7.4%	2.0%
<b>Over the Counter Outlets</b>											
1	1	165	132	N/A	N/A	165	132	127	3	2.4%	
2	2	61	51	N/A	N/A	61	51	46	1	2.2%	
3	3	64	50	N/A	N/A	64	50	47	2	4.3%	
4	4	422	395	N/A	N/A	349	327	48	5	10.4%	
5	5	128	107	N/A	N/A	128	107	81	4	4.9%	
6	6	114	93	N/A	N/A	114	93	63	6	9.5%	
Total		954	828			881	760	412	21	7.4%	2.0%
<b>Vending Machines</b>											
1	1	0	0	N/A	N/A	0	0	0	0	0.0%	
2	2	0	0	N/A	N/A	0	0	0	0	0.0%	
3	3	0	0	N/A	N/A	0	0	0	0	0.0%	
4	4	0	0	N/A	N/A	0	0	0	0	0.0%	
5	5	0	0	N/A	N/A	0	0	0	0	0.0%	
6	6	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: 2015

Disposition Code	Description	Count	Subtotal
EC	Eligible and inspection complete outlet	412	
Total (Eligible Completes)			412
N1	In operation but closed at time of visit	13	
N2	Unsafe to access	0	
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	2	
N8	Run out of time	3	
N9	Other noncompletion (see below)	330	
Total (Eligible Noncompletes)			348
I1	Out of Business	39	
I2	Does not sell tobacco products	18	
I3	Inaccessible by youth	42	
I4	Private club or private residence	6	
I5	Temporary closure	0	
I6	Can't be located	8	
I7	Wholesale only/Carton sale only	3	
I8	Vending machine broken	0	
I9	Duplicate	5	
I10	Other ineligibility	0	
Total (Ineligibles)			121
Grand Total			881

**Give reasons and counts for other noncompletion:**

Reason	Count
Known Non-Complete: High risk of compromised anonymity; commercial lodging not available in most communities where vendor is located.	309
Industrial zone: access restricted to employees only	16
Remote lodge: access generally restricted to paying guests; compromised anonymity if inspection occurred.	1
Weather conditions prevented access to presumed eligible vendor	1
Vendor relocated to new location	1
Vendor located in secure area of airport terminal that customers can access only if they have airline tickets and pass through TSA screening.	2

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

STATE: AK  
FFY: 2015

**Frequency Distribution**

Gender	Age	Number of Inspectors	Attempted Buys	Successful Buys
Male	14	0	0	0
	15	0	0	0
	16	1	47	1
	17	4	161	3
	18	0	0	0
	Subtotal		5	208
Female	14	0	0	0
	15	0	0	0
	16	4	127	11
	17	3	77	6
	18	0	0	0
	Subtotal		7	204
Other		0	0	0
Grand Total		12	412	21

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

Age	Male	Female	Total
14	0.0%	0.0%	0.0%
15	0.0%	0.0%	0.0%
16	2.1%	8.7%	6.9%
17	1.9%	7.8%	3.8%
18	0.0%	0.0%	0.0%
Other			0.0%
Total	1.9%	8.3%	5.1%

## **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: Alaska  
 FFY: 2015

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

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

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

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

- 1 – Statewide commercial business list
- 2 – Local commercial business list
- 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
Alaska Department of Commerce, Community and Economic Development (DCCED), Division of Corporations, Business and Professional Licensing	3	Tobacco vendor business license and endorsement list from the Dept. of Commerce, Community and Economic Development	See below.

**List Frame Data Source.**

Alaska utilizes a list of tobacco vendors generated annually by the Alaska Department of Commerce, Community, & Economic Development (DCCED). Tobacco vendors are required to have a valid business license and tobacco endorsement (per AS 43.70.075. License Endorsement), both of which are issued by the DCCED. Both business license and endorsement are valid through December 31 of the year in which the license expires.

During February of each year, the DCCED generates a list of tobacco vendor endorsements for which the business license and endorsement have an expiration date greater than or equal to December 31 of the prior year.

**Preparing the List Frame**

The DCCED list of tobacco vendors is reviewed and “cleaned” in preparation for its use as the Synar list frame. These “clean-up” efforts include the following steps:

- a) **License Status.** Vendors with a license status of “inactive” are removed from the list frame. A vendor may choose to inactivate a business license prior to its expiration date. A license status of inactive denotes that the vendor voluntarily ceases all business activity allowed under the license.
- b) **Business Physical Address.** Vendors with a business license that does not include an Alaska physical address are removed from the list frame (for example, cruise ships or fishing boats that have a home port in Seattle, WA).
- c) **Tribal Lands.** Tobacco endorsements associated with vendors on tribally controlled lands over which the State of Alaska has no jurisdiction are removed from the list frame. At present, the Annette Island Reserve (i.e. the community of Metlakatla) is the only federal reservation for indigenous peoples in Alaska.
- d) **NAICS Codes.** When applying for a tobacco endorsement, a vendor identifies up to two NAICS (North American Industry Classification System) codes that generally describe the type of commercial activity in which the vendor is engaged. Vendor endorsements with the following NAICS codes are identified as youth-inaccessible and are removed from the list frame:

NAICS Code	NAICS Description
424810	BEER AND ALE MERCHANT WHOLESALERS
424940	TOBACCO AND TOBACCO PRODUCT MERCHANT WHOLESALERS
445310	BEER, WINE, AND LIQUOR STORES *
452910	WAREHOUSE CLUBS AND SUPERCENTERS
453991	TOBACCO STORES
454210	VENDING MACHINE OPERATORS
722410	DRINKING PLACES (ALCOHOLIC BEVERAGES)
813410	CIVIC AND SOCIAL ORGANIZATIONS (Endorsements with this NAICS code that are private clubs with bars are identified as youth-inaccessible)

\* A list of vendor endorsements with a NAICS code for Beer, Wine, and Liquor Stores is reviewed by enforcement staff; if enforcement staff know or believe that an outlet is or might be youth accessible (e.g., based on the business name), the outlet is kept on the list frame.

If a vendor endorsement has two NAICS codes, and one or both of the codes identifies the endorsement as youth-accessible, then the endorsement is included in the list frame.

The following Alaska state statutes are used as a basis for determining youth-inaccessibility:

- AS 11.76.100. Selling or Giving Tobacco to a Minor.
- AS 11.76.106. Selling Tobacco Outside Controlled Access.
- AS 11.76.107. Failure to Supervise Cigarette Vending Machine.
- AS 04.16.049. Access of Persons Under the Age of 21 to Licensed Premises (Regulation of Sales and Distribution of Alcoholic Beverages).
- AS 04.16.060. Purchase By or Delivery to Persons Under the Age of 21 (Regulation of Sales and Distribution of Alcoholic Beverages).

SAMHSA/CSAP provided the following guidance regarding AS 04.16.049. Access of Persons Under the Age of 21 to Licensed Premises as it pertains to identifying youth-inaccessible endorsements:

- Vendor endorsements that sell alcoholic beverages and also are identified as full-service restaurants (NAICS code 722110) are removed from the list frame. These endorsements can be considered youth-inaccessible due to the statutory requirement that individuals under 21 must remain in the restaurant area and cannot enter the bar area.
- Vendor endorsements that sell alcoholic beverages and are not identified as full-service restaurants are removed from the list frame. These endorsements can be considered youth-inaccessible due to the statutory requirement that a person under 21 may enter the premises only if accompanied by a parent, guardian, or spouse who has attained the age of 21. Note: this includes establishments that sell alcoholic beverages and are identified as limited service restaurants (NAICS code 722211).

**e) Additional Clean-Up Efforts**

- **Prior Year Ineligibles.** Tobacco endorsements are removed from the list frame if they were identified in the prior year Synar investigation as:

<b>Disposition Code</b>	<b>Disposition Description</b>
I3	Inaccessible by Youth
I4	Private club or residence
I6	Unlocatable
I7	Whole sale only/carton sale only
I9	Duplicate (i.e., two distinct endorsement IDs referencing the same point of sale)

- **Synar Ineligibility Confirmation.** Tobacco endorsements are removed from the list frame if tobacco enforcement staff has knowledge, based on information obtained since June 1 of the prior year, that the endorsement would be disposed of in a Synar investigation with one of five ineligible disposition codes (I3, I4, I6, I7, and I9). Knowledge of the ineligible disposition status is based on the following:
  - An education effort or tobacco investigation at the business site.
  - A Synar eligibility on-site survey for vendors identified as being youth inaccessible (i.e., one or both NAICS codes indicates the vendor is youth inaccessible). For these vendors, eligibility status is confirmed on-site for each point of tobacco sale.
  - A Synar eligibility phone survey for vendors identified as being youth accessible (i.e., each NAICS code indicates the vendor is youth accessible). For these vendors, eligibility status is confirmed based on a phone survey of the owner or employee of the business. If the business owner or an employee states that the

business is closed, doesn't sell tobacco products or is a private club/residence, then the endorsement is removed from the list frame.

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

n/a

**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.**

Alaska’s stratification scheme includes six strata. Strata definitions are based on the following factors:

- US 2010 census area boundaries
- Urban/rural character
- Alaska Department of Labor economic regions
- Geographic regions
- Number and distribution of tobacco outlets on the Synar Survey list frame
- Population size (youth and total)

A list and description of the six strata are provided below. Census areas and urban status are based on the 2010 US Census designation.

<b>Stratum #</b>	<b>Stratum Description</b>
1	Anchorage Municipality
2	Fairbanks North Star Borough
3	Matanuska-Susitna Borough
4	Rural/Remote Census Areas
5	Gulf Coast Census Areas
6	Southeast Census Areas

1. **Anchorage Municipality.** Anchorage Municipality is on the ‘connected surface transportation network’ and includes:
  - ‘Anchorage Urbanized Area’
  - ‘Anchorage Northeast Urban Cluster’
  - Surrounding rural areas
2. **Fairbanks North Star Borough:** Fairbanks North Star Borough is on the ‘connected surface transportation network’ and includes:
  - ‘Fairbanks Urbanized Area’
  - ‘Eielson AFB Urban Cluster’
  - Surrounding rural areas
3. **Matanuska-Susitna Borough.** The Matanuska-Susitna Borough is on the ‘connected surface transportation network’ and includes:
  - ‘Lakes--Knik--Fairview--Wasilla Urban Cluster’
  - Surrounding rural areas
4. **Rural/Remote Census Areas.** The Rural/Remote stratum is comprised of 13 census areas that are predominantly rural and remote in character. Of the 13 census areas, four contain a census *tract* within which there is an area with an ‘urban cluster’ designation. These four census tracts generally tend to be rural and remote in character; however, each one contains a community with a populated area that meets the criteria of a Census Urban Cluster. This stratum includes:

- Aleutians East Borough
- Aleutians West Census Area
- Bethel Census Area (contains ‘Bethel Urban Cluster’)
- Bristol Bay Borough
- Denali Borough
- Dillingham Census Area
- Lake and Peninsula Borough
- Nome Census Area (contains ‘Nome Urban Cluster’)
- North Slope Borough (contains ‘Barrow Urban Cluster’)
- Northwest Arctic Borough (contains ‘Kotzebue Urban Cluster’)
- Southeast Fairbanks Census Area
- Wade Hampton Census Area
- Yukon-Koyukuk Census Area

5. **Gulf Coast Census Areas.** The Gulf Coast stratum is comprised of three census areas:

- Kodiak Island Borough
- Kenai Peninsula Borough
- Valdez-Cordova Census Area

These census areas are on the ‘connected surface transportation network’ and include:

- ‘Kenai Urban Cluster’
- ‘Kodiak Urban Cluster’
- ‘Soldotna Urban Cluster’
- Surrounding rural areas

6. **Southeast Census Areas.** The Southeast stratum is comprised of ten census areas:

- Haines Borough
- Hoonah-Angoon Census Area
- Juneau City and Borough
- Ketchikan Gateway Borough
- Petersburg Census Area
- Prince of Wales-Hyder Census Area
- Sitka City and Borough
- Skagway Municipality
- Yakutat City and Borough
- Wrangell City and Borough

These census areas are on the ‘connected surface transportation network’ and include:

- ‘Juneau Urban Cluster’
- ‘Ketchikan Urban Cluster’
- ‘Sitka Urban Cluster’

- Surrounding rural areas

Alaska uses the optimal allocation sampling methodology due to the significant variation in sampling costs across the six strata. Estimated sampling costs will be updated annually prior to generating a Synar sample. Sampling costs specific to the current FFY Synar survey are provided under Question 10a below.

**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.)

- 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 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.**

**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:**

*Stratum Options* dialogue box:

**Select Option:** *Perform both State-level sample size calculation and stratum allocation.*

**Allocation Method:** *Optimum*

***Sample Size Calculator* dialogue box**

**Type:** *One-sided 95% CI*

**Inputs for Effective Sample Size:**

RVR: 15%

Frame Size: 954

**Input for Target Sample Size:**

Design Effect: 2

**Inputs for Original Sample Size:**

Safety Margin: 0%

Accuracy (Eligibility) Rate: 85%

Completion Rate: 55%

In FFY10, Alaska implemented changes to the sampling design and was not able to rely on the prior year's results (i.e., RVR, completion rate, and accuracy rate) for calculating the FFY10 sample size. Instead, very conservative estimates were used for input values. It was anticipated that Alaska would continue to use estimates for a few years until the RVR, completion rate, and accuracy rate showed signs of stabilizing. Once relatively stable, the prior year's results were going to be used rather than estimates.

From FFY10 to FFY13, Alaska gradually lowered the input RVR estimate to be closer to the prior year's resulting RVR. However, for FFY13, the input RVR resulted in a sample size that was too small, and the precision requirement was not met.

Based on a review of the sample size inputs and survey results for FFY10 through FFY13, Alaska has established a standard set of very conservative sample size inputs that will be used each year to help ensure a large enough sample size for meeting the precision requirement. These inputs are provided above.

- 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:**

Strata specific inputs for the Synar year in question are provided below.

**Strata Inputs**

<b>Stratum ID / Description</b>	<b>Stratum Size</b>	<b>Estimated Cost (\$) Per Investigation (Based on Most Expensive Investigation)</b>	<b>Cost Ratio Relative to Stratum 4</b>
1) Anchorage census area	165	\$ 1,069	0.06
2) Fairbanks North Star census area	61	\$ 2,440	0.15
3) Mat-Su census area	64	\$ 2,282	0.14
4) Rural/Remote census areas	422	\$ 16,806	1.00
5) Gulf Coast census areas	128	\$ 5,321	0.32
6) Southeast census areas	114	\$ 4,845	0.29
<b>TOTAL</b>	<b>954</b>		

**c. 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:**

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

## APPENDIX C: SYNAR SURVEY INSPECTION PROTOCOL

State: AK

FFY: 2015

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

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

#### a. Consummated buy attempts?

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

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

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

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

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

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

- Required  
 Permitted under specified circumstances (Describe: \_\_\_\_\_ )  
 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): H&SS Division of Behavioral Health (DBH)

**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.**

Factors that influence the types of tobacco products requested by the youth include: gender, age, ethnic group, location within Alaska, and vendor type. Product types mainly include cigarettes and smokeless/spit tobacco, with an occasional request for cigars. (Reference the Alaska Youth Risk Behavior Surveillance System [YRBSS].)

Youths are instructed to request either cigarettes (usually female) or chewing tobacco (usually males). When requesting cigarettes, youths ask for "Camels" first, which is a popular brand and can easily be pronounced by youth from diverse cultural backgrounds. If "Camels" are not available, youths ask for another brand of available cigarettes. When requesting chewing tobacco, youth ask for "Skoal," "Copenhagen," "Kodiak" or "Grizzly" brands, depending on retailer availability.

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

Student interns 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 19 years of age.

The protocol covers training requirements for the student interns. It includes how to act, what to say, and how to respond to a variety of questions. Student interns 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 student intern attempting a tobacco purchase as part of an actual investigation prior to working alone. Student interns are told never to entice an employee to sell through word or action. Student interns must answer truthfully if

asked their age and must produce an ID if requested. Student interns 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. Student interns 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.

**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.)*

**b. Procedural**

Yes  No

*(If Yes, please describe.)*

Student Interns are instructed to cooperate when challenged by Retail Store Employees. An adult investigator is in close proximity to supervise the buy attempt and to account for the tobacco products

**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.)*

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

**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.)*

**b. Procedural**

Yes  No

*(If Yes, please describe.)*

Alaska protocol allows for the enlistment of 15 through 18 year-old student interns. Alaska law prohibits the sale of tobacco to persons less than 19 years of age, so including 18 year old student interns is satisfactory protocol for both enforcement and Synar survey objectives.

## APPENDIX D: LIST SAMPLING FRAME COVERAGE STUDY

(LIST FRAME ONLY)

State: AK

FFY: 2015

1. Calendar year of the coverage study: 2014
2.
  - a. Unweighted percent coverage found: 95.62%
  - b. Weighted percent coverage found: 95.62%
  - c. Number of outlets found through canvassing: 251
  - d. Number of outlets matched on the list frame: 240
3.
  - a. Describe how areas were defined. (e.g., census tracts, counties, etc.)

The CY 2014 coverage study sampling areas were generally the same as those used for the CY 2011 coverage study, with some adjustments reflecting the 2010 US Census data. For both coverage study years, the sampling areas were defined based on census tracts or merged census tracts. The following guidelines were used for merging census tracts:

1. All census tracts with 2 or fewer outlets were merged with one or more adjacent tract(s).
2. All census tracts with 3 or 4 outlets were considered for merging with one or more adjacent tract(s); most of these were merged with adjacent tracts.
3. For 1. and 2. above, the following factors were considered when determining which adjacent tracts would be merged into a sampling area:
  - a. Road connectivity
  - b. Road miles and road density
  - c. Population centers
  - d. Military bases
  - e. Geographic features
  - f. Number of outlets

Based on the 2010 census data, Alaska is comprised of 167 census tracts; these 167 census tracts were rezoned into 84 sampling areas. Statewide, for the 84 sampling areas, the average number of outlets per sampling area was estimated to be 10.6. Across the seven coverage study strata, the average number of outlets per sampling area ranged from 7.3 to 17.4.

- 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.**

Sample areas were selected for canvassing using a simple random sample from each of seven coverage study strata. A sampling fraction of 3.23 was used to calculate a target number of areas to sample within each stratum (see formula below). All strata were equally weighted. This resulted in a statewide target of 26 of 84 areas to be sampled. A python script was used to randomly select sample areas within each stratum.

The following formula was used to calculate the number of areas to sample per stratum:

Number of sampling areas within stratum / 3.23 =

# of areas to be sampled (rounded to the whole number).

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

The CY 2014 coverage study used the same stratification scheme that was used for the CY 2011 coverage study. This is the same stratification scheme used for the Synar Survey, with one modification: Synar Survey Stratum Id 4 (Rural/Remote Census Areas) was subdivided into two strata. Each of the seven coverage study strata is described below; urban status is based on the 2010 US Census designation:

1. Anchorage Municipality. Anchorage Municipality is on the ‘connected surface transportation network’ (defined as road and/or marine highway network) and includes:

- ‘Anchorage Urbanized Area’
- ‘Anchorage Northeast Urban Cluster’
- Surrounding rural areas

2. Fairbanks North Star Borough. Fairbanks North Star Borough is on the ‘connected surface transportation network’ and includes:

- ‘Fairbanks Urbanized Area’
- ‘Eielson AFB Urban Cluster’
- Surrounding rural areas

3. Matanuska-Susitna Borough. Matanuska-Susitna Borough is on the ‘connected surface transportation network’ and includes:

- ‘Lakes-Knik-Fairview-Wasilla Urban Cluster’
- Surrounding rural areas

4a. Rural/Remote Census Areas – Excluding Census Tracts with Urban Clusters. This stratum is the same as Synar Survey Stratum Id 4 Rural/Remote, with the exception that four census tracts were excluded and placed into a separate stratum (see 4b below). Stratum 4a is comprised of 13 census areas (minus the four census tracts) and is rural and predominantly remote in character.

Rural/Remote Census Areas:

- Aleutians East Borough
- Aleutians West Census Area
- Bethel Census Area (excluding census tract with Bethel Urban Cluster)
- Bristol Bay Borough
- Denali Borough
- Dillingham Census Area
- Lake and Peninsula Borough
- Nome Census Area (excluding census tract with Nome Urban Cluster)
- North Slope Borough (excluding census tract with Barrow Urban Cluster)
- Northwest Arctic Borough (excluding census tract with Kotzebue Urban Cluster)
- Southeast Fairbanks Census Area
- Wade Hampton Census Area
- Yukon-Koyukuk Census Area

4b. Rural/Remote Census Tracts with Urban Clusters. Of the 13 census areas in Synar Survey Stratum Id 4 Rural/Remote, four contain a census tract within which

there is an area with an ‘urban cluster’ designation; these four census tracts were placed in their own stratum for the purposes of the Coverage Study. These four census tracts generally tend to be rural and remote in character; however, each one contains a community with a populated area that meets the criteria of a Census Urban Cluster.

Rural/Remote Census Tracts with Urban Clusters:

- ‘Barrow Urban Cluster’ and surrounding rural areas
- ‘Bethel Urban Cluster’ and surrounding rural areas
- ‘Kotzebue Urban Cluster’ and surrounding rural areas
- ‘Nome Urban Cluster’ and surrounding rural areas

5. Gulf Coast Census Areas: Gulf Coast is comprised of three census areas:

- Kodiak Island Borough
- Kenai Peninsula Borough
- Valdez-Cordova Census Area

These census areas are on the ‘connected surface transportation network’ and include:

- o ‘Kenai Urban Cluster’
- o ‘Kodiak Urban Cluster’
- o ‘Soldotna Urban Cluster’
- o Surrounding rural areas

6. Southeast Census Areas. Southeast is comprised of ten census areas:

- Haines Borough
- Hoonah-Angoon Census Area
- Juneau City and Borough
- Ketchikan Gateway Borough
- Petersburg Census Area
- Prince of Wales-Hyder Census Area
- Sitka City and Borough
- Skagway Municipality
- Yakutat City and Borough
- Wrangell City and Borough

These census areas are on the ‘connected surface transportation network’ and include:

- o ‘Juneau Urban Cluster’
- o ‘Ketchikan Urban Cluster’
- o ‘Sitka Urban Cluster’

o Surrounding rural areas

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

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

Yes  No

**6. Were all sampled areas visited by canvassing teams?**

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

**a. Was the subset of areas randomly chosen?**

Yes  No

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

1. Communities with a population of less than 10 were not canvassed:

a. For Stratum 4a “Rural/Remote Census Areas - Excluding Census Tracts with Urban Clusters,” within the seven randomly selected sample areas, a subsample was selected using a convenience sample, i.e., communities with a population of less than 10 were not canvassed. Of the 68 communities in the Stratum 4a sampled areas, one community had a population of less than 10 and was not canvassed.

b. For Stratum 5 “Gulf Coast Census Areas,” within the four randomly selected sample areas, a subsample was selected using a convenience sample, i.e., communities with a population of less than 10 were not canvassed. Of the 33 communities in the Stratum 5 sampled areas, one community had a population of less than 10 and was not canvassed.

2. “Proxy Canvassing” was used to canvass remote, very rural communities that Tobacco Enforcement staff were not able to field canvass, primarily because overnight lodging was not available in the community. Proxy canvassing also was used to canvass a few communities that could not be field canvassed due to road closures or unsafe travel conditions (e.g., when a community access road was closed due to seasonal closures or temporary closures due to weather conditions). A total of 65 communities were proxy canvassed. Initially, the process for proxy canvassing, as approved by SAMHSA/CSAP, involved a coordinated effort with State Troopers, Village Public Safety Officers (VPSOs), Village Health Aids (VHAs), and/or Public Health Nurses (PHNs) to identify all vendor outlets in the community that sell tobacco products to the general public and are accessible by youth. One of the proxy canvassing requirements is that the canvasser must have a thorough knowledge of the community based on a visit to -- or living in -- the community within the past 6 months. In many cases, however, these “proxy canvassers” did not have a thorough enough knowledge of the vendors in the community. In order to ensure a more complete and accurate canvass, Research Unit staff conducted the proxy canvassing by talking directly to community

contacts, typically community public officials or employees, other governmental agency staff, or other organizational staff. Community contacts were identified primarily by using the Alaska Department of Commerce, Community and Economic Development, Division of Community and Regional Affairs (DCRA) on-line community database.

The number of communities that were proxy canvassed within each stratum are as follows:

- Stratum 4a Rural/Remote Census Areas - Excluding Census Tracts with Urban Clusters: within the seven sampled areas, 63 of the 68 communities were proxy canvassed.
- Stratum 5 Gulf Coast Census Areas: within the four sampled areas, 2 of 33 communities were proxy 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.*

Canvassers were instructed to identify all outlets that sell tobacco products to the general public and are accessible by youth (excluding outlets that are in private homes). The following definitions were provided to canvassers:

- Tobacco products include cigarettes, cigars, smokeless tobacco products, cigarette papers, cigars, snuff, and chewing tobacco.
- A youth is considered to be a person under 19 years of age.

Field Canvassing Procedures:

Tobacco Enforcement staff conducted the field canvassing. Research Unit staff provided field canvassers with overview and detailed map sets of the sampled areas. Area boundaries were clearly marked on the maps. If a road served as an area border, only the “inner” side of the road is canvassed for that particular area. The canvassing teams were instructed to review the maps and plan their travel route prior to canvassing. Each map had a “Notes” section for canvassing teams to write notes regarding their actual travel route. Canvassers were instructed to mark the maps to indicate the “canvass status” of each public road: canvassed roads were marked with a blue highlighter; roads not canvassed were marked with a pink highlighter. Each map had a “Roads Not Travelled” section for canvassers to document why a road was not canvassed. General canvassing instructions were as follows:

- An attempt should be made to canvass all public roads within the selected sample areas.
- If a road serves as a sample area border, only the “inner” side of the road should be canvassed.
  - If a public road is not on the map, draw it on the map and canvass the road.
  - If a public road (or part of a public road) cannot be canvassed for any reason, complete an entry in the “Roads Not Travelled” section; include the road name and the reason the road cannot be canvassed. If only part of the road can be canvassed, describe the location where the canvassing stopped.
- After all canvassing trips have been completed for an area, any public road (or part of a public road) that could not be canvassed should be highlighted pink on the detailed canvassing maps and documented in the “Roads Not Travelled” section.”
- Before canvassers leave an area, they should conduct a “Map Review” to make sure that all public roads on the map are highlighted appropriately and all roads not canvassed are addressed in the “Roads Not Travelled” section.
- Any business establishment that is accessible by youth and has a reasonable potential for tobacco sales should be checked, unless the business establishment is within a private home.
- A “Tobacco Vendor Canvassing Form” must be completed for each business establishment (and point of sale) that is Synar eligible (i.e., the vendor sells tobacco products, is accessible by youth, and is not located in a private home). This form is used to collect vendor identification information (e.g., name and address) and Synar eligibility information.
- If a business establishment has a reasonable potential for tobacco sales but is closed at the time of canvassing, a “Tobacco Vendor Canvassing Form” must be submitted with a note that indicates follow-up confirmation is needed.

After field canvassing was completed, Research Unit staff performed the following activities:

- Reviewed each marked-up map set and accompanying notes/documentation to determine if there were any communities that were inaccessible due to road closures or unsafe travel conditions. These communities were then canvassed using “proxy canvassing” procedures.
- Reviewed each Tobacco Vendor Canvassing Form to determine if any establishments needed follow-up confirmation regarding Synar eligibility status. There were 5 establishments that required follow-up confirmation; Research Unit staff called these vendors directly or a community contact if the vendor could not be reached. Synar eligibility status was confirmed for 4 of the 5 vendors. The remaining vendor was closed for the season, and no community contacts were available to provide additional information. However, this vendor did have a tobacco endorsement and appears on the Synar sampling frame used for “matching.” For the purposes of the coverage study, since we could not confirm the current Synar eligibility status of this vendor, we did not include the vendor in our total count of Synar eligible outlets identified through canvassing.

#### Proxy Canvassing Procedures:

Research Unit staff conducted proxy canvassing by talking directly to community contacts. Contacts are typically community public officials or employees, other governmental agency staff, or other organizational staff. The proxy canvasser called the community contact and asked about the contact’s knowledge of tobacco vendors in the community. The contact was asked to identify tobacco vendors in the community and to confirm that each establishment

was accessible by youth and not located in a private home. The proxy canvasser also worked with lists of known business establishments in the community (based on the Synar sampling frame, Synar Eligibility Survey results, and/or the DCRA community database listing of business licenses) as information resources for the proxy canvass effort. A “Tobacco Vendor Canvassing Form” was completed for each business establishment that was identified as Synar eligible. In addition, there were 5 vendors identified through the proxy canvassing effort whose Synar eligibility status could not be confirmed. However, these vendors did have a tobacco endorsement and appear on the Synar sampling frame used for “matching.” For the purposes of the coverage study, since we could not confirm the current Synar eligibility status of these vendors, we did not include these vendors in our total count of Synar eligible outlets identified through canvassing.

**9. If a full canvassing was not conducted:**

a. **How many predetermined outlets were to be observed in each area?** \_\_\_\_\_

b. **What were the starting points for each area?** \_\_\_\_\_

c. **Were these starting points randomly chosen?**

Yes  No

d. **Describe the selection of the starting points.**

e. **Please describe the canvassing instructions given to the field observers, including predetermined routes.**

**10. Describe the process field observers used to determine if an outlet sold tobacco.**

Field canvassers used offsite and onsite confirmation to determine if an outlet sells tobacco products and is youth accessible. Field canvassers were provided the following general instructions:

1. Offsite direct knowledge-based confirmation. If a canvasser has direct knowledge (i.e., through prior tobacco enforcement or education activities) that an outlet sells tobacco products and is youth accessible, then the canvasser does not need to physically enter the vendor’s premises.

2. Onsite confirmation and follow-up phone confirmation. If there is reasonable potential that an outlet sells tobacco products and is youth accessible, and the canvasser does not have direct knowledge of the outlet (as described in 1. above), then the canvasser should attempt to enter the premises and confirm eligibility status by questioning vendor staff or noting physical evidence of tobacco sales (e.g., the presence of tobacco products or advertising). If the establishment is closed at the time of canvassing, the canvasser should follow-up with a second visit or phone call. If field canvassers are not able to confirm Synar eligibility status, they should indicate on the “Tobacco Vendor Canvassing Form” that follow-up confirmation is needed. As noted earlier, Research Unit staff follow-up with these vendors or community contacts to confirm vendor Synar eligibility status.

For proxy canvassing, Synar eligibility status was determined based on information provided by the community contact. The community contact was asked if the vendor sells tobacco products, if the establishment is accessible by youth, and if the vendor is located in a private home.

There was a total of 6 vendors identified through canvassing whose Synar eligibility status could not be confirmed. As noted previously, these vendors did have a tobacco endorsement and are on the Synar sampling frame used for “matching.” However, for the purposes of the coverage study, since we could not confirm the current Synar eligibility status of these vendors, we did not include these vendors in our total count of Synar eligible outlets identified through canvassing.

**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).**

A “match” between a Synar eligible outlet identified through canvassing and an outlet on the Synar sampling frame was determined based on comparing the business name, physical address, and/or the business license number/endorsement number. Outlets identified through canvassing that could not be matched to the Synar sampling frame were identified as “not matched” and were classified as missing from the sampling frame.

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

Not Applicable: All strata were equally weighted.