

STATE OF ARKANSAS

ANNUAL SYNAR REPORT

42 U.S.C. 300x-26

OMB No 0930-0222

FFY 2006



U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
Substance Abuse and Mental Health Services Administration
Center for Substance Abuse Prevention
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 States¹ 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.

¹The 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.

PUBLIC HEALTH SERVICES ACT AND SYNAR AMMENDMENT
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 2006 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 2006 is up-to-date and approved by the Center for Substance Abuse Prevention.
State: Arkansas
Name of Chief Executive Officer or Designee: John Selig
Signature of CEO or Designee:
Title: <u>Director, AR Department of Health & Human Services</u> Date Signed: _____
If signed by a designee, a copy of the designation must be attached

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*): _____

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:

http://www.arkansas.gov/dhhs/dmhs/adap_survey.htm

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): _____

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:

Office of Alcohol and Drug Abuse Prevention (ADAP), Division of Behavioral Health, AR Department of Health and Human Services (DHHS)

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

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

Office of Alcohol and Drug Abuse Prevention (ADAP)

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):

Arkansas Tobacco Control Board (ATCB)

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

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

Division of Health (Arkansas Department of Health and Human Services), ADAP and ATCB

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

Yes No

The responsible agency changed from Arkansas Department of Health (ADH) to the Arkansas Department of Health and Human Services, Division of Health. This is the result of a recent merger of two organizations, Arkansas Department of Health and Arkansas Department of Human Services.

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*): Planning & Training - ADAP and merchant representatives are participating in an ATCB focus group to develop state minimum standards for a clerk training package. Merchants will have to document that their training program meets minimum standards and receive such acknowledgement from ATCB in order to be eligible for a waiver of the merchant's fine for a first or second offense for an underage sale within a twenty-four (24) month period. This will not affect the clerk's fine.

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>				605	605
Number of <u>finest assessed</u>		<input type="checkbox"/>		265	N/A
Number of <u>permits/licenses suspended</u>	<input type="checkbox"/>	<input type="checkbox"/>	113		
Number of <u>permits/licenses revoked</u>	<input type="checkbox"/>	<input type="checkbox"/>	0		
<i>Other</i> (please describe):	113 permits suspended a total of 344 days 265 fines issued against store owners totaling \$84,000				

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:

ADAP's Regional Prevention Resource Centers (PRCs) are required to provide merchant education in their regions to assist with reducing sales of tobacco to underage youth. Also, each region may choose to have the list of merchants who did not sell to youth during the Synar checks reported in their local paper to recognize and

congratulate those who were in compliance with the law. PRCs also participate as members in local tobacco coalitions.

Through the Master Settlement Agreement (MSA), Tobacco Prevention Education supports various grants for local prevention efforts. Also, the Division of Health's (DOH) Hometown Health Initiative is coordinating and promoting local tobacco prevention coalitions throughout the state of Arkansas. The statewide media activities include paid print, radio and television advertising on topics involving the dangers of tobacco use and second-hand smoke and promote use of the tobacco cessation telephone line. The paid advertising targets both youth and adult audiences. Other media activities include press releases, radio/television news stories, editorials and event sponsorships (state and county fairs and other county festivals).

DOH's community-based coalitions' media activities include print and radio advertising, letters to the editor and press releases on topics involving the dangers of tobacco use and second-hand smoke as well as promotion of local tobacco cessation resources. A small percentage has done some local television advertising and/or local news stories.

The Arkansas Department of Health and Human Services funded 30 community program grants to develop and implement local tobacco control and prevention activities in SFY 05. The community program grants recipients' primary goals are to build/enhance coalitions with diverse partners, create tobacco-free environments, reduce youth access, and decrease advertising/promotion of tobacco products and promote utilization of cessation resources.

The formation of support through local coalitions and local action have occurred in the 5 public health regions of Arkansas--Northwest, Northeast, Central, Southwest, and Southeast regions; and includes 44 of the 75 counties in Arkansas. All leaders and members of each coalition within the 5 public health regions have attended conferences and statewide educational trainings in tobacco prevention, and have received extensive information regarding the four goal areas. Many of the coalitions have a tobacco program coordinator and qualified staff members to ensure that the activities in their work plans are achieved.

Some of the coalition activities for SFY 05 include surveying and compliance checks of local retailers on the laws regarding tobacco access and signage laws as well as providing merchant education workshops on state tobacco access and signage laws.

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. (See Appendix A)

If No, continue to Question 7b.

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: 1998

b. Percent coverage from the latest frame coverage study: UNKNOWN

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: FFY 2006

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: May 12, 2005 **To:** June 30, 2005
MM/DD/YY MM/DD/YY

b. Provide the number of youth inspectors used in the current inspection year:
66

c. Fill out and attach Form 5 in Appendix A (Forms). *(Not required if the State used the Synar Survey Estimation System (SSES) to analyze the Synar survey data)*

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.

Tremendous progress has been made in reducing illegal sales to minors in Arkansas. The enforcement efforts in Arkansas seem to be quite effective in reducing violation rates; however, many retail employees continue to make mistakes when trying to determine the age of a customer attempting to purchase tobacco products. The ATCB has recently begun holding regional trainings for retail owners, managers, and employees. The focus of this merchant education is to teach retailers how to properly check identification to determine the legal age of a customer. So far these trainings have been very well received by the retail community and seem to be quite effective. Approximately two training sessions are held each month at various locations around the state. The ATCB has partnered with ADAP's Prevention Resource Centers and various tobacco coalitions to provide these training sessions. The teamwork approach is proving to be very beneficial.

Recent modifications to the Rules and Regulations of the Arkansas Tobacco Control Board now allow retailers to make application to the ATCB for their own training programs to be certified. Once a company's training program has been certified and implemented, that company may receive warnings for their first two offenses within a twenty-four (24) month period. This provides an incentive and reward for those retailers who go the extra mile to make sure their employees are properly trained.

The ATCB through financial assistance from DOH recently began providing countertop mats to retailers to be used as training aids. These countertop mats show the difference between underage and adult driver's licenses. Highlighted markings show exactly what

to look for on the identification card to determine if the person is underage. Another tool given to retailers is a window/door cling that tells the customer “UNDER 18? DON’T EVEN TRY! STATE LAW PROHIBITS THE SALE OF TOBACCO PRODUCTS TO MINORS – Have your ID Ready!”

A teamwork approach involving DOH, ADAP, ATCB and retailers seems to be the key to reducing youth access to tobacco in Arkansas.

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

Briefly describe all items checked above:

Demographic characteristics, which affect the difficulty of enforcement, include the fact that Arkansas is basically a rural state with large distances between some outlets. Conducting an inspection of a single outlet can take a great deal of mileage, time and effort.

Another difficulty is that youth who reflect the demographics of the youth in a particular community are not always available to assist with compliance inspections. Parents often will not allow their child to assist with inspections in their own communities because they do not want the chance of friends and neighbors seeing their child attempting to purchase cigarettes.

In rural areas, strangers or people of a different race stand out and merchants are therefore less likely to sell to a stranger in a small town. Both the Hispanic population and the number of Spanish-speaking establishments is increasing. As a result, there were some inspections we could not complete because we did not have a Spanish-speaking youth inspector and the clerks in the establishments only spoke Spanish. Parents often do not want their children involved, so ages 15 and 16 are hard to get.

APPENDIX A: FORMS

**SSES Table 1 (Synar Survey Estimates and Sample Sizes) State: Arkansas
Date: FFY 2006**

CSAP-SYNAR REPORT

State	Arkansas
Federal Fiscal Year (FFY)	2006
Date	10/4/2005 12:49
Data	SYNAREXPORT.xls
Analysis Option	Stratified Clustered with FPC

Estimates

Unweighted Retailer Violation Rate	2.7%
Weighted Retailer Violation Rate	2.2%
Standard Error	0.6%
Is SAMHSA Precision Requirement met?	YES
Right-sided 95% Confidence Interval	[0.0%, 3.2%]
Two-sided 95% Confidence Interval	[1.0%, 3.4%]
Design Effect	0.9
Accuracy Rate (unweighted)	83.6%
Accuracy Rate (weighted)	83.6%
Completion Rate (unweighted)	97.9%

Sample Size for Current Year

Effective Sample Size	302
Target (Minimum) Sample Size	576
Original Sample Size	634
Eligible Sample Size	530
Final Sample Size	519
Overall Sampling Rate	14.5%

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

STATE: Arkansas

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(%)
All Outlets											
1	1	410	335	29	6	49	40	35	1	2.9%	
2	2	187	157	14	6	46	41	41	0	0.0%	
3	3	348	305	25	6	47	43	42	0	0.0%	
4	4	344	291	26	6	47	41	41	0	0.0%	
5	5	388	397	29	6	52	48	48	1	2.1%	
6	6	308	270	24	6	46	41	41	3	7.6%	
7	7	288	264	22	6	46	43	41	0	0.0%	
8	8	335	276	25	6	49	39	36	0	0.0%	
9	9	752	636	52	6	54	44	44	0	0.0%	
10	10	241	196	20	6	47	35	35	2	5.8%	
11	11	240	195	19	6	48	37	37	2	5.5%	
12	12	259	164	19	6	52	31	31	1	3.4%	
13	13	185	179	14	6	51	47	47	4	8.3%	
Total		4,285	3,665	318	78	634	530	519	14	2.2%	0.6%
Over the Counter Outlets											
1	1	403	335	29	6	47	39	35	1	2.9%	
2	2	187	157	14	6	46	41	41	0	0.0%	
3	3	347	305	25	6	47	43	42	0	0.0%	
4	4	341	291	26	6	47	41	41	0	0.0%	
5	5	357	397	29	6	52	48	48	1	2.1%	
6	6	300	264	24	6	43	40	40	3	7.8%	
7	7	287	264	22	6	46	43	41	0	0.0%	
8	8	294	276	25	6	46	39	36	0	0.0%	
9	9	683	622	52	6	52	43	43	0	0.0%	
10	10	223	196	20	6	38	35	35	2	5.8%	
11	11	235	195	19	6	48	37	37	2	5.5%	
12	12	247	164	19	6	45	31	31	1	3.4%	
13	13	185	179	14	6	51	47	47	4	8.3%	
Total		4,089	3,645	318	78	608	527	517	14	2.2%	0.6%
Vending Machines											
1	1	7	0	29	6	2	1	0	0	0.0%	
2	2	0	0	14	6	0	0	0	0	0.0%	
3	3	1	0	25	6	0	0	0	0	0.0%	
4	4	3	0	26	6	0	0	0	0	0.0%	
5	5	31	0	29	6	0	0	0	0	0.0%	
6	6	8	6	24	6	3	1	1	0	0.0%	
7	7	1	0	22	6	0	0	0	0	0.0%	
8	8	41	0	25	6	3	0	0	0	0.0%	
9	9	69	14	52	6	2	1	1	0	0.0%	
10	10	18	0	20	6	9	0	0	0	0.0%	
11	11	5	0	19	6	0	0	0	0	0.0%	
12	12	12	0	19	6	7	0	0	0	0.0%	
13	13	0	0	14	6	0	0	0	0	0.0%	

Total		196	20	318	78	26	3	2	0	0.0%	0.0%
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SSES Table 3 (Synar Survey Sample Tally Summary)

Disposition Code	Description	Count	Subtotal
EC	Eligible and inspection complete outlet	519	
Total (Eligible Completes)			519
N1	In operation but closed at time of visit	4	
N2	Unsafe to access	7	
N3	Presence of police	0	
N4	Youth inspector knows salesperson	0	
N5	Moved to new location but not inspected	0	
N6	Drive thru only/youth inspector has no drivers license	0	
N7	Tobacco out of stock	0	
N8	Run out of time	0	
N9	Other noncompletion	0	
Total (Eligible Noncompletes)			11
I1	Out of Business	19	
I2	Does not sell tobacco products	23	
I3	Inaccessible by youth	45	
I4	Private club or private residence	0	
I5	Temporary closure	0	
I6	Unlocatable	16	
I7	Wholesale only/Carton sale only	1	
I8	Vending machine broken	0	
I9	Duplicate	0	
I10	Other ineligibility	0	
Total (Ineligibles)			104
Grand Total			634

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

**STATE: Arkansas
FFY: 2006**

Frequency Distribution

Gender	Age	Number of Inspectors	Attempted Buys	Successful Buys
Male	14	0	0	0
	15	18	146	3
	16	16	141	6
	17	2	18	0
	18	0	0	0
	Subtotal	36	305	9
Female	14	0	0	0
	15	18	133	3
	16	11	80	2
	17	1	1	0
	18	0	0	0
	Subtotal	30	214	5
Other		0	0	0
Grand Total		66	519	14

Buy Rate in Percent by Age and Gender

Age	Male	Female	Total
14	0.0%	0.0%	0.0%
15	2.1%	2.3%	2.2%
16	4.3%	2.5%	3.6%
17	0.0%	0.0%	0.0%
18	0.0%	0.0%	0.0%
Other			0.0%
Total	3.0%	2.3%	2.7%

APPENDIX B

STATE: AR
FFY: 2006

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

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

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

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

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

Yes No

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

- State law bans vending machines
 State law bans vending machines from locations accessible to youth
 State has SAMHSA approval to exempt vending machines from the survey
 Other (please describe):
-

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

Census (STOP HERE: Appendix B is complete)

Unstratified 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.

The state was geographically stratified into 13 strata – Alcohol and Drug Abuse Prevention Resource Regions. The 13 PRC regions are contiguous clusters of counties. This is the first sampling stratum.

b. Is clustering used within the stratified sample?

Yes (go to Question 8)

No (go to Question 9)

8. Provide the following information about clustering

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

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

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

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

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

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

N = population size (total outlets),

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

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

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

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

m = average cluster size,

ρ = intra-class correlation,

CV_w = coefficient of variation of the sample weights.

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

r_a = accuracy rate,

r_c = completion rate.

NOTE: Actual sample size drawn is about 10% more than the original sample size.

APPENDIX C

STATE: AR
FFY: 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): 13 Regional Prevention Resource Centers

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

While not directly linked, all Synar sales generate a complaint against that retailer which ATCB works within a week.

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

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

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

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

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

The AR legislation states that it shall not be an offense if the minor was acting at the direction of an employee or authorized agent of a governmental agency authorized to enforce or ensure compliance with laws relating to the prohibition of the sale of tobacco in any form or cigarette papers to such minors. The Synar Youth Inspectors are under the auspices of an authorized agency.

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

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

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

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

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

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

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

The state law limits who can conduct inspections (Arkansas Tobacco Control Board, an authorized agent of the Arkansas Department of Health, Arkansas State Police, and local law enforcement officials).

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

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

APPENDIX D

STATE: Arkansas

FFY: 2006

List Sampling Frame Coverage Study
(LIST FRAME ONLY)

1. Calendar year of the coverage study: _____

2. Percent coverage found: _____ %
(Provide calculation of the percent coverage)

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

**ARKANSAS DEPARTMENT OF HEALTH AND HUMAN
SERVICES
DIVISION OF BEHAVIORAL HEALTH
SERVICES
ALCOHOL AND DRUG ABUSE PREVENTION**

**Synar
Inspection Protocol**

Youth Recruitment

1. Only adolescents ages 15-16 will be recruited to conduct the study.
2. The age, race, and gender distribution of youth participants should reflect the distribution of the county.
3. Attempt to recruit enough youth so that no youth should make more than 9 visits.
4. Youth should look and dress their age.

Youth Training Documenting Participants

1. Record data on youth participants and adults on appropriate sheets.
2. Obtain parental consent for each youth participating in the survey.
3. Keep parental consent forms on file at the agency conducting the checks.
4. Provide adult volunteers assisting in the checks with authorization letters from DHHS/DBHS/ADAP.
5. Be sure that each participant, WHO MADE THE PURCHASE, has initialed the form.
6. Return every single outlet form to ADH Health Statistics, regardless of visit or non-visit.

Training of Minors

1. Remind of the purpose, and goal of the survey.
2. Make sure that all participants understand the procedures and protocol.
3. Review how to make a “buy”.
4. Instruct youth not to take their IDs into the outlet.
5. Instruct youth that if the clerk asks his/her age, the youth is to give his/her exact age.
6. Instruct youth not to attempt to purchase tobacco in stores if they know someone who works there or is present at the time of visit.
7. Prepare participants for what to expect.
8. Review the inspection forms and how they are to be completed.

Reasons for Ineligibility or Non-Visit

- Does not sell
- Inaccessible to youth
- No longer in business
- Unable to locate
- Not open during day
- Seasonal business
- Restricted Access
- Unsafe
- Broken vending machine

Data Collection Over the Counter

1. The adult volunteer will locate and drive the youth volunteer to the establishment
2. designated for OTC inspection.
3. The adult volunteer will park out of sight.
4. The youth volunteer will enter the establishment. The youth will not take forms into the store.
5. If the tobacco products are located away from the counter, the youth will choose a particular product and carry it to the clerk for check out.
6. If the tobacco products are located behind the counter, the youth will ask the clerk for assistance in obtaining the product.
7. The youth can choose to purchase other items, such as gum or candy, along with the tobacco product.
8. If the clerk asks the youth volunteer his/her age, the youth volunteer will give his exact age.
9. If the clerk makes the sale, the youth volunteer will take the tobacco product from the establishment, return to the car, give the product to the adult volunteer and provide the necessary information to complete the inspection form.
10. The adult volunteer will document all tobacco products purchased with the outlet code on the pack and date of purchase.
11. If the clerk refuses the sale, the youth will leave the establishment and note that there was no sale on the inspection form.
12. Forward to ADAP all properly labeled tobacco products purchased as a result of Synar compliance checks.
13. Fax a copy of completed inspection form denoting a sale to the Arkansas Tobacco Control Board.

Vending Machines Special Instructions for Vending Machines

1. The adult volunteer will locate and drive the youth volunteer to the retail outlet designated for vending machine inspections.
2. The youth volunteer is to enter establishment and seek out vending machine. If the youth volunteer cannot find the vending machine, he/she is to ask the attendant where the vending machine is located.
3. The sample frame will uniformly consist of individual vending machines. In cases where the machines are listed as a group, the listing will be expanded so that each machine will be assigned an individual number, i.e. 1 of 3, 2 of 3, etc. The inspectors will attempt to identify all vending machines in a premise and number them left to right, going clockwise from the entrance point. The inspection will be conducted only on the individual vending machine or machines that are listed in the sample. If, for example, the sample form indicates to inspect machine 1 of 2, the inspector will inspect the first machine encountered on the left of the entrance, sweeping around the establishment in the clockwise direction.
4. Upon identifying the vending machine, the youth volunteer is to purchase tobacco

from the vending machine unless attendant questions the youth volunteer.

- If asked about his/her age, the youth volunteer will respond with his/her actual age and unless told by the attendant that they cannot purchase, the youth volunteer is to purchase the tobacco from the vending machine.
 - If told he/she cannot purchase, the youth volunteer will leave the outlet.
5. Once the youth volunteer has completed the purchase, the youth will exit the outlet, return to the car, give the cigarettes to the adult volunteer and provide the necessary information to complete the inspection form.

SALE

2005 OTC SYNAR SURVEY

NO SALE


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

PSU <psu>

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

NAME OF ADULT SUPERVISOR _____ TELEPHONE: () _____

OUTLET LOCATED **OUTLET NOT LOCATED** (Stop Here if outlet could not be located after calling and mapping)
 Owner called **Address mapped**


EXPLAIN _____ 

TYPE OF OUTLET

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

OUTLET NOT INSPECTED
Must provide reason

1. Not in business
2. No longer sells tobacco
3. Access restricted (“Members Only” “Over 21”)
4. Appeared unsafe

 *STOP filling out form here if reason 1, 2, 3, or 4*

5. Closed-return during business hours
6. Youth knew person-return with another youth
7. Police present-return another time

First Attempt Second Attempt Third Attempt
 Date _____ Date _____

Complete this section ONLY IF OUTLET WAS INSPECTED

YOUTH'S INITIALS: _____ YOUTH'S GENDER: FEMALE YOUTH'S AGE: ____
 (Max one youth per form) MALE YOUTH'S RACE: White Black Hispanic Asian Other

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

Sale Occurred Purchase Attempted Sale Refused
HOW WAS THE TOBACCO PLACED FOR SALE?
 Picked up tobacco without asking (self-serve) Had to ask clerk for tobacco (behind the counter)

Were you asked your age? YES NO
 Were you asked for identification? YES NO
 Was there a NO SALES TO MINORS sign posted at the point of purchase? YES NO
 Was a Tobacco Vending Machine Present? YES NO

TYPE OF TOBACCO ATTEMPTED TO BUY: Cigarettes Cigars Bidis Smokeless/Spit Tobacco

Complete this section ONLY IF SALE OCCURRED:

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

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

Hair color: _____
 Clerk's Name (only if available without asking): _____
 Other distinguishing characteristics (tattoo's, etc) Describe: _____
 Location of sales counter: _____
 COMMENTS: _____

Checked for accuracy by Prevention Resource SYNAR Coordinator _____ Date Sent to Tobacco Control Board _____

SALE

**VENDING MACHINE
2005 SYNAR DATA COLLECTION FORM**
Note: To be completed immediately after each check. Answer all questions completely

NO SALE**PSU** «PSU»

«Name» «PhysicalAddress1» «PhysicalCity», «PhysicalState» «MAILZIP» Inspect # «machine» of «NUMBER» machines Permit#: «PermitNumber»	DATE OF CHECK (MONTH, DAY, YEAR) _____/_____/_____ Time of check _____ (AM or PM) NAME OF ADULT ESCORT TELEPHONE: () _____
--	---

OUTLET NOT LOCATED

Owner called Address mapped EXPLAIN _____

**OUTLET LOCATED** **TYPE OF OUTLET**

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

OUTLET NOT INSPECTED

- Must provide reason*
1. Not in business
 2. No longer has working vending machine
 3. Access restricted ("Members Only" "Over 21")
 4. Appeared unsafe

*If reason 1, 2, 3, or 4*

5. Closed-return during business hours
6. Youth knew person-return with another youth
7. Police present-return another time

First Attempt Second Attempt Third Attempt
 Date _____ Date _____

OUTLET INSPECTED

YOUTH'S INITIALS: _____ YOUTH'S GENDER: FEMALE YOUTH'S AGE: ____
 (Max one youth per form) MALE YOUTH'S RACE: White Black Hispanic Asian Other

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

- Sale Occurred Purchase Attempted Sale Refused
- Was the machine under supervision? YES NO
- Did minor ask employee for change to purchase from vending machine? YES NO
- Were you asked your age? YES NO
- Were you asked for identification? YES NO
- Was there a NO SALES TO MINORS sign posted at the vending machine? YES NO

TYPE OF TOBACCO ATTEMPTED TO BUY: Cigarettes Cigars Bidis Smokeless/Spit Tobacco

Complete this section if SALE OCCURRED:*If necessary, the adult escort may wish to go back into store to collect this information.*

Location of Vending Machine: _____
Stamp #: _____ 2004 (PURPLE) **OR** _____ 2005 (ORANGE)

COMMENTS:

Checked for accuracy by Prevention Resource SYNAR Coordinator _____ Date Sent to Tobacco Control Board _____

