ANNUAL SYNAR REPORT
42 U.S.C. 300x-26
OMB № 0930-0222

FFY 2013
State: Arizona
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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)).

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; 1 Choke Cherry Road, 7th Floor Rockville, Maryland 20857.

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 05-31-2013.

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 2012 Compliance Progress) and future plans to ensure compliance with the Synar requirements to reduce youth tobacco access rates (FFY 2013 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\(^1\) 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.

\(^1\)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) 276-2413 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 Program Services, Division of Grants Management, at (240) 276-1422.

Where and when to submit the Synar report

The Annual Synar Report (ASR) must be received by SAMHSA no later than December 31, 2012. 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.

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 2013 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
Office of Program Services
Division of Grants Management
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 2013: 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 2013 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 2013 is up-to-date and approved by the Center for Substance Abuse Prevention.

<table>
<thead>
<tr>
<th>State: Arizona</th>
</tr>
</thead>
<tbody>
<tr>
<td>Name of Chief Executive Officer or Designee: Will Humble</td>
</tr>
<tr>
<td>Signature of CEO or Designee:</td>
</tr>
<tr>
<td>Title: Director, Arizona Department of Health Services</td>
</tr>
</tbody>
</table>

If signed by a designee, a copy of the designation must be attached.
SECTION I: FFY 2012 (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 the law concerning vending machines?
      □ Yes ☒ No
      If Yes, indicate change. (Check all that apply.)
      □ Total ban enacted
      □ Banned from location(s) accessible to youth
      □ Locking device or supervision required
      □ Other change(s) (Please describe.)

   d. Have there been any changes in State law that impact the following?
      Licensing of tobacco vendors □ Yes ☒ No
      Penalties for sales to minors □ Yes ☒ No

2. Describe how the Annual Synar Report (see 45 C.F.R. 96.130(e)) and the State Plan (see 42 U.S.C. 300x-51) were made public within the State 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 2013 ASR was posted to this Web address.)
http://www.azdhs.gov/bhs/grants/sapt.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 (Please describe.)

3. Identify the following agency or agencies (see 42 U.S.C. 300x-26 and 45 C.F.R. 96.130).
   a. The State agency(ies) designated by the Governor for oversight of the Synar requirements:
      Arizona Department of Health Services, Division of Behavioral Health Services
      Has this changed since last year’s Annual Synar Report? ☐ Yes ◐ No

   b. The State agency(ies) responsible for conducting random, unannounced Synar inspections:
      Arizona Department of Health Services, Division of Behavioral Health Services
      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):
      Arizona Attorney General’s Office
      Has this changed since last year’s Annual Synar Report? ☐ Yes ◐ No

4. 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).
   Arizona Department of Health Services, Bureau of Tobacco and Chronic Disease
   Has the responsible agency changed since last year’s Annual Synar Report?
   ☐ Yes ◐ No

   a. Describe the coordination and collaboration that occur between the agency responsible for tobacco 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.) All partners meet on a quarterly basis.

5. Please answer the following questions regarding the State’s activities to enforce the youth access to tobacco law(s) in FFY 2012 (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(ies).
   - ☒ 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. 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.

<table>
<thead>
<tr>
<th>PENALTY</th>
<th>OWNERS</th>
<th>CLERKS</th>
<th>TOTAL</th>
</tr>
</thead>
<tbody>
<tr>
<td>Number of citations issued</td>
<td>N/A</td>
<td>212</td>
<td>212</td>
</tr>
<tr>
<td>Number of fines assessed</td>
<td>N/A</td>
<td>UNK</td>
<td>UNK</td>
</tr>
<tr>
<td>Number of permits/licenses suspended</td>
<td>N/A</td>
<td>N/A</td>
<td>N/A</td>
</tr>
<tr>
<td>Number of permits/licenses revoked</td>
<td>N/A</td>
<td>N/A</td>
<td>N/A</td>
</tr>
<tr>
<td>Other (Please describe.)</td>
<td>N/A</td>
<td>UNK</td>
<td>UNK</td>
</tr>
</tbody>
</table>

It is at the discretion of the jurisdiction to determine punishment for an offence. Said punishment could be community service etc.

c. Which one of the following best describes the level of enforcement of 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 enforcement compliance check in the last year?
   - □ Yes
   - ☒ No

e. 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

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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:

Merchant education and training is conducted at the local level by community tobacco prevention coalitions.

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:

The Arizona Department or Health Services works collaboratively with the FDA-funded enforcement program. The FDA enforcement program and Synar program utilize the same prevention agencies for administrative support, which have been previously been used for Synar only. These prevention agencies maintain separate records and documents for both the Synar and FDA programs. The collaborative effort is such that Synar undercover buys do not include the FDA undercover buys. Synar and FDA Inspection teams are to remain separate. The Synar and FDA programs meet on a quarterly basis working collaboratively through planning.

g. Please describe the relationship between the State’s Synar program and the Food and Drug Administration-funded enforcement program:

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 2012 (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).

<table>
<thead>
<tr>
<th>Unweighted RVR</th>
<th>Weighted RVR</th>
<th>Standard error (s.e.) of the (weighted) RVR</th>
</tr>
</thead>
</table>

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

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

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.

<table>
<thead>
<tr>
<th>Sample Size</th>
<th>Sample Size</th>
</tr>
</thead>
<tbody>
<tr>
<td>Effective sample size (sample size needed to meet the SAMHSA precision requirement assuming simple random sampling)</td>
<td></td>
</tr>
<tr>
<td>Target sample size (the product of the effective sample size and the design effect)</td>
<td></td>
</tr>
<tr>
<td>Original sample size (inflated sample size of the target sample to counter the sample attrition due to ineligibility and noncompletion)</td>
<td></td>
</tr>
<tr>
<td>Eligible sample size (number of outlets found to be eligible in the sample)</td>
<td></td>
</tr>
<tr>
<td>Final sample size (number of eligible outlets in the sample for which an inspection was completed)</td>
<td></td>
</tr>
</tbody>
</table>

h. Fill out Form 4 in Appendix A (Forms 1–5).

8. Did the State’s Synar survey use a list frame? □ Yes ☒ No

If Yes, answer the following questions about its coverage.

a. The calendar year of the latest frame coverage study: 2012

b. Percent coverage from the latest frame coverage study: use list-assisted area frame – coverage study not required

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: _________________

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 07/1/2012 to 9/30/2012

b. Provide the number of youth inspectors used in the current inspection year: 15

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.

c. 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 2013 (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 2013. 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.**

   Arizona plans to maintain the target rate for FFY 2013 through continued implementation of its CSAP approved protocols and sampling design. Arizona's plan involves consistent adherence to previous year's methods in sampling methodology, inspection protocol, law enforcement activities, merchant education, community education, media use, and community mobilization. As of July 1, 2011 a statute was put in place that says youth who falsely provide an ID that says he or she is 18 years of age to purchase tobacco products will be subject to a fine of not more than $500. No sampling methodology changes are planned.

   The Department of Revenue Retail List will continue to be updated and will likely continue to be problematic. The list suffers from too many establishments identified that do not sell tobacco products and fails to include many businesses that do sell tobacco.

3. **Describe any challenges the State faces in complying with the Synar regulation. (Check all that apply.)**
   - ☑ Limited resources for law enforcement of youth access laws
   - □ Limited resources for activities to support enforcement and compliance with youth tobacco access laws
   - ☑ Limitations in the State youth tobacco access laws
   - □ Limited public support for enforcement of youth tobacco access laws
   - ☑ Limitations on completeness/accuracy of list of tobacco outlets
   - □ Limited expertise in survey methodology
   - □ Laws/regulations limiting the use of minors in tobacco inspections
   - □ Difficulties recruiting youth inspectors
Geographic, demographic, and logistical considerations in conducting inspections
Cultural factors (e.g., language barriers, young people purchasing for their elders)
Issues regarding sources of tobacco under tribal jurisdiction
Other challenges *(Please list.)*

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.

**Limited Resources for Law Enforcement of Youth Tobacco Laws**
To date, the Arizona Attorney Generals office conducts the majority of tobacco enforcement inspections. The Attorney Generals office and local law enforcement entities issue citations. Due to the economy many law enforcement agencies in Arizona have had to decrease workforce resulting in fewer officers to participate in tobacco enforcement activities. This barrier was resolved when Arizona received an FDA enforcement grant.

**Limitations in youth tobacco access laws**
Youth tobacco access laws do not provide for fines for the actual vendors, only the clerk. The fine for the clerk can be up to $300. Only in the City of Tucson can a tobacco licence be revoked for sales to minors, so penalties for sales are minimal. To resolve this issue, the Division of Behavioral Health has in 2009 and 2010, submitted recommendations to amend Arizona Revised Statutes.

**Limitations on completeness/accuracy of list of tobacco outlets**
Due to the economic recession in Arizona, there is a large and rapid turn over in businesses which sell tobacco. The actual number of businesses selling tobacco decreased by nearly 37% between 2008 and 2012.
APPENDIX A: FORMS 1–5

FORM 1 (Required for all States not using the Synar Survey Estimation System (SSES) to analyze the Synar Survey data)

Complete Form 1 to report sampling frame and sample information and to calculate the unweighted retailer violation rate (RVR) using results from the current year’s Synar survey inspections.

Instructions for Completing Form 1: In the top right-hand corner of the form, provide the State name and reporting Federal fiscal year (FFY 2013). Provide the remaining information by stratum if stratification was used. Make copies of the form if additional rows are needed to list all the strata.

Column 1:  If stratification was used:
(a) Sequentially number each row.
(b) Write in the name of each stratum. All strata in the State must be listed.

If no stratification was used:
(a) Leave blank.
(b) Write “State” in the first row (indicates that the whole State is a single stratum).

Note for unstratified samples: For Columns 2–5, wherever the instruction refers to “each stratum,” report the specified information for the State as a whole.

Column 2:  2(a) Report the number of over-the-counter (OTC) outlets in the sampling frame in each stratum.
(b) Report the number of vending machine (VM) outlets in the sampling frame in each stratum.
(c) Report the combined total of OTC and VM outlets in the sampling frame in each stratum.

Column 3:  3(a) Report the estimated number of eligible OTC outlets in the OTC outlet population in each stratum.
(b) Report the estimated number of eligible VM outlets in the VM outlet population in each stratum.
(c) Report the combined total estimated number of eligible OTC and VM outlets in the total outlet population in each stratum.

The estimates for Column 3 can be obtained from the Synar survey sample as the weighted sum of eligible outlets by outlet type.

Column 4:  4(a) Report the number of eligible OTC outlets for which an inspection was completed, for each stratum.
(b) Report the numbers of eligible VM outlets for which an inspection was completed, for each stratum.
(c) Report the combined total of eligible OTC and VM outlets for which an inspection was completed, for each stratum.

Column 5:  5(a) Report the number of OTC outlets found in violation of the law as a result of completed inspections, for each stratum.
(b) Report the number of VM outlets found in violation of the law as a result of completed inspections, for each stratum.
(c) Report the combined total of OTC and VM outlets found in violation of the law as a result of completed inspections, for each stratum.

Totals: For each subcolumn (a–c) in Columns 2–5, provide totals for the State as a whole in the last row of the table. These numbers will be the sum of the numbers in each row for the respective column.
### Summary of Synar Inspection Results by Stratum

<table>
<thead>
<tr>
<th>STRATUM</th>
<th>NUMBER OF OUTLETS IN SAMPLING FRAME</th>
<th>ESTIMATED NUMBER OF ELIGIBLE OUTLETS IN POPULATION</th>
<th>NUMBER OF OUTLETS INSPECTED</th>
<th>NO. OF OUTLETS FOUND IN VIOLATION DURING INSPECTIONS</th>
</tr>
</thead>
<tbody>
<tr>
<td>(a) ROW #</td>
<td>(b) Over-the-Counter (OTC)</td>
<td>(c) Total Outlets (2a+2b)</td>
<td>(a) Over-the-Counter (OTC)</td>
<td>(b) Vending Machines (VM)</td>
</tr>
<tr>
<td>1</td>
<td>100</td>
<td>80</td>
<td>50</td>
<td>40</td>
</tr>
<tr>
<td>2</td>
<td>200</td>
<td>160</td>
<td>80</td>
<td>60</td>
</tr>
<tr>
<td>3</td>
<td>300</td>
<td>240</td>
<td>120</td>
<td>90</td>
</tr>
<tr>
<td>4</td>
<td>400</td>
<td>320</td>
<td>160</td>
<td>120</td>
</tr>
<tr>
<td>5</td>
<td>500</td>
<td>400</td>
<td>200</td>
<td>150</td>
</tr>
</tbody>
</table>

**State:**

**FFY:** 2013

**RECORD COLUMN TOTALS ON LAST LINE (LAST PAGE ONLY IF MULTIPLE PAGES ARE NEEDED).**
FORM 2 (Optional)
Appropriate for stratified simple or systematic random sampling designs.

Complete Form 2 to calculate the weighted RVR. This table (in Excel form) is designed to calculate the weighted RVR for stratified simple or systematic random sampling designs, accounting for ineligible outlets and noncomplete inspections encountered during the annual Synar survey.

Instructions for Completing Form 2: In the top right-hand corner of the form, provide the State name and reporting Federal fiscal year (FFY 2013).

Column 1: Write in the name of each stratum into which the sample was divided. These should match the strata reported in Column 1(b) of Form 1.

Column 2: Report the number of outlets in the sampling frame in each stratum. These numbers should match the numbers reported for the respective strata in Column 2(c) of Form 1.

Column 3: Report the original sample size (the number of outlets originally selected, including substitutes or replacements) for each stratum.

Column 4: Report the number of sample outlets in each stratum that were found to be eligible during the inspections. Note that this number must be less than or equal to the number reported in Column 3 for the respective strata.

Column 5: Report the number of eligible outlets in each stratum for which an inspection was completed. Note that this number must be less than or equal to the number reported in Column 4. These numbers should match the numbers reported in Column 4(c) of Form 1 for the respective strata.

Column 6: Report the number of eligible outlets inspected in each stratum that were found in violation. These numbers should match the numbers reported in Column 5(c) of Form 1 for the stratum.

Column 7: Form 2 (in Excel form) will automatically calculate the stratum RVR for each stratum in this column. This is calculated by dividing the number of inspected eligible outlets found in violation (Column 6) by the number of inspected eligible outlets (Column 5). The State unweighted RVR will be shown in the Total row of Column 7.

Column 8: Form 2 (in Excel form) will automatically calculate the estimated number of eligible outlets in the population for each stratum. This calculation is made by multiplying the number of outlets in the sampling frame (Column 2) times the number of eligible outlets (Column 4) divided by the original sample size (Column 3). Note that these numbers will be less than or equal to the numbers in Column 2.

Column 9: Form 2 (in Excel form) will automatically calculate the relative stratum weight by dividing the estimated number of eligible outlets in the population for each stratum in Column 8 by the Total of the values in Column 8.

Column 10: Form 2 (in Excel form) will automatically calculate each stratum’s contribution to the State weighted RVR by multiplying the stratum RVR (Column 7) by the relative stratum weight (Column 9). The weighted RVR for the State will be shown in the Total row of Column 10.

Column 11: Form 2 (in Excel form) automatically calculates the standard error of each stratum’s RVR (Column 7). The standard error for the State weighted RVR will be shown in the Total row of Column 11.

TOTAL: For Columns 2–6, Form 2 (in Excel form) provides totals for the State as a whole in the last row of the table. For Columns 7–11, it calculates the respective statistic for the State as a whole.
FORM 2 (Optional) Appropriate for stratified simple or systematic random sampling designs.

### Calculation of Weighted Retailer Violation Rate

<table>
<thead>
<tr>
<th>Stratum Name</th>
<th>Number of Outlets in Sampling Frame</th>
<th>Original Sample Size</th>
<th>Number of Sample Outlets Found Eligible</th>
<th>Number of Outlets Found in Violation</th>
<th>Stratum Retailer Violation Rate</th>
<th>Estimated Number of Eligible Outlets in Population</th>
<th>Relative Stratum Weight</th>
<th>Stratum Contribution to State Weighted RVR</th>
<th>Standard Error of Stratum RVR</th>
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### Notes:
- \(N\) - number of outlets in sampling frame
- \(n\) - original sample size (number of outlets in the original sample)
- \(n1\) - number of sample outlets that were found to be eligible
- \(n2\) - number of eligible outlets that were inspected
- \(x\) - number of inspected outlets that were found in violation
- \(p\) - stratum retailer violation rate \((p=x/n2)\)
- \(N'\) - estimated number of eligible outlets in population \((N'=N*n1/n)\)
- \(w\) - relative stratum weight \((w=N'/\text{Total Column 8})\)
- \(pw\) - stratum contribution to the weighted RVR
- \(s.e.\) - standard error of the stratum RVR
FORM 3 (Required when a cluster design is used for all States not using the Synar Survey Estimation System [SSES] to analyze the Synar survey data.)

Complete Form 3 to report information about primary sampling units when a cluster design was used for the Synar survey.

Instructions for Completing Form 3: In the top right-hand corner of the form, provide the State name and reporting Federal fiscal year (FFY 2013).

Provide information by stratum if stratification was used. Make copies of the form if additional rows are needed to list all the strata.

Column 1: Sequentially number each row.
Column 2: If stratification was used: Write in the name of stratum. All strata in the State must be listed.

If no stratification was used: Write “State” in the first row to indicate that the whole State constitutes a single stratum.

Column 3: Report the number of primary sampling units (PSUs) (i.e., first-stage clusters) created for each stratum.
Column 4: Report the number of PSUs selected in the original sample for each stratum.
Column 5: Report the number of PSUs in the final sample for each stratum.

TOTALS: For Columns 3–5, provide totals for the State as a whole in the last row of the table.

<table>
<thead>
<tr>
<th>Row #</th>
<th>Stratum Name</th>
<th>Number of PSUs Created</th>
<th>Number of PSUs Selected</th>
<th>Number of PSUs in the Final Sample</th>
</tr>
</thead>
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</table>

Summary of Clusters Created and Sampled

State: [State Name]
FFY: 2013

Total
FORM 4 (Required for all States not using the Synar Survey Estimation System [SSES] to analyze the Synar Survey data)

Complete Form 4 to provide detailed tallies of ineligible sample outlets by reasons for ineligibility and detailed tallies of eligible sample outlets with noncomplete inspections by reasons for noncompletion.

Instructions for Completing Form 4: In the top right-hand corner of the form, provide the State name and reporting Federal fiscal year (FFY 2013).

Column 1(a): Enter the number of sample outlets found ineligible for inspection by reason for ineligibility. Provide the total number of ineligible outlets in the row marked “Total.”

Column 2(a): Enter the number of eligible sample outlets with noncomplete inspections by reason for noncompletion. Provide the total number of eligible outlets with noncomplete inspections in the row marked “Total.”

<table>
<thead>
<tr>
<th>Reason for Ineligibility</th>
<th>(a) Counts</th>
<th>Reason for Noncompletion</th>
<th>(a) Counts</th>
</tr>
</thead>
<tbody>
<tr>
<td>Out of business</td>
<td></td>
<td>In operation but closed at time of visit</td>
<td></td>
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<tr>
<td>Does not sell tobacco products</td>
<td></td>
<td>Unsafe to access</td>
<td></td>
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<tr>
<td>Inaccessible by youth</td>
<td></td>
<td>Presence of police</td>
<td></td>
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<tr>
<td>Private club or private residence</td>
<td></td>
<td>Youth inspector knows salesperson</td>
<td></td>
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<tr>
<td>Temporary closure</td>
<td></td>
<td>Moved to new location</td>
<td></td>
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<tr>
<td>Unlocatable</td>
<td></td>
<td>Drive-thru only/youth inspector has no driver’s license</td>
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<tr>
<td>Wholesale only/Carton sale only</td>
<td></td>
<td>Tobacco out of stock</td>
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<tr>
<td>Vending machine broken</td>
<td></td>
<td>Ran out of time</td>
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<tr>
<td>Duplicate</td>
<td></td>
<td>Other noncompletion reason(s) (<em>Describe.</em>)</td>
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<tr>
<td>Other ineligibility reason(s) (<em>Describe.</em>)</td>
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| Total | Total |
FORM 5 (Required for all States not using the Synar Survey Estimation System [SSES] to analyze the Synar survey data)

Complete Form 5 to show the distribution of outlet inspection results by age and gender of the youth inspectors.

**Instructions for Completing Form 5:** In the top right-hand corner of the form, provide the State name and reporting Federal fiscal year (FFY 2013).

Column 1: Enter the number of attempted buys by youth inspector age and gender.
Column 2: Enter the number of successful buys by youth inspector age and gender.

If the inspectors are age eligible but the gender of the inspector is unknown, include those inspections in the “Other” row. Calculate subtotals for males and females in rows marked “Male Subtotal” and “Female Subtotal.” Sum subtotals for Male, Female, and Other and record in the bottom row marked “Total.” Verify that that the total of attempted buys and successful buys equals the total for Column 4(c) and Column 5(c), respectively, on Form 1. If the totals do not match, please explain any discrepancies.

<table>
<thead>
<tr>
<th>Synar Survey Inspector Characteristics</th>
<th>(1) Attempted Buys</th>
<th>(2) Successful Buys</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>State:</strong></td>
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<td>FFY: 2013</td>
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<tr>
<td><strong>Male</strong></td>
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<td><strong>Male Subtotal</strong></td>
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APPENDIXES B & C: FORMS

Instructions

Appendix B (Sampling Design) and Appendix C (Inspection Protocol) are to reflect the State’s CSAP-approved sampling design and inspection protocol. These appendixes, therefore, should generally describe the design and protocol and, with the exception of Question #10 of Appendix B, are not to be modified with year-specific information. Please note that any changes to either appendix must receive CSAP’s advance, written approval. To facilitate the State’s completion of this section, simply cut and paste the previously approved sampling design (Appendix B) and inspection protocol (Appendix C).
APPENDIX B: SYNAR SURVEY SAMPLING METHODOLOGY

State: Arizona
FFY: 2013

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

<table>
<thead>
<tr>
<th>Name of Frame Source</th>
<th>Type of Source</th>
<th>Description</th>
<th>Updating Method and Cycle</th>
</tr>
</thead>
<tbody>
<tr>
<td>2010 Frame</td>
<td>1</td>
<td>This is the list used for the 2010 sample</td>
<td>Annually (ADHS)</td>
</tr>
<tr>
<td>New outlets from last year's sample</td>
<td>6</td>
<td>ADHS conducts a comprehensive sample of 33% of the all clusters each year including the inspections which were not in the frame.</td>
<td>Annually (ADHS)</td>
</tr>
<tr>
<td>New outlets from the Arizona Department of Revenue</td>
<td>6</td>
<td>Inspection list used to inspect outlets for use of the tobacco stamp</td>
<td>Annually (ADOR)</td>
</tr>
<tr>
<td>City of Tucson Tobacco License List</td>
<td>2</td>
<td>This is a list of vendors which are licensed to sell tobacco in Tucson.</td>
<td>Annually (City of Tucson)</td>
</tr>
</tbody>
</table>

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? Native American and Military Reservations not included; Approximately 2.5%

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.

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.

   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.)

   87 clusters are formed based on zip codes, leading to a total of 87 cluster areas in Arizona. Each cluster has an average of 41 outlets based on the list frame. Based on the number of outlets in zip code, some zip codes are combined to form a cluster.

   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 method used was simple random sample of clusters (single stage cluster sample). All outlets are inspected within each cluster including all new outlets found in the cluster area.
Generate N (unique) random numbers and assign one to each cluster.

Order the clusters in ascending order of the random numbers. The resulting list is a randomly sorted list of clusters from which clusters are accepted until the first 50 clusters are drawn.

The first 20 clusters in the sample are released to the fieldwork contractors. The remaining clusters are released one at a time, as needed, in the same order as they are selected.

Each cluster entered for inspection must be comprehensively canvassed for all tobacco outlets, which must then be inspected along with the pre-listed outlets. DBHS staff participate as ride along observers to ensure conformance with the comprehensive approach.

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

Effective sample size (ESS) = \( \frac{p(1-p)}{\text{Var}(p)} \), where \( p = 0.043 \) based on the previous year's weighted RVR of 4.3\% and \( \text{Var}(p) = \left( \frac{0.03}{1.645} \right)^2 = 0.0003326 \), which is the maximum variance to meet SAMHSA precision requirement of 3 percent of margin of error for right-sided 95\% confidence interval for RVR.

Target Sample Size (TSS) = (ESS)*(DE), where DE is the design effect coming from the previous year's survey.

Original Outlet Sample Size = (TSS)/Accuracy Rate, where the accuracy rate is obtained from the previous year's survey.

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 Synar Survey Estimation System (SSES) Sample Size Calculator, please provide the following information:**

       **Inputs for Effective Sample Size:**
       RVR: 5.9\%
       Frame Size: 3,538

       **Input for Target Sample Size:**
       Design Effect: 1.6

       **Inputs for Original Sample Size:**
       Safety Margin:
       Accuracy (Eligibility) Rate: 88.9\%
       Completion Rate: 94.5\%

    b. **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: Arizona
FFY: 2013

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
      ☐ Not permitted
      ☐ Not specified in protocol

   b. Youth inspectors to carry ID?
      ☐ Required
      ☐ Permitted under specified circumstances
      ☒ Not permitted
      ☐ Not specified in protocol

   c. Adult inspectors to enter the outlet?
      ☐ Required
      ☒ Permitted under specified circumstances
      ☐ Not permitted
      ☐ Not specified in protocol

   d. Youth inspectors to be compensated?
      ☒ Required
      ☐ Permitted under specified circumstances
      ☐ Not permitted
      ☐ Not specified in protocol

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): Pima Prevention Partnership and Community Bridges

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

<table>
<thead>
<tr>
<th>Two Arizona prevention providers with experience in tobacco inspections and working with youth are used to conduct compliance inspections.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Each provider is responsible for recruiting between 4 and 10 16-year-old youth from their prevention programs to conduct inspections. The ethnic composition of the youth typically reflects the ethnic composition of Arizona youth. Age testing is completed for the youth who participate in the study. Supporting documents are collected from all youth inspectors and include birth certificates, age appearance tests, permission slips, current photos, and photo identifications. In every case a parent provides active consent for youth to participate in the project. Youth also sign an active consent form stating that they are willing to participate in the project. Youth are paid for participation in the inspections. There is no reward or penalty for making purchases. No youth is permitted to miss school to conduct inspections.</td>
</tr>
<tr>
<td>Adults are recruited from the identified prevention providers as chaperones. Chaperones are responsible for driving the vehicle, navigation, maintenance of youth inspector safety, taking care of youth inspector needs for food and breaks, and for accurate completion of paperwork. Chaperones are encouraged to have a second adult ride with them during inspections to navigate and/or complete documentation.</td>
</tr>
<tr>
<td>All providers including adult chaperones and youth inspectors are required to participate in an interactive group training held before inspections commence. Using a standardized curriculum, training objectives are designed to help inspection teams understand the Federal SYNAR requirements and inspection protocols.</td>
</tr>
<tr>
<td>Training commences with introductions, a review of the agenda and articulation of expectations for the training. Responsibilities of youth inspectors, adult inspectors, and the Department are reviewed in the training. Purchase protocols are trained in depth. Training is reinforced with a series of role-plays in which youth inspectors’ practice entering stores and attempting to make tobacco inspection purchases.</td>
</tr>
<tr>
<td>Additional training topics include safety and supervision of youth inspectors, maintaining professional boundaries with youth inspectors, and making inspections fun. Department staff provide guidelines to contractors including schedule inspections for no more than eight hours in a day, providing lunch for inspection teams, and appropriate use of work breaks as needed. Finally, the training covers logistical issues such as the number of inspections, locations, and projected dates of inspections. Adult escorts participate in an administrative meeting in which payment for services delivered is discussed as well as procedures for documenting, collecting and turning in inspection forms.</td>
</tr>
<tr>
<td>ADHS staff members conduct field monitoring of the inspection teams for approximately 10% of the field time. ADHS staff members provide feedback, answer questions, and verify adherence to field protocols during monitoring. Additionally, providers communicate directly with DBHS during the inspections regarding questions that arise.</td>
</tr>
</tbody>
</table>

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

| Legal | ☐ Yes ☒ No (If Yes, please describe.) |
The Arizona Department of Health Services sends a letter to county attorneys across the state informing them that SYNAR inspections will be taking place and inviting them to contact ADHS should they have questions or concerns.

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.)

Inspection teams including youth inspectors and adult supervisors receive training in safety procedures prior to commencement of inspections. Teams are instructed not to inspect any business that they perceive to be unsafe. Businesses not inspected for these reasons are documented. The protocol also allows adult supervisors to inconspicuously enter a business before and separate from the youth inspector to assess safety.

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

a. Legal ☐ Yes ☒ No (If Yes, please describe.)

b. Procedural ☒ Yes ☐ No (If Yes, please describe.)

All youth inspectors must be age 16. The gender balance of selected youth is 50% female and 50% male. Exceptions to the gender balance take place when unexpected events arise, such as a resignation of a youth inspector. Inspections occur at a variety of times during the day and days of the week including weekends. All youth inspectors are required to complete training provided by ADHS. ADHS staff perform field monitoring on approximately half of inspections.
APPENDIX D: LIST SAMPLING FRAME COVERAGE STUDY

(LIST FRAME ONLY)

State: Arizona
FFY: 2013

1. Calendar year of the coverage study: ____

2. a. Unweighted percent coverage found: ____%
b. Weighted percent coverage found: ____%
c. Number of outlets found through canvassing: ____
d. Number of outlets matched on the list frame: ____

3. a. Describe how areas were defined. (e.g., census tracts, counties, etc.)

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


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.


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.


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.

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).

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