

# **ANNUAL SYNAR REPORT**

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

OMB № 0930-0222

**FFY 2018**

**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 Substance Abuse Prevention and Treatment Block Grant (SABG) (45 C.F.R. 96.130 (e)).

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

In accordance with the tobacco regulations, states are required to provide detailed information on progress made in enforcing youth tobacco access laws (FFY 2017 Compliance Progress) and future plans to ensure compliance with the Synar requirements to reduce youth tobacco access rates (FFY 2018 Intended Use Plan). These data are required by 42 U.S.C. 300x-26 and will be used by the Secretary to evaluate state compliance with the statute. Part of the mission of the Center for Substance Abuse Prevention (CSAP) is to assist states<sup>1</sup> by supporting Synar activities and providing technical assistance helpful in determining the type of enforcement measures and control strategies that are most effective. This information is helpful to CSAP in improving technical assistance resources and expertise on enforcement efforts and tobacco control program support activities, including state Synar program support services, through an enhanced technical assistance program involving conferences and workshops, development of training materials and guidance documents, and onsite technical assistance consultation.

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

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

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<sup>1</sup>The term "state" is used to refer to all the states and territories required to comply with Synar as part of the Substance Abuse Prevention and Treatment Block Grant Program requirements (42 U.S.C. 300x-64 and 45 C.F.R. 96.121).

## **Getting assistance in completing the Synar report**

If you have questions about programmatic issues, you may call CSAP's Division of State Programs at (240) 276-2550 and ask for your respective State Project Officer, or contact your State Project Officer directly by telephone or email. If you have questions about fiscal or grants management issues, you may call the Grants Management Officer, Office of Financial Resources, Division of Grants Management, at (240) 276-1422.

## **Where and when to submit the Synar report**

The ASR must be received by SAMHSA no later than December 31, 2017 and must be submitted in the format specified by these instructions. Use of the approved format will avoid delays in the review and approval process. The chief executive officer (or an authorized designee) of the applicant organization must sign page one of the ASR certifying that the state has complied with all reporting requirements.

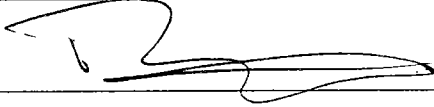
The state must upload one copy of the ASR using the online WebBGAS (Block Grant Application System). In addition, the following items must be uploaded to WebBGAS:

- FFY 2018 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), as well as a database with the raw inspection data 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. This document should be different than the Appendix C attached to the Annual Synar Report
- A scanned copy of the signed Funding Agreements/Certifications

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

## FFY 2018: FUNDING AGREEMENTS/CERTIFICATIONS

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

<b>PUBLIC HEALTH SERVICES ACT AND SYNAR AMENDMENT</b>	
42 U.S.C. 300x-26 requires each state to submit an annual report of its progress in meeting the requirements of the Synar Amendment and its implementing regulation (45 C.F.R. 96.130) to the Secretary of the Department of Health and Human Services. By signing below, the chief executive officer (or an authorized designee) of the applicant organization certifies that the state has complied with these reporting requirements and the certifications as set forth below.	
<b>SYNAR SURVEY SAMPLING METHODOLOGY</b>	
The state certifies that the Synar survey sampling methodology on file with the Center for Substance Abuse Prevention and submitted with the Annual Synar Report for FFY 2018 is up-to-date and approved by the Center for Substance Abuse Prevention.	
<b>SYNAR SURVEY INSPECTION PROTOCOL</b>	
The state certifies that the Synar Survey Inspection Protocol on file with the Center for Substance Abuse Prevention and submitted with the Annual Synar Report for FFY 2018 is up-to-date and approved by the Center for Substance Abuse Prevention.	
State: <b>Arizona</b>	
Name of Chief Executive Officer or Designee: <b>Thomas J. Betlach</b>	
Signature of CEO or Designee:	
Director, Arizona Health Care Cost Containment Title: System (AHCCCS)	Date Signed: <u>12/21/17</u>
If signed by a designee, a copy of the designation must be attached.	

**SECTION I: FFY 2017 (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

**\*\*City of Douglas - Ordinance/Resolution 17-1227**

**Prohibiting Possession, use and sale of tobacco productions, alternative nicotine products or vapor products under the age of 21 (July 2017)**

**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
- Changed definition of tobacco products
- Other change(s) *(Please describe.)* \_\_\_\_\_

**c. Have there been any changes in state law that impact the following?**

- Licensing of tobacco vendors  Yes  No
- Penalties for sales to minors  Yes  No
- Vending machines  Yes  No
- Added product categories to youth access law  Yes  No

**2. Describe how the Annual Synar Report (see 45 C.F.R. 96.130(e)) was made public within the state prior to submission of the ASR. (Check all that apply.)**

Placed on file for public review

Web address:

<https://www.azahcccs.gov/AHCCCS/PublicNotices/index.html#behavioralhealth>

Date published: November 30, 2017

Posted on a state agency Web site (*Please provide exact Web address and the date when the FFY 2018 ASR was posted to this Web address.*)

Web address: <https://tst.azahcccs.gov/Resources/Reports/behaviorhealth.html>

Date published: December 28, 2017

Notice published in a newspaper or newsletter

Public hearing

- Announced in a news release, a press conference, or discussed in a media interview
- Distributed for review as part of the SABG application process
- Distributed through the public library system
- Published in an annual register
- Other *(Please describe.)* \_\_\_\_\_

**3. Identify the following agency or agencies (see 42 U.S.C. 300x-26 and 45 C.F.R. 96.130).**

**a. The state agency(ies) designated by the Governor for oversight of the Synar requirements:**

Arizona Health Care Cost Containment System (AHCCCS)

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 (ADHS) and Arizona Attorney General's Office (AGO)

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 (AGO)

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

- Yes  No

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

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

Arizona Department of Health Services/Bureau of Tobacco and Chronic Disease

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

- Yes  No

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

- Are the same
- Have a formal written memorandum of agreement (w/Arizona Attorney General's



Office)

- Have an informal partnership
- Conduct joint planning activities
- Combine resources
- Have other collaborative arrangement(s) *(Please describe.)* **AHCCCS has an Interagency Service Agreement (ISA) with Arizona Department of Health Services/Bureau of Tobacco and Chronic Disease**

No relationship

d. Does a state agency contract with the Food and Drug Administration's Center for Tobacco Products (FDA/CTP) to enforce the youth access and advertising restrictions in the Family Smoking Prevention and Tobacco Control Act?

- Yes  No (if no, go to Question 5)

e. If yes, identify the state agency responsible for enforcing the youth access and advertising restrictions in the Family Smoking Prevention and Tobacco Control Act (the agency that is under contract to the Food and Drug Administration's Center for Tobacco Products (FDA/CTP)).

Attorney General's Office

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

- Yes  No

g. Describe the coordination and collaboration that occur between the agency contracted with the FDA to enforce federal youth tobacco access laws and the agency responsible for oversight of the Synar requirements. *(Check all that apply.)* The two agencies:

- Are the same
- Have a formal written memorandum of agreement
- Have an informal partnership
- Conduct joint planning activities
- Combine resources
- Have other collaborative arrangement(s) *(Please describe.)* **AHCCCS has an Interagency Service Agreement (ISA) with Arizona Department of Health Services/Bureau of Tobacco and Chronic Disease**

No relationship

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

- Yes  No

5. Please answer the following questions regarding the state's activities to enforce the state's youth access to tobacco law(s) in FFY 2017 (see 42 U.S.C. 300x-26 and 45 C.F.R. 96.130(e)).

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

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

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

PENALTY	OWNERS	CLERKS	TOTAL
Number of citations issued	245	254	499
Number of fines assessed	22	19	41
Number of permits/licenses suspended	N/A		N/A
Number of permits/licenses revoked	N/A		N/A
Other (Please describe.)	113	101	214
• Warrants and Pending			
• Citations resolved through diversion	132	153	285

c. 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 5c, 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:

All Synar inspections were conducted using Federal Drug Administration (FDA) inspections protocols. As part of ongoing tobacco enforcement activities, some Synar survey inspections were conducted jointly with Attorney General's Office (AGO) inspection teams. These joint inspections include citations to clerks and businesses at the time of inspection. However, ongoing joint tobacco inspections have resulted in consistent Retailer Violation Rates (RVR) between joint inspections with citations issued, Federal Drug Administration-only inspections with no state citations issued, and Attorney General's Office-only inspections with state citations issued, indicating that any bias to results from citing at the time of inspection versus not citing at the time of inspection is minimal.

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

- Enforcement is conducted only at those outlets randomly selected for the Synar survey.
- Enforcement is conducted only at a subset of outlets not randomly selected for the Synar survey.
- Enforcement is conducted at a combination of outlets randomly selected for the Synar survey and outlets not randomly selected for the Synar survey.

**e. Did every tobacco outlet in the state receive at least one compliance check that included enforcement of the state youth tobacco access law(s) in the last year?**

- Yes  No

**f. What additional activities are conducted in your state to support enforcement and compliance with state youth tobacco access law(s)? (Check all that apply and briefly describe each activity in the text boxes below each activity.)**

- Merchant education and/or training

State enforcement can be combined with educational opportunities, including the state diversion tobacco education program called the Arizona Retail Tobacco Training (ARTT). Attorney General's Office, Arizona Department of Health Services, and county health partners developed the ARTT curriculum and Attorney General's Office continues to update the program to reflect changing tobacco laws and available health data. AGO works closely with all 15 Arizona counties to train Arizona Retail Tobacco Training instructors, educate courts and prosecutors about the availability of ARTT, and provide ongoing technical assistance to all partners as necessary. Maricopa County, the largest county in Arizona by population, began offering the ARTT program in April of 2013. Class attendance has gone from one or two defendants per class with classes held every other month to completely full classes with 30 attendees per class and two classes per month. During that time, the Attorney General's Office inspection program Retailer Violation Rate has gone from 14.8% to 12.7% this past year. ARTT is designed to serve both as a diversion option for clerks and businesses who fail inspections and as a free training resource for all Arizona tobacco retailers. In Maricopa County approximately one third of attendees at an average class are there voluntarily while two thirds are there to resolve a citation. County health partners in several counties have provided classes to larger groups of employees from one store or chain at the request of a local business. Several smaller, local chains have indicated to trainers that they send all of their new employees to ARTT as part of their new employee training.

- Incentives for merchants who are in compliance (e.g., nonenforcement compliance checks in which compliant retailers are given positive reinforcement and noncompliant retailers are warned about youth access laws)

Community education regarding youth access laws

As mentioned above, the Arizona Retail Tobacco Training program is free and open to the public. Attorney General's Office partners with county health departments, schools, local law enforcement, and other groups to give presentations on youth access laws. Arizona Department of Health Services contracts with all 15 counties to conduct prevention activities that include efforts regarding youth access to tobacco. 14 of 15 counties also have at least one youth coalition that works, in part, to educate retailers on youth access laws.

Media use to publicize compliance inspection results

Tobacco inspection results are available on the public page of the Tobacco Enforcement System (TES), available at <https://mapping.countertools.org/aztes>. This webpage is shared with law enforcement, schools, parents, public health partners and others. Arizona Department of Health Services also has implemented digital and print media efforts to promote the statewide youth coalition efforts, Arizona Retail Tobacco Training, and the youth tobacco inspection program. See, i.e., <http://www.standaz.com/>

Community mobilization to increase support for retailer compliance with youth access laws

Youth coalitions in every county are working to establish local policies that restrict tobacco sales to youth, including engaging in community outreach and education.

Other activities *(Please list.)* Assurances of Voluntary Compliance Monitoring, National Association of Attorneys General Participation, Attorney General's Office /Arizona Department of Health Service Work Group, Multi-Agency Participation in National Synar Conference

In conjunction with many other states, Arizona has signed 13 Assurances of Voluntary Compliance with major tobacco retailers. While each Assurances of Voluntary Compliance is unique, each agreement contains certain restrictions in the retail environment and requirements for training and other practices that are designed to prevent the appeal and sales of tobacco products to minors. Attorney General's Office, Arizona Department of Health Services, and county partners collaborated on several efforts in 2017 that identified potential violations of Assurances of Voluntary Compliances that were subsequently addressed by partner businesses. The success of these interactions encourages county partners to increase compliance monitoring in Assurances of Voluntary Compliance locations, ultimately helping to keep tobacco enforcement at the "top of mind" for partner retailers and improving compliance with youth access laws. Attorney General's Office participates in several national working groups through the National Association of Attorneys General that focus on youth access to tobacco products and tobacco advertising that appeals to or targets youth. Because of this participation, Arizona is often at the forefront of identifying new concerns and developing solutions with other states, tobacco retailers and manufacturers.

Attorney General's Office and Arizona Department of Health Services are also joint chairs of the national Joint Attorney General's Office/Department of Health Services Tobacco Working Group, a group designed to improve communication and collaboration between state Attorney General's Offices and health departments on tobacco issues. This group led to the creation of a new conference, the Tobacco Policy and Responsible Retailing conference, held in November 2016. A major focus of the conference, which included representatives from tobacco retailers, was preventing youth access to tobacco products. A second Tobacco Policy and Responsible Retailing conference is in the planning stages for spring 2018. Additionally, Arizona intends on sending multiple staff from AHCCCS, Arizona Department of Health Services, and the Attorney General's Office to the upcoming National Synar Conference to gain information to enhance the Synar activities throughout the state and guide compliance activities.

### SYNAR SURVEY METHODS AND RESULTS

The following questions pertain to the survey methodology and results of the Synar survey used by the state to meet the requirements of the Synar Regulation in FFY 2017 (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.*

**a. If yes, describe how and when this change was communicated to SAMHSA**

On March 1, 2017, Arizona in conjunction with SAMHSA developed a plan to meet the precision requirement in the future. Arizona did not meet the precision requirement for the FFY 2017 due to the cluster design; a large number of retailers were in each of the cluster (+/- 50). SAMHSA recommended that Arizona reduce the number of retailers in each cluster to an average of 20 to 25 retailers for FFY 2018. This increased the number of clusters overall, and increased the number of clusters Arizona inspects. Arizona used SSES to determine the sample size for FFY 2018, with a smaller design effect of 1.2 (decreased from 5), but will use all other numbers from FFY 2017's reports. Additionally, Arizona will be utilizing the software CounterTools to create the clusters. The Geographic Information Systems (GIS) capabilities of the software will allow mapping of retailers by census tract. The Attorney General's Office (AGO) will be assisting the Arizona Department of Health Services/FDA in completing inspection statewide. In addition, a revised Appendix B for FFY 2017 was provided to SAMHSA and was submitted via email on 09/07/2017 to Clark Hagen since the WebBGAS had not been opened to submit.

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

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

Yes  No

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

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

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

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

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

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

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

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

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

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

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

Form 2 (Optional) in Appendix A (Forms 1–5) (Attach completed Form 2.)

Other (Please specify. Provide formulas and calculations or attach and explain the program code and output with description of all variable names.)

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

Yes  No  No stratification

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

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

Yes  No

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

*If No, go to Question 7g.*

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

Yes  No

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

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

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

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

**8. Did the state’s Synar survey use a list frame?**

Yes  No

*If Yes, answer the following questions about its coverage.*

**a. The calendar year of the latest Sampling frame coverage study:** \_\_\_\_\_

**b. Percent coverage from the latest Sampling frame coverage study:** \_\_\_\_\_

**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. **If Yes, describe how and when this change was communicated to SAMHSA**

- b. **Provide the inspection period: From 10/02/2016 to 09/29/2017**  
MM/DD/YY MM/DD/YY

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

22

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 2018 (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

**\*\*This is the first year for the change in methodology using TES. We are flexible to change based upon the results and feedback.**

*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 2018. 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.**

In the fall of 2014, the Attorney General's Office Youth Tobacco and Food and Drug Administration Tobacco Inspection programs began a pilot program exploring joint inspections. The combination of the federal and state programs creates a more effective overall tobacco enforcement effort. State enforcement can be combined with educational



opportunities, including the state diversion tobacco education program called the Arizona Retail Tobacco Training (ARTT). Federal enforcement does not include education, but penalties for repeat offenders can top \$11,000 and include actions such as a No Tobacco Sales Order. A business having one violation in a joint inspection will therefore ideally obtain further education about the laws relating to the sale of tobacco products and will avoid further penalties, while businesses that continue to sell to Arizona youth will face stiff penalties that are unavailable under state statutes. Early results show that the comprehensive approach to enforcement, including retailer education and holding businesses accountable for violations, is effective. FFY 2018, the Attorney General's Office Youth Tobacco program continued a downward trend with the Retail Violation Rate (RVR) at 12.7%; with the change in methodology this past year. Arizona plans to expand the percentage of overall youth tobacco inspections that are joint Attorney General Office/Food and Drug Administration inspections, continue to promote and support the Arizona Retail Tobacco Training program, and maintain and/or expand all activities listed in Question 5.

**3. Describe any challenges the state faces in complying with the Synar regulation. (Check all that apply and describe each challenge in the text box below it.)**

- Limited resources for law enforcement of youth access laws

Competing priorities for local law enforcement lead to Attorney General's Office performing virtually all enforcement of the youth access statute in the state. However, increasing communication with local law enforcement, particularly school resource officers, has allowed Attorney General's Office to both provide technical assistance and receive information and citizen complaints about locations that may sell to youth.

- Limited resources for activities to support enforcement and compliance with youth tobacco access laws

Arizona Department of Health Services continues to have an agency-wide hiring freeze that limits the ability of Bureau of Tobacco and Chronic Disease and specifically the Food and Drug Administration inspections program to fully staff all needed positions. The Food and Drug Administration program has managed to excel with limited staff, but the large area of the state combined with only two full time field inspectors is necessarily a limiting factor for effective enforcement.

- Limitations in the state youth tobacco access laws

Following the implementation of the Food and Drug Administration's Deeming Regulations, the federal age restriction on newly deemed tobacco products covers more products than the state youth access statute.

- Limited public support for enforcement of youth tobacco access laws

- Limitations on completeness/accuracy of list of tobacco outlets

Arizona does not have a statewide tobacco retail license requirement. As a result, obtaining an accurate list of tobacco retailers has been a consistent challenge in

enforcement efforts. The recent development of Tobacco Enforcement System, the state's collaborative tobacco enforcement database, has made significant improvements to the list. Retailer data from all tobacco inspection programs in Arizona are entered into TES, giving a comprehensive list that uses all inspections. The list itself is available in Geographic Information Systems (GIS) form on mobile devices in the field, so inspectors know right away if a location exists in the database or not. This greatly reduces duplicative entries. Further, the system has a unique "Store Merger" function that identifies duplicates and collapses inspections data into a single record.

- Limited expertise in survey methodology

- Laws/regulations limiting the use of minors in tobacco inspections

- Difficulties recruiting youth inspectors

Localized issues with youth recruitment have continued to be a challenge. These issues have been addressed by transporting youth from areas with many youth inspectors to areas with fewer youth inspectors or trading youth between small towns where they may be recognized in their local retail stores.

- Issues regarding the balance of inspections conducted by youth inspectors age 15 and under

- Issues regarding the balance of inspections conducted by one gender of youth inspectors

- Geographic, demographic, and logistical considerations in conducting inspections

Arizona is a large state with a lot of rural and undeveloped land. As a result, inspections often involve a large amount of travel time and resources for small numbers of inspections. Retailers in extremely rural areas may only be inspected once every several years, leading to high localized Retailer Violation Rates (RVRs). Close coordination of Attorney General's Office and Food and Drug Administration is improving the consistency of inspections in more rural areas, including identifying accurately the retailers in operation in these areas.

- Cultural factors (e.g., language barriers, young people purchasing for their elders)

Both Attorney General's Office and Food and Drug Administration inspectors have encountered language barriers during inspections.

- Issues regarding sources of tobacco under tribal jurisdiction

- Other challenges (*Please list.*) \_\_\_\_\_

## APPENDIX A: FORMS 1–5

### Not Applicable for Arizona

#### **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 2018). 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:*

- 1(a) Sequentially number each row.
- 1(b) Write in the name of each stratum. All strata in the state must be listed.

*If no stratification was used:*

- 1(a) Leave blank.
- 1(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.  
2(b) Report the number of vending machine (VM) outlets in the sampling frame in each stratum.  
2(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.  
3(b) Report the estimated number of eligible VM outlets in the VM outlet population in each stratum.  
3(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.

- 4(b) Report the numbers of eligible VM outlets for which an inspection was completed, for each stratum.
- 4(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.
  - 5(b) Report the number of VM outlets found in violation of the law as a result of completed inspections, for each stratum.
  - 5(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.



## **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 2018).

- 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 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 2018).

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.

Summary of Clusters Created and Sampled				
				State: _____
				FFY: 2018
(1) Row #	(2) Stratum Name	(3) Number of PSUs Created	(4) Number of PSUs Selected	(5) Number of PSUs in the Final Sample
<b>Total</b>				



**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 2018).

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."

<b>Inspection Tallies by Reason of Ineligibility or Noncompletion</b>			
		<b>State:</b>	
		<b>FFY: 2018</b>	
(1) INELIGIBLE		(2) ELIGIBLE	
Reason for Ineligibility	(a) Counts	Reason for Noncompletion	(a) Counts
Out of business		In operation but closed at time of visit	
Does not sell tobacco products		Unsafe to access	
Inaccessible by youth		Presence of police	
Private club or private residence		Youth inspector knows salesperson	
Temporary closure		Moved to new location	
Unlocatable		Drive-thru only/youth inspector has no driver's license	
Wholesale only/Carton sale only		Tobacco out of stock	
Vending machine broken		Ran out of time	
Duplicate		Other noncompletion reason(s) <i>(Describe.)</i>	
Other ineligibility reason(s) <i>(Describe.)</i>			
<b>Total</b>		<b>Total</b>	

**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 2018).

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.

<b>Synar Survey Inspector Characteristics</b>		
		<b>State:</b> Arizona
		<b>FFY:</b> 2018
	(1) Attempted Buys	(2) Successful Buys
<b>Male</b>		
15 years		
16 years		
17 years		
18 years		
<b>Male Subtotal</b>		
<b>Female</b>		
15 years		
16 years		
17 years		
18 years		
<b>Female Subtotal</b>		
<b>Other</b>		
<b>Total</b>		

## **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) and respond to Question #10 of Appendix B to provide the requested information about sample size calculations for the Synar survey conducted in FFY 2017.

## APPENDIX B: SYNAR SURVEY SAMPLING METHODOLOGY

State: ARIZONA

FFY: 2018

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

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

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

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

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

Name of Frame Source	Type of Source	Description	Updating Method and Cycle
<b>Tobacco Enforcement System (“TES”)</b>	1	Comprehensive list of all locations inspected by AGO, Dept. or Revenue, and FDA since 2012 plus AGO list back to 2010.	Continually updated throughout the year as inspections are conducted
<b>New outlets from last year’s sample</b>	6	ADHS conducts a comprehensive canvass of all the clusters chosen.	All newly identified outlets are added to TES as they are identified, typically in the field. Outlets can also be added or edited in the office.
<b>Attorney General’s Office (AGO) List</b>	6	This is a list of all retail locations inspected by the AGO in the current FY and historical and is incorporated in the complete TES database list.	Continually updated throughout the year as inspections are conducted
<b>FDA’s List</b>	6	This is a list of all retail location inspected by the FDA in the current FY and historically and is incorporated in the complete TES database list.	Continually updated throughout the year as inspections are conducted.
<b>TIMS List</b>	6	Once clusters are identified, the list of outlets from TES will be cross-checked by the FDA program with the TIMS database to ensure that there are no additional outlets in TIMS that do not currently appear in TES.	Comparison will be made on initial selection of clusters and just before each cluster is inspected.

**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 Reservations and Military Bases are 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(s) they are not included in the Synar survey. Please check all that apply.*

- State law bans vending machines.
- State law bans vending machines from locations accessible to youth.
- State has a contract with the FDA and is actively enforcing the vending machine requirements of the Family Smoking Prevention and Tobacco Control Act.
- Other (Please describe.) \_\_\_\_\_

*If Yes, please indicate how likely it is that vending machines will be sampled.*

- Vending machines are sampled separately to ensure vending machines are included in the sample
- Vending machines are sampled together with over the counter outlets, so it is possible that no vending machines were sampled, however they are included in the sampling frame and have a non-zero probability of selection
- Other reasons (Please describe.) \_\_\_\_\_

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

Census (STOP HERE: Appendix B is complete.)

**Unstratified statewide sample:**

- Simple random sample (Go to Question 9.)
- Systematic random sample (Go to Question 6.)
- Single-stage cluster sample (Go to Question 8.)
- Multistage cluster sample (Go to Question 8.)

**Stratified sample:**

- Simple random sample (Go to Question 7.)
- Systematic random sample (Go to Question 6.)
- Single-stage cluster sample (Go to Question 7.)
- Multistage cluster sample (Go to Question 7.)
- Other (Please describe and go to Question 9.) \_\_\_\_\_

6. **Describe the systematic sampling methods.** (After completing Question 6, go to Question 7 if stratification is used. Otherwise go to Question 9.)

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

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

- 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.)

The Tobacco Enforcement System is the database and GIS mapping tool that is utilized in Arizona to collect tobacco retailer and inspections data. The system was designed to provide a random sample of retailers for the Synar survey. The total number of outlets is entered into the TES clustering tool. TES randomly selects census tracts that include retail tobacco outlets until the total number plus 25% (to allow for locations that have closed or cannot be inspected) is selected. There are 1,526 total census tracts in Arizona, so we anticipate that a random sample of census tracts will provide a more effective sample than a selection based on zip codes.

- 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 census tracts (single stage cluster sample). All outlets are inspected within each cluster/census tract including all new outlets found in the cluster area.

FDA and AGO teams will meet to examine and divide clusters. Clusters will be assigned to either the FDA or AGO team based on best use of limited resources. For example, inspections may already be planned by one team in an outlying rural area. That team would be assigned Synar inspections in that area as opposed to duplicating efforts.

Each cluster entered for inspection must be comprehensively canvassed for all tobacco outlets, which must then be inspected along with the pre-listed outlets. Arizona Department of Health Services staff participated as ride along observers to ensure conformance with the comprehensive approach. All outlets inspected for Synar will appear and be tracked in TES, allowing for additional in-office quality control methods such as cross-checking the Synar survey inspections list with the outlets appearing on the TES GIS map.

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

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

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

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

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

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

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

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

**10. Provide the following information about sample size calculations for the Synar survey conducted in FFY 2017.**

**a. If the state uses the sample size formulas embedded in the SSES Sample Size Calculator to calculate the state level sample size, please provide the following information:**

**Inputs for Effective Sample Size:**

RVR: 12.7%

Frame Size: 5,827

**Input for Target Sample Size:**

Design Effect: 0.1

**Inputs for Original Sample Size:**

Safety Margin: 20%

Accuracy (Eligibility) Rate: 98.5

Completion Rate: 100%

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

**c. 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 SUMMARY

State: Arizona

FFY: 2018

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

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

#### a. Consummated buy attempts?

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

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

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

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

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

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

- Required  
 Permitted under specified circumstances (Describe: Most of the youth are volunteers but on an as needed basis we do contract with an agency to provide youth for inspections and they are paid.)  
 Not permitted

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

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

List the agency name(s): \_\_\_\_\_



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

Always  Usually  Sometimes  Rarely  Never

4. Describe the type of tobacco products that are requested during Synar inspections.

a. What type of tobacco products are requested during the inspection?

- Cigarettes
- Small Cigars
- Cigarillos
- Smokeless Tobacco
- Electronic Cigarettes/Electronic Nicotine Delivery Systems (ENDS)
- Other

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

Youth are trained on these types of products and brands of products prior to conducting inspections. The FDA has designed a program training them on protocols and products and must pass with 80% or higher score before conducting inspections.

5a. Describe the methods used to recruit, select, and train adult supervisors.

Inspectors are Food and Drug Administration commissioned officers and Special Agents from the Attorney General's Office.

5b. Describe the methods used to recruit, select, and train youth inspectors.

Youth are recruited through our statewide youth coalition. The inspection programs are promoted by local grantees and Attorney General's Office. Youth who complete Food and Drug Administration paperwork and training are selected to be youth inspectors for all tobacco inspection programs.

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

a. Legal

Yes  No

*(If Yes, please describe.)*

b. Procedural

Yes  No

*(If Yes, please describe.)*

Inspections conducted by the Attorney General's Office include at least one Arizona Peace Officer Standards and Training (AZPOST) certified law enforcement officer.

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

**a. Legal**

Yes  No

*(If Yes, please describe.)*

Food and Drug Administration Officers and youth inspectors receive training in safety procedures prior to commencement of inspections. Youth are instructed to not inspect any business that they perceive to be unsafe. Businesses not inspected for these reasons are documented.

**b. Procedural**

Yes  No

*(If Yes, please describe.)*

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

**a. Legal**

Yes  No

*(If Yes, please describe.)*

**b. Procedural**

Yes  No

*(If Yes, please describe.)*

All youth inspectors must be age 16 or 17. 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 the Food and Drug Administration youth inspector training.

# APPENDIX D: LIST SAMPLING FRAME COVERAGE STUDY

(LIST FRAME ONLY)

State: ARIZONA

FFY: 2018

## Not Applicable for Arizona

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).