ANNUAL SYNAR REPORT

42 U.S.C. 300x-26

OMB № 0930-0222

FFY 2015

State: WA

Table of Contents

OMB No. 0930-0222
Expiration Date: 05/31/2016

INTRODUCTION

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

How the Synar report helps the Center for Substance Abuse Prevention

In accordance with the tobacco regulations, states are required to provide detailed information on progress made in enforcing youth tobacco access laws (FFY 2014 Compliance Progress) and future plans to ensure compliance with the Synar requirements to reduce youth tobacco access rates (FFY 2015 Intended Use Plan). These data are required by 42 U.S.C. 300x-26 and will be used by the Secretary to evaluate state compliance with the statute. Part of the mission of the Center for Substance Abuse Prevention (CSAP) is to assist states[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) 276-2550 and ask for your respective State Project Officer, or contact your State Project Officer directly by telephone or email. If you have questions about fiscal or grants management issues, you may call the Grants Management Officer, Office of Financial Resources, Division of Grants Management, at (240) 276-1422.

Where and when to submit the Synar report

The ASR must be received by SAMHSA no later than December 31, 2014 and must be submitted in the format specified by these instructions**.** Use of the approved format will avoid delays in the review and approval process. The chief executive officer (or an authorized designee) of the applicant organization must sign page one of the ASR certifying that the state has complied with all reporting requirements.

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

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

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

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

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

Regular Mail:	**Overnight Mail:**
1 Choke Cherry Road, Rm.7-1091 Rockville, Maryland 20857	1 Choke Cherry Road, Rm.7-1091 Rockville, Maryland 20850

FFY 2015: FUNDING AGREEMENTS/CERTIFICATIONS

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

PUBLIC HEALTH SERVICES ACT AND SYNAR AMENDMENT
42 U.S.C. 300x-26 requires each state to submit an annual report of its progress in meeting the requirements of the Synar Amendment and its implementing regulation (45 C.F.R. 96.130) to the Secretary of the Department of Health and Human Services. By signing below, the chief executive officer (or an authorized designee) of the applicant organization certifies that the state has complied with these reporting requirements and the certifications as set forth below.
SYNAR SURVEY SAMPLING METHODOLOGY
The state certifies that the Synar survey sampling methodology on file with the Center for Substance Abuse Prevention and submitted with the Annual Synar Report for FFY 2015 is up-to-date and approved by the Center for Substance Abuse Prevention.
SYNAR SURVEY INSPECTION PROTOCOL
The state certifies that the Synar Survey Inspection Protocol on file with the Center for Substance Abuse Prevention and submitted with the Annual Synar Report for FFY 2015 is up-to-date and approved by the Center for Substance Abuse Prevention.
State: Washington
Name of Chief Executive Officer or Designee: Chris Imhoff
Signature of CEO or Designee:
Title: Director **Date Signed:**
If signed by a designee, a copy of the designation must be attached.

SECTION I: FFY 2014 (Compliance Progress)

YOUTH ACCESS LAWS, ACTIVITIES, AND ENFORCEMENT

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

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

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

☐ **Yes** ☒ **No**

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

b. Have there been any changes in state law that impact the state's protocol for conducting *Synar inspections?*

☐ **Yes** ☒ **No**

*If **Yes,** indicate change. (Check all that apply.)*
☐ Changed to require that law enforcement conduct inspections of tobacco outlets
☐ Changed to make it illegal for youth to possess, purchase or receive tobacco
☐ Changed to require ID to purchase tobacco
☐ Other change(s) *(Please describe.)* _____

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

Licensing of tobacco vendors	☐ **Yes**	☒ **No**
Penalties for sales to minors	☐ **Yes**	☒ **No**
Vending machines	☐ **Yes**	☒ **No**

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

☐ Placed on file for public review

☒ Posted on a state agency Web site *(Please provide exact Web address and the date when the FFY 2015 ASR was posted to this Web address.)*

_____

☐ 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:***

Division of Behavioral Health and Recovery *(DBHR)*

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

☐ **Yes** ☒ **No**

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

Washington State Department of Health (DOH).

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):***

Washington State Liquor Control Board (LCB)

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).
Washington State Department of Health*(DOH)*

b. Has the responsible agency changed since last year's Annual Synar Report?
☐ **Yes** ☒ **No**

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

☐ Are the same
☐ Have a formal written memorandum of agreement
☒ Have an informal partnership
☒ Conduct joint planning activities
☒ Combine resources
☐ Have other collaborative arrangement(s) *(Please describe.)* _____

d. Identify the state agency responsible for enforcing the youth access and advertising restrictions in the Family Smoking Prevention and Tobacco Control Act (the agency that is under contract to the Food and Drug Administration's Center for Tobacco Products (FDA/CTP)).
Washington State Liquor Control Board

e. Has the responsible agency changed since last year's Annual Synar Report?
☐ **Yes** ☒ **No**

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

☐ Are the same
☐ Have a formal written memorandum of agreement
☒ Have an informal partnership
☒ Conduct joint planning activities
☒ Combine resources
☐ Have other collaborative arrangement(s) *(Please describe.)* _____

g. 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 2014 *(see 42 U.S.C. 300x-26 and 45 C.F.R. 96.130(e)).*

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

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

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

PENALTY	OWNERS	CLERKS	TOTAL
Number of <u>citations issued</u>	99	91	190
Number of <u>fines assessed</u>	99	91	190
Number of <u>permits/licenses suspended</u>	0		0
Number of <u>permits/licenses revoked</u>	0		0
Other *(Please describe.)*			

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

☐ Enforcement is conducted only at those outlets randomly selected for the Synar survey.

☐ Enforcement is conducted only at a subset of outlets not randomly selected for the Synar survey.

☒ Enforcement is conducted at a combination of outlets randomly selected for the Synar survey and outlets not randomly selected for the Synar survey.

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

☐ **Yes** ☒ **No**

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

☒ Merchant education and/or training
☒ Incentives for merchants who are in compliance (e.g., nonenforcement compliance checks in which compliant retailers are given positive reinforcement and noncompliant retailers are warned about youth access laws)
☒ Community education regarding youth access laws
☒ Media use to publicize compliance inspection results
☐ Community mobilization to increase support for retailer compliance with youth access laws
☐ Other activities *(Please list.)* _____

Briefly describe all checked activities:

Merchant Education: Liquor Control Board delivers merchant education programs to both store owners and their clerks. The education programs cover both alcohol and tobacco licensing requirements.

Incentives: Local contractors for the Department of Health provided letters of recognition, engraved placards and public press releases, recognizing their efforts in decreasing tobacco sales to youth.

Community Education: Local contractors for the Department of Health deliver multiple community education programs regarding youth access and other tobacco related issues.

Media: The Department of Health does not have master settlement agreement dollars to conduct their work, therefore, Tobacco Prevention Control specialist must rely upon earned media presence to get news stories placed in the media using state funds.

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:

Referrals are made by the Department of Health to the Liquor Control Board (LCB) for any completed sales (for enforcement purposes). If the sale is made in an urban area, LCB or local law enforcement will write the citation at the time of the sale. If a sale is made in a rural area the compliance check team will complete all of its checks for that particular day. Once the checks are complete, they will go back to the store(s) that sold the tobacco and either LCB or law enforcement will write the citation. If the compliance check team does not have an enforcement officer with them, the retailer will be notified by the team leader that a sale was made earlier in the day to an underage youth and LCB will be issuing them a citation.

SYNAR SURVEY METHODS AND RESULTS

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

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

☐ **Yes** ☒ **No**

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

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

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

☒ **Yes** ☐ **No**

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

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

Unweighted RVR _____

Weighted RVR _____

Standard error (s.e.) of the (weighted) RVR _____

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

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

Accuracy rate _____

Completion rate _____

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

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

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

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

N/A

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*.

N/A

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*.

N/A

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

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

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

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

☒ **Yes** ☐ **No**

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

a. The calendar year of the latest frame coverage study: 2010

b. Percent coverage from the latest frame coverage study: 91.7

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: 2015

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 53protocol 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 12/1-2013 **to** 06/30/2014
MM/DD/YY MM/DD/YY

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

53

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.

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

SECTION II: FFY 2015 (Intended Use):

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

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

   Synar sampling methodology ☐ **Yes** ☒ **No**
   Synar inspection protocol ☐ **Yes** ☒ **No**

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

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

   It is the anticipation of the Department of Health, the Division of Behavioral Health and Recovery, substance abuse and tobacco contractors, and the collaborating communities that their efforts will continue driving down the annual Retail Violation Rates (RVR).

   The state will continue with compliance checks by the Liquor Control Board as part of its enforcement responsibilities. Youth access compliance checks by Department of Health have been greatly reduced due to the depleted state's budget. The 35 local health jurisdictions traditionally contracted with the Department of Health are no longer required to have tobacco inspections as part of their contract.

   The partnership between the Department of Health and the Division of Behavioral Health and Recovery historically has focused considerable energy and resources to expand efforts to affect change relating to the tobacco use and access rate of the Native American Tribes within Washington State. There are 29 Federally Recognized Native American Tribes within Washington State. DOH and DBHR contracted with the tribes to provide tobacco (and other drug) prevention services to their communities. Both agencies would like to see an increase in the discussion with the tribes concerning tobacco policies, laws, compliance checks, and enforcement.

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

   ☐ Limited resources for law enforcement of youth access laws
   ☒ Limited resources for activities to support enforcement and compliance with youth tobacco access laws
   ☐ Limitations in the state youth tobacco access laws
   ☐ Limited public support for enforcement of youth tobacco access laws
   ☐ Limitations on completeness/accuracy of list of tobacco outlets
   ☐ Limited expertise in survey methodology

☐ Laws/regulations limiting the use of minors in tobacco inspections
☐ Difficulties recruiting youth inspectors
☐ Issues regarding the age balance of youth inspectors
☐ Issues regarding the gender balance of youth inspectors
☒ Geographic, demographic, and logistical considerations in conducting inspections
☒ Cultural factors (e.g., language barriers, young people purchasing for their elders)
☒ Issues regarding sources of tobacco under tribal jurisdiction
☐ Other challenges *(Please list.)*_____

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 activities to support enforcement and compliance with youth tobacco access laws:

The forthcoming funding from the Food and Drug Administration will allow for dollars to specifically target youth access enforcement; we will be able to dedicate specific officers and specific time to the effort. Without specific funding, youth access enforcement is performed as part of the overall law enforcement job and can ultimately become overlooked.

PLAN: Continue to advocate that SAMHSA provide some allowance of federal SAPT Block Grant dollars to be allocated for enforcement purposes.

Geographic, demographic, and logistical considerations in conducting inspections:

Washington State has many lightly populated areas that require extensive time and resources in order to complete the checks.

PLAN: Continue to combine resources with Department of Health, Liquor Control Board and DBHR in order to reach as many retailers as possible for education purposes, in conjunction with Synar compliance checks.

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

Washington State's population is quite diverse which includes immigrants who come from cultures where it is not unusual to smoke. Many sales to minors have come from stores owned and operated by immigrants not familiar with tobacco laws.

PLAN: Continue to work with the Korean Grocers Association, though resources for outreach are relatively non-existent, and advocate for change actively involved in trying to reduce youth access to tobacco. Also, continue to work with our county partners and local health jurisdictions to strategize how to address these areas and populations where youth smoking is the norm.

Issues regarding sources of tobacco under tribal jurisdiction:

There are 25 of the 29 Federally Recognized Native American Tribes in Washington State. State laws, including youth access and tobacco taxes among them, cannot be enforced on reservations. Though it is expressly forbidden for non-Indians to buy untaxed tobacco products from Indian tobacco outlets, enforcement is very awkward and inconsistent. The same situation exists with access by youth, though we do not know the extent of the problem of sales to minors through Native American outlets.

PLAN: Continue to work with tribes to research local tribal law concerning youth access to tobacco on tribal lands. If no policies exist, collaborate to identify the need to

develop and implement enforceable policies. Continue to encourage and support those tribes that are examining their own policies relating to tobacco and youth access.

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 2015). 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 1 (Required for all states not using the Synar Survey Estimation System [SSES] to analyze the Synar Survey data.)

Summary of Synar Inspection Results by Stratum

State: _____

FFY: 2015

(1)		(2)			(3)			(4)			(5)		
STRATUM		NUMBER OF OUTLETS IN SAMPLING FRAME			ESTIMATED NUMBER OF ELIGIBLE OUTLETS IN POPULATION			NUMBER OF OUTLETS INSPECTED			NO. OF OUTLETS FOUND IN VIOLATION DURING INSPECTIONS		
(a) Row #	(b) Stratum Name	(a) Over-the-Counter (OTC)	(b) Vending Machines (VM)	(c) Total Outlets (2a+2b)	(a) Over-the-Counter (OTC)	(b) Vending Machines (VM)	(c) Total Outlets (3a+3b)	(a) Over-the-Counter (OTC)	(b) Vending Machines (VM)	(c) Total Outlets (4a+4b)	(a) Over-the-Counter (OTC)	(b) Vending Machines (VM)	(c) Total Outlets (5a+5b)

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 2015).

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									**State:**	
									FFY: 2015	
(1) Stratum Name	(2) **N** Number of Outlets in Sampling Frame	(3) **n** Original Sample Size	(4) **n1** Number of Sample Outlets Found Eligible	(5) **n2** Number of Outlets Inspected	(6) **x** Number of Outlets Found in Violation	(7) **p=x/n2** Stratum Retailer Violation Rate	(8) **N'=N(n1/n)** Estimated Number of Eligible Outlets in Population	(9) **w=N'/Total Column 8** Relative Stratum Weight	(10) **pw** Stratum Contribution to State Weighted RVR	(11) **s.e.** Standard Error of Stratum RVR
Total										

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'/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 2015).

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: 2015

(1) Row #	(2) Stratum Name	(3) Number of PSUs Created	(4) Number of PSUs Selected	(5) Number of PSUs in the Final Sample
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 2015).

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."

Inspection Tallies by Reason of Ineligibility or Noncompletion

State: WA

FFY: 2015

(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) *(Describe.*)	
Other ineligibility reason(s) *(Describe.)*			
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 2015).

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.

Synar Survey Inspector Characteristics **State:** WA **FFY:** 2015		
	(1) Attempted Buys	(2) Successful Buys
Male		
15 years		
16 years		
17 years		
18 years		
Male Subtotal		
Female		
15 years		
16 years		
17 years		
18 years		
Female Subtotal		
Other		
Total		

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: WA
FFY: 2015

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

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

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

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

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

Name of Frame Source	Type of Source	Description	Updating Method and Cycle
Washington State Department of Licensing	3	List Tobacco retailers, cleaned of duplicates and vending machines since they are inaccesible for youth	All retailers are required to renew their tobacco license no later then June 30th of each year. The license list is updated on an ongoing basis throughout the year to reflect new applications for licenses that have been submitted, accepted, and approved. DOH draws the sample from the list provided by the Department of Licensing.

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

   N/A

   a. **Is any area left out in the formation of the area frame?**

      ☐ **Yes** ☐ **No**

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

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

☐ **Yes** ☒ **No**

*If **No,** please indicate the reason(s) they are not included in the Synar survey. Please check all that apply.*

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

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

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

Unstratified statewide sample:

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

Stratified sample:

- ☒ Simple random sample *(Go to Question 7.)*
- ☐ Systematic random sample *(Go to Question 6.)*
- ☐ Single-stage cluster sample *(Go to Question 7.)*
- ☐ Multistage cluster sample *(Go to Question 7.)*
- ☐ **Other** *(Please describe and go to Question 9.)* _____

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

N/A

7. Provide the following information about stratification.

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

Stratum 1 - King County
Stratum 2- Non- King County; the states 38 other counties

b. Is clustering used within the stratified sample?

- ☐ **Yes** *(Go to Question 8.)*
- ☒ **No** *(Go to Question 9.)*

8. Provide the following information about clustering.

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

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

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

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

☐ **Yes** *(Respond to part b.)*

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

b. SSES Sample Size Calculator used?

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

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

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

The effective sample size is determined by:

$S = (Z*Z*p*(1-p))/(D*D)$

where D = 0.03(3%), Z = 1.96 and P = estimated noncompliance rate of previous year.

The target sample size is the effective sample size multiplied by the design affect is assumed to be 1.1.

The original sample size is the target sample size adjusted for ineligibility rate (R1) and non-completion rate (R2). Then, the original sample size = [(target sample size) /(R1R2)] + additional oversampling.

NOTE: R1 is a constant accounting for ineligibility (.70) and R2 is a constant accounting for non-completion (.90). See below for oversample rationale. Oversample rationale: Under current protocol, we guarantee our local tobacco contractors that we will oversample as necessary to obtain a total sample that is at least 9% of the King County sampling frame strata and at least 11% of the non-King County sampling frame strata - as long as this total sample is equal to or

greater than the sample size calculation that accounts for ineligibility and non-completion.

10. Provide the following information about sample size calculations for the current FFY Synar survey.

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

Inputs for Effective Sample Size:
RVR: N/A
Frame Size: N/A

Input for Target Sample Size:
Design Effect: N/A

Inputs for Original Sample Size:
Safety Margin: N/A
Accuracy (Eligibility) Rate: N/A
Completion Rate: N/A

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.

The inputs are as follows:

D (confidence interval) = 0.03,

Z (95% confidence level) = 1.96

P(estimated compliance from previous year) - 0.156

Design effect assumed: 1.1

Ineligibility rate: 0.70

Non-completion rate: 0.90

Frame size: 6271

ADDENDUM: There are approximately 6,200 cigarette and tobacco product retail licensees in the state from which the list frame is developed. To clean this list every year would require extra resources currently not available. We will re-visit this issue when more resources become available. In the meantime, please note that we account for ineligibles when we calculate the original sample size with a conservative eligibility rate of 70% - smaller than the 81.5% identified. This is noted in Appendix B.

Also, please note that the sample is generated in November and distributed to the local health jurisdictions (LHJ) in January; LHJ is not required to complete the inspections until the end of June, at which time there can be changes with the list of sites selected to be inspected. It is quite costly to visually survey the retail outlets, and then go back a second time to conduct the inspections.

APPENDIX C: SYNAR SURVEY INSPECTION PROTOCOL

State: WA
FFY: 2015

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

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

a. Consummated buy attempts?

☒ Required
☐ Permitted under specified circumstances (Describe:)
☐ Not permitted

b. Youth inspectors to carry ID?

☒ Required
☐ Permitted under specified circumstances (Describe:)
☐ Not permitted

c. Adult inspectors to enter the outlet?

☐ Required
☒ Permitted under specified circumstances (Describe: Adult inspectors enter the store after the compliance check in the case of sale.)
☐ Not permitted

d. Youth inspectors to be compensated?

☐ Required
☒ Permitted under specified circumstances (Describe: LCB pays youth operatives an hourly wage for their time spent doing compliance checks.)
☐ 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): **Synar inspections are coordinated by the Washington**

State Department of Health (DOH) through contracts with 35 local health jurisdictions and other local agencies. Additional tobacco compliance checks are conducted by DOH, the local health jurisdictions and the Washington State Liquor Control Board (WSLCB).

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

   ☒ Always ☐ Usually ☐ Sometimes ☐ Rarely ☐ Never

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

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

   ☒ Cigarettes
   ☒ Small Cigars/Cigarillos
   ☒ Smokeless Tobacco
   ☐ Other

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

Operatives attempt to buy cigarettes unless given alternative instructions. DOH and WSLCB meet annually to determine product. Agencies agreed to have cigarette's for inspections. Synar inspections are primarily used to make cigarette purchase attempts, but other tobacco products can be targeted by the compliance check at the discretion of the WSLB adult inspector.

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

The WSLCB hires Investigative Aides through paper application or on-line application (careers.wa.gov). Minor must submit application and complete an interview. Within the application, the minor must secure parental consent and agree to drug testing. Upon hire, the Investigative Aide qualifies for social security, Medicare, and worker's compensation. Recruitment occurs through contact with local law enforcement Explorer programs, Public School networks (Prevention Coordinators, Counselors, SROs, etc.), Home-School Associations, DUI Target Zero taskforces, and Health County networks. We also receive referrals by word of mouth from current staff – e.g. IAs will refer siblings, friends, or school classmates. All Investigative Aides once hired must complete training prior to any fieldwork.

The training session are delivered by a Liquor Enforcement Officer in a face-to-face briefing session (about 1 to 1 ½ hours) at the closest enforcement office.

The contents of the training are as follows:

1.What is a compliance check?

2.Why are compliance checks conducted?

3.Vocabulary

4.Investigative Aide Requirements

5.Hours of Work

6.Hours Report/Pay Days

7.Types of Establishments

8.Preparing for a compliance check

9.Investigative Aide Statement

10.A typical transaction

11.Behavior and Safety

12.Evidence and Expectations

13.Types of Compliance Checks

14.Difference in tobacco compliance checks (Synar vs. FDA vs. State-Side)

15.Grounds for Possible Termination

16.General Job Rules

17.What to Bring

18.If You Want to Quit

19.Acknowledgement Form – Minor signs to understanding topics presented.

20.Supplemental Product Photo References – used to refer to throughout the presentation.

We do not use adult supervisors, since we require two LEOs, if the minor is of opposite gender.

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.)*

Youth operatives must be accompanied either by a LCB agent, or carry a letter of immunity from the local health department's Health Office (authorized to grant immunity by state law).

b. Procedural

☒ **Yes** ☐ **No**

*(If **Yes,** please describe.)*

Youth operatives must be accompanied by a LCB agent, or carry a letter of immunity from the local health department's Health Office (authorized to grant immunity by state law).

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.)*

There are no specific legal requirements instituted by the state. However, each Local Health Jurisdiction (LHJ) is required, per their contract with the Washington State Department of Health, to conduct a criminal background check on all adult volunteers or chaperones prior to conducting any inspections.

b. Procedural

☒ **Yes** ☐ **No**

*(If **Yes,** please describe.)*

Youth and local health staff are instructed not to enter any establishment where the youth feels uncomfortable. LCB, health staff, or adult volunteers are in the immediate vicinity during any compliance check operation. The safety of the youth operative always takes priority over protocol or completion of the inspection.

Each Local Health Jurisdiction (LHJ) is required, per their contract with the Washington State Department of Health, to conduct a criminal background check on all adult volunteers or chaperones prior to conducting any inspections.

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.)*

Synar inspections are conducted according to a statewide protocol for inspections that is followed by local health jurisdictions. It specifies the age of inspectors and provides a framework from which training is conducted for youth inspectors.

APPENDIX D: LIST SAMPLING FRAME COVERAGE STUDY

(LIST FRAME ONLY)

State: WA
FFY: 2015

1. **Calendar year of the coverage study:** 2010

2. **a. Unweighted percent coverage found:** 91.7%%
   b. Weighted percent coverage found: n/a%
   c. Number of outlets found through canvassing: 133
   d. Number of outlets matched on the list frame: 122

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

   Canvassing areas were defined as census tracts identified via the 2000 U.S. census.

   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.

A total of 15 census tracts in Washington State were initially selected for inclusion in the coverage study. Tracts were selected using a probability proportionate to size (PPS) sampling method which gives census tracts within more populous counties a greater probability of being selected than tracts within less populous counties. PPS is a systematic random sampling method that uses a list of the counties arranged according to cumulative size, as is described below and illustrated in Table 1.

To use PPS sampling of counties:

1. Counties in the state were first sorted on the basis of the projected 2010 population (Washington State County Growth Management Population Projections, 2008) from King to Garfield Counties. As shown in Table 1, the 2010 projected population of each county was listed in the first column and the cumulative population (the county plus the population of all counties larger than the present county) was listed in the second column.

2. A sample interval was computed by dividing the projected 2010 population of the state by the number of tracts desired (7,365,534/15 tracts) = 491,516.8 which was rounded down to 491,516.

3. To find the starting point, a random number between 1 and 491,516 (321,354) was generated (Haar, 2009).

4. That number fell within the cumulative population of King County, as did the next three numbers generated by sequentially adding the sample interval to the random starting number: 812,871, 1,304,388, and 1,795,905.

5. Because each census tract represents approximately the same total population, we randomly selected (Haar, 2009) four census tracts from among the 373 census tracts within King County (U.S. Census Bureau, n.d.).

6. The next two numbers, 2,287,422 and 2,778,939, fell within the cumulative population of Pierce County. Hence, two census tracts were randomly selected from the 158 Pierce County census tracts.

7. This process was repeated until 15 census tracts were selected, as shown on Table1.

Upon request from the funding agency, two additional tracts were added from among counties with projected populations of less than 25,000, and a tract from Whitman County was added. The Whitman County tract was selected based on convenience to the canvassers: it was also used as the training tract, which allowed the project personnel the opportunity to observe the canvassers and to check their reliability.

The other two tracts were chosen by selecting two random numbers (Haar, 2009) between 1 and the cumulative population of the 12 counties with populations under 50,000: 169,658. Those randomly chosen numbers fell within the cumulative populations of Klickitat and Pend Oreille Counties. Census tracts were chosen within each of those counties by dividing the population of the county by the number of census tracts, cumulating the population evenly within each sequentially numbered tract within the county, and then determining within which tract the

random number fell. Annual Synar Report – OMB № 0930-0222, approved 05/03/2010, expires 05/31/2013.

Therefore, 18 census tracts were included in the 2010 Washington State Canvassing Sampling Frame study.

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

N/A

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

N/A

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.*

Field observers were provided with detailed maps of each census tract that included the boundary streets as well as interior streets. Census Bureau maps were used to show the boundary streets and Microsoft MapPoint software was used to create a set of detailed maps indicating the streets, parks, schools, and a preliminary list of the location of retail outlets and restaurants within each tract. In addition, field observers were given a GPS device to assist their travel throughout the entire project.

9. If a full canvassing was not conducted:

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

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

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

☐ **Yes** ☐ **No**

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

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

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

Field observers entered all outlets in selected census tracts and asked an employee whether the outlet sold tobacco products. Field observers also walked through the outlets to determine if they could see tobacco products for sale.

11. Please provide the state's definition of "matches" or "mismatches" to the Synar sampling frame? (i.e., address, business name, business license number, etc).

A match required that the business name and the address "matched" that listed on DBHR's master list of tobacco outlets. Nine outlets sold tobacco but were not on DBHR's master list, and an additional two outlets did not match the business name (but did match the address) listed on DBHR's master list. Thus a total of 11 outlets were counted as a "mismatch." Additionally, outlets listed on the DBHR's master list that no longer sold tobacco (n=6) were not considered in the calculation of the coverage rate so as not to bias the results.

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

N/A