

# **ANNUAL SYNAR REPORT**

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

OMB № 0930-0222

**FFY 2020**

**State: Hawaii**

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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 2019 Compliance Progress) and future plans to ensure compliance with the Synar requirements to reduce youth tobacco access rates (FFY 2020 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. The information to be reported is public (45 CFR 96.130 (f)) and is not confidential. 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, 2019 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 2020 Synar Survey Results: States that use the Synar Survey Estimation System (SSES) must upload one copy of *SSES Tables 1–8* (in Excel) to WebBGAS. **Please note that, beginning with the FFY 2019 ASR, SSES will generate Tables 6, 7, and 8, which are based on the optional microdata on product type, retail outlet type, and whether identification was requested. If your state does not submit these optional data, Tables 6, 7, and 8 will be blank. Tables 6, 7, and 8 are generated for the convenience of the state, and states are not required to submit completed versions of Tables 6, 7, or 8.** 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 2020: 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 2020 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 2020 is up-to-date and approved by the Center for Substance Abuse Prevention.
<b>State: Hawaii</b>
<b>Name of Chief Executive Officer or Designee: Bruce S. Anderson, Ph.D.</b>
<b>Signature of CEO or Designee:</b>
<b>Title:</b> Director of Health <span style="float: right;"><b>Date Signed:</b></span>
<b>If signed by a designee, a copy of the designation must be attached.</b>

**SECTION I: FFY 2019 (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 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  Other (Please specify.)

\_\_\_\_\_

**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

Posted on a state agency Web site (Please provide exact Web address and the date when the FFY 2020 ASR was posted to this Web address.)

*Web address:* <http://health.hawaii.gov/substance-abuse/survey>

*Date published:* Posted 12/11/19

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:**

Hawaii’s Governor in 1996 designated both the Department of Health (DOH) and the Department of the Attorney General to be responsible for the implementation of the requirements.

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

- Yes  No

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

The DOH Alcohol and Drug Abuse Division (ADAD) is the State agency that has been responsible for the random unannounced Synar inspections. ADAD contracts with the University of Hawaii (UH) to conduct the annual inspections. The Synar inspections are conducted separately from enforcement activities, and no police are used for the Synar inspections. The program that conducts the annual Synar inspections is housed at the University of Hawaii, Office of Public Health Studies (OPHS).

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):**

Hawaii has no State police and, as such, county police are responsible for enforcement and issuing citations to sellers of tobacco products to minors. In 1997, with initial support from the Department of the Attorney General, ADAD began a cooperative program with county police to undertake special operations to enforce the State law prohibiting tobacco sales to minors. In accordance with written agreements (Memorandum of Agreement or contract) between ADAD and each of the county police departments in Hawaii’s four counties, State funds are provided for police overtime to use plainclothes police officers to conduct “stings” using underage volunteers to buy tobacco products at retail outlets. Upon observation of a tobacco sale to an underage volunteer, the undercover police officer issues a citation to the salesclerk. ADAD has contracted with the UH OPHS (under a contract separate from the Synar inspections) to provide the four county police departments with technical assistance that includes maintaining lists of retail outlets to be inspected, recruiting and training youth volunteers, and data collection and reporting. Hawaii’s “Exemplary Enforcement Practices,” is to address illegal

retailer sales of tobacco products to minors and was featured in CSAP's "FFY 2008 Annual Synar Report: Youth Tobacco Sales."

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).**

The DOH Tobacco Prevention and Education Program (TPEP) is the State's lead office on tobacco prevention and receives National Tobacco Control Program funding from the Centers for Disease Control and Prevention. TPEP is organized and managed separately from ADAD. TPEP is grouped with programs under the Chronic Disease Prevention and Health Promotion Division (CDPHPD) which is under the DOH Health Resources Administration, while ADAD is under the DOH Behavioral Health Administration.

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

DOH, Alcohol and Drug Abuse Division

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.)* \_\_\_\_\_
- 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 2019 (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 <u>citations issued</u>	0	56	56
Number of <u>finest assessed</u>	UNK	UNK	UNK
Number of <u>permits/licenses suspended</u>	0		0
Number of <u>permits/licenses revoked</u>	0		0
Other (Please describe.)	0	0	0

\*During State fiscal year 2018 (July 1, 2018 – June 30, 2019), 56 citations were issued to clerks, which may include mobile food vendors, who were observed selling tobacco to minors, out of a total of 997 enforcement stings that were completed by county police departments. Under Hawaii State law, citations are issued to salesclerks, not store owners.

\*\*The Department of Taxation is the State agency that issues and may suspend, or revoke retail tobacco permits in accordance with provisions under Chapter 245, Hawaii Revised Statutes, and §18-245-2.5, Hawaii Administrative Rules. Violation(s) of the State law that prohibits the sale of tobacco products to minors may be considered, but does not automatically result, in the suspension or revocation of retail tobacco permit.

- 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:

- 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

The DOH Tobacco Prevention and Education Program (TPEP) conducts the State’s major educational and informational activities on tobacco prevention and control, including merchant and community education. TPEP provides educational materials to promote compliance of the state youth tobacco access laws to retailers. In adherence with the law that increased the minimum sale age of tobacco products to 21, materials were created featuring the “No Sales under 21” message and an electronic smoking device symbol to be posted at the point of sale. The materials, which include legal signage, check ID stickers, age calculators, and informational flyers, are provided at no charge. By request of various trade associations, legal signage was translated into three languages, Chinese, Japanese, and Korean, and distributed statewide. Additionally, merchant education materials and information about state youth tobacco access laws are available at the TPEP website: <http://health.hawaii.gov/tobacco/retail/>.

- 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

Information about youth access laws are provided to the community in ads placed in the periodical, Hawaii Retail Grocer, which is distributed to the Hawaii Food Industry Association members. Detailed information is also available at the TPEP website: <http://health.hawaii.gov/tobacco/home/laws/>.

- Media use to publicize compliance inspection results

Lists of retailers that have passed and failed enforcement checks are publicized on ADAD’s website: <http://health.hawaii.gov/substance-abuse/survey/tobacco/>.

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

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

TPEP collaborates with the Hawaii State Department of Taxation which, under law, is responsible for issuing licenses to tobacco wholesalers and permits to retail tobacco sellers annually. TPEP works with the Attorney General’s Tobacco Enforcement Unit, responsible for ensuring compliance with Hawaii’s cigarette tax stamp law.

As of 2018, the Electronic Smoking Device (ESD) Retailer Registration Unit was established within the Department of the Attorney General requiring registration by all entities engaged in the retail sales of ESDs.

## 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 2019 (*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**

**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, upload a copy of SSES tables 1–8 (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.**

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

plus                      times

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

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

c. **Fill out Form 1 (See Appendix A: Forms 1–5 Templates).** *(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) (See Appendix A: Forms 1–5 Templates) *(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 (See Appendix A: Forms 1–5 Templates), and answer the following question.*

*If No, go to Question 7g.*

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

Yes    No

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

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

	Sample Size
<b>Effective sample size</b> (sample size needed to meet the SAMHSA precision requirement assuming simple random sampling)	
<b>Target sample size</b> (the product of the effective sample size and the design effect)	
<b>Original sample size</b> (inflated sample size of the target sample to counter the sample attrition due to ineligibility and noncompletion)	

<b>Eligible sample size</b> (number of outlets found to be eligible in the sample)	
<b>Final sample size</b> (number of eligible outlets in the sample for which an inspection was completed)	

**h. Fill out Form 4 (See Appendix A: Forms 1–5 Templates).**

**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: 2018**

**b. Percent coverage from the latest Sampling frame coverage study: 95.9%**

**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: 2023**

**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 03/09/19 to 03/23/19**  
MM/DD/YY MM/DD/YY

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

10

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

**d. 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 2020 (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 2020. 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.

To maintain the retailer violation rate below the 20% maximum target rate, the State plans to continue the law enforcement efforts described in Section I under question 3c. These efforts include continuing the cooperative program with county police to undertake special operations to enforce the State law prohibiting tobacco sales to minors. State funds will continue to be provided for police overtime to use plainclothes police officers to conduct "stings" using underage volunteers to buy cigarettes at retail outlets. Upon observation of a tobacco sale to an underage volunteer, the undercover police officer issues a citation to the salesclerk.

Older volunteer youth inspectors up to age 20 may be used to enforce the State's youth tobacco access law, consistent with the change in the State law which increased the legal age to purchase tobacco products from 18 to 21, that became effective January 1, 2016 (now §712-1258, Hawaii Revised Statutes). For the Synar inspections, ADAD received approval from CSAP to also use older youth inspectors up to age 20, consistent with the change in the State law. Other current guidance from CSAP, regarding the age distribution of youth inspectors to be used for the Synar inspections, will continue to be followed.

As described under question 3b, ADAD contracts with the UH OPHS to conduct the annual Synar inspections. The Synar inspections are conducted separately from the police stings, and no police are used for the Synar inspections.

The activities that support law enforcement efforts described in Section I under question 5e are expected to continue. These activities include the merchant education and training and community education activities conducted by TPEP, which is the State's lead office on tobacco prevention and control.

There are no anticipated changes in youth tobacco access legislation or regulation that is being proposed by ADAD. As Hawaii's State Legislature does not convene until the third Wednesday in January of each year, ADAD is unable to currently determine if any youth tobacco access legislation will be introduced by other public or private sector organizations.

Legislation has been proposed for the past three state legislative sessions to regulate the sales of ESDs by requiring wholesale licenses and retail permits to improve enforcement efforts.

**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.)**

- a. Limited resources for law enforcement of youth access laws

Synar requirements constitute an unfunded mandate. Synar regulations prohibit States from using SAPT Block Grant funds for enforcement activities, except for primary prevention set aside funds which may be used to carry out administrative aspects such as developing the sample design and conducting the annual Synar inspections. Hawaii's four county police departments have limited resources and often focus their efforts in reducing serious criminal behavior within their communities. Due to limited county resources, State funds have been used to contract with the county police departments to enforce Hawaii's youth tobacco access law. The Department of Health (DOH) Chronic Disease Prevention and Health Promotion Division (CDPHPD), also known as the Tobacco Settlement Project, had been making Tobacco Settlement funds available to ADAD on a year-to-year basis to support the enforcement of Hawaii's youth tobacco access law. These funds enabled plainclothes police officers to conduct the tobacco enforcement stings on an overtime basis. These funds have also been used to enable the UH Office of Public Health Studies to provide essential technical assistance, i.e., maintaining lists of retail outlets to be inspected, recruiting and training youth volunteers, and data collection and reporting. However, during the 2015 Hawaii State Legislative Session, the Legislature eliminated Tobacco Settlement funds to CDPHPD and instead appropriated general fund revenues for CDPHPD's operations. CDPHPD agreed to use its State general funds to continue to support the enforcement operations. The Memorandum of Agreement (MOA) or contract with each of Hawaii's four county police departments to conduct the enforcement operations and the contract with the UH Office of Public Health Studies to provide technical assistance to the county police departments were managed by TPEP under CDPHPD instead of by ADAD. This includes maintaining lists of retail outlets to be inspected, recruiting and training youth volunteers, and data collection and reporting. In May 2019 CDPHPD decided to focus their resources on merchant education and returned the MOAs and contracts to ADAD. ADAD will work with UH Office of Public Health Studies and the county police departments to explore ways of supporting enforcement of youth access laws in the face of budget constraints and changing State laws.

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

- c. Limitations in the state youth tobacco access laws

- d. Limited public support for enforcement of youth tobacco access laws

- e. Limitations on completeness/accuracy of list of tobacco outlets

- f. Limited expertise in survey methodology

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

- h. Difficulties recruiting youth inspectors

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

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

- k. Geographic, demographic, and logistical considerations in conducting inspections

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

- m. Issues regarding sources of tobacco under tribal jurisdiction

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

## APPENDIX A: FORMS 1–5 TEMPLATES

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

Complete Form 1 in **Excel** 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 **Excel** form, provide the state name and reporting federal fiscal year (FFY 2020). 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 in **Excel** 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 **Excel** form, provide the state name and reporting federal fiscal year (FFY 2020).

- 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: 2020
(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
<b>Total</b>										

- 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 in Excel 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 Excel form, provide the state name and reporting federal fiscal year (FFY 2020).

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.

<b>Summary of Clusters Created and Sampled</b>				
<b>State:</b> _____				
<b>FFY:</b> 2020 _____				
(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 in **Excel** 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 **Excel** form, provide the state name and reporting federal fiscal year (FFY 2020).

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:</b> 2020	
<b>(1) INELIGIBLE</b>		<b>(2) ELIGIBLE</b>	
<b>Reason for Ineligibility</b>	<b>(a) Counts</b>	<b>Reason for Noncompletion</b>	<b>(a) Counts</b>
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 in Excel 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 Excel form, provide the state name and reporting federal fiscal year (FFY 2020).

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> _____
		<b>FFY:</b> 2020 _____
	(1) Attempted Buys	(2) Successful Buys
<b>Male</b>		
15 years		
16 years		
17 years		
18 years		
19 years		
20 years		
<b>Male Subtotal</b>		
<b>Female</b>		
15 years		
16 years		
17 years		
18 years		
19 years		
20 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 2019.

## APPENDIX B: SYNAR SURVEY SAMPLING METHODOLOGY

State: Hawaii  
 FFY: 2020

**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
R.L. Polk Business Directory	1	Business directory based on Standard Industrial Classification (SIC) codes	Used to create original list
FDA List	1	List of outlets from the FDA for enforcement of FDA tobacco regulations that are no longer in effect when the U.S. Supreme Court ruled in March 2000 that the FDA lacked jurisdiction over cigarettes and smokeless tobacco.	Used to create original list
Yellow Pages	6	Annual Yellow Pages phone book	All grocery, liquor, variety, service station, sundry and convenience listings are checked to update and add new outlets to the list annually.
Police Enforcement Operations	6	Information on tobacco outlets obtained from police enforcement stings conducted in all four counties throughout the year.	Outlet status information obtained from police enforcement stings is used to update the list 1-3 times a month.
Synar Inspections	6	Information on tobacco outlets from annual Synar inspections conducted in all four counties.	Outlet status information obtained from Synar inspections is used to update the list annually.
Tobacco Permit List	3	Hawaii State Dept. of Taxation retail tobacco permit list.	Tobacco permit lists are obtained from the Dept. of Taxation, then analyzed, compared with the list frame, and used to update the list frame 1-4 times a year.

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

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

Yes  No

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

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

Yes  No

*If No, please indicate the reason(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.)*

The outlets in the sampling frame are grouped by county and sorted in the following order prior to selection: zip code, city, street name, and then street number. Every nth outlet is selected using a random start point generated by using MS Excel. Outlets in each county are selected proportional to the statewide sampling frame.

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

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

The strata are the four counties of Hawaii: City and County of Honolulu (Island of Oahu), County of Hawaii (Big Island), County of Maui, and County of Kauai. As described above, the outlets in the sampling frame are sorted in the following order prior to selection: county, zip code, city, street name, and then street number.

**b. Is clustering used within the stratified sample?**

**Yes** (Go to Question 8.)

**No** (Go to Question 9.)

**8. Provide the following information about clustering.**

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

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

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

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

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

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

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

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

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

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

**10. Provide the following information about sample size calculations for the Synar survey conducted in FFY 2019.**

- 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: 10%

Frame Size: 1,127

**Input for Target Sample Size:**

Design Effect: 1

**Inputs for Original Sample Size:**

Safety Margin: 20%

Accuracy (Eligibility) Rate: 85%

Completion Rate: 85%

- 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: Hawaii  
FFY: 2020

*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 supervisors are permitted to enter the outlet to assess the situation and ensure the safety of the youth inspector. If there are two adult supervisors at an outlet, one adult supervisor will accompany the youth inspector to the outlet while the other adult supervisor remains in the vehicle. However, if the adult supervisor feels their presence may compromise the undercover nature of the inspection, the adult supervisor will not enter the outlet).
- Not permitted

### d. Youth inspectors to be compensated?

- Required
- Permitted under specified circumstances (Describe.)
- Not permitted

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

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

Other

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

**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 e-liquids, ESDs, cigars, and loose tobacco

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

During the year, establishments are identified in the database by which tobacco products they sell. If an establishment is known to not carry cigarettes and instead sells other tobacco products such as cigars, small cigars/cigarillos, smokeless tobacco, or other tobacco products other than cigarettes, prior to entering the store, the adult staff will notify the youth inspector to ask for the tobacco product that is known to be sold at that particular establishment. Youth inspectors are also asked to quickly scan the store to identify which tobacco products are being offered for sale before making an attempt to purchase. Youth inspectors are also asked to request for popular brand name items such as Kool and Marlboro. Should either of the two brands not be available, the youth inspector is told to choose a different brand that they are able to identify as a brand of cigarette.

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

University of Hawaii Office of Public Health Studies (OPHS) staff are used as adult supervisors. Adult supervisors undergo a training session that may last from 45-60 minutes. The training includes: an overview of the purpose of the compliance monitoring; review of Hawaii State law regarding tobacco sales to persons under twenty-one years of age; step-by-step review of current Synar Inspection Protocol, including data collection; role-playing of tobacco buying procedures for student volunteers; review and description of the need to avoid misrepresentation of age, to maintain confidentiality, and to observe safety procedures; review and description of the data collection forms and procedures; and a run through of the iPhone data collection app. The selection of adult supervisors for the inspection day depends on their availability and the availability of student volunteers for the scheduled inspection days and communities.

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

Underage youth volunteers are recruited from local schools, mostly through youth clubs. The OPHS gives a presentation on the Synar project and signs up youth volunteers for training. Those that complete the training are added to the OPHS eligible volunteer database. The composition of the database changes due to voluntary withdrawals, eliminating volunteers who turn 21 years old, and adding new volunteers. Youth volunteers undergo a training session that may last from 20-60 minutes, depending on the number of participants and the amount of questions asked in any one session. The average time is about 45 minutes for group sessions and about 20 minutes for one-on-one session. The training includes: an overview of the purpose of the compliance monitoring program; review of the Hawaii State law regarding tobacco sales to minors; role-playing of tobacco buying procedures; review and description of the need to avoid misrepresentation of age, to maintain confidentiality, and to observe safety procedures; and review and description of the consent and data collection forms and procedures. The selection of underage youth inspectors depends on the availability of volunteers for the scheduled inspection days and communities.

**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.)*

In 1997, a State law was enacted to exempt minors from prosecution for the purchase of tobacco products as part of a law enforcement activity or a study authorized by the Department of Health and supervised by law enforcement to determine the level of incidence of tobacco sales to minors.

**b. Procedural**

Yes  No

*(If Yes, please describe.)*

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

**a. Legal**

Yes  No

*(If Yes, please describe.)*

**b. Procedural**

Yes  No

*(If Yes, please describe.)*

The OPHS has instituted procedures to address the issue of safety for youth inspectors. Prior to being hired, all project staff are required to pass a criminal background check conducted by the Research Corporation of the University of Hawaii. Prior to the inspections, each adult driver must show the OPHS a valid driver's license, motor vehicle registration, and a no-fault insurance card, as well as sign a statement that says, "All drivers must not have received a moving violation in the past three years or have any problem with his or her car." During the inspections, adult supervisors conduct all driving and youth inspectors ride in the backseat; everyone in the vehicle must wear seat belts. All inspections are made during the day (before dark). If any team member feels that it is unsafe to enter a store, the inspection for that outlet will not be conducted. The adult driver must observe the store from their vehicle and alert the minor if any suspicious activity occurs outside the store. For safety purposes, an additional adult supervisor, if available, will accompany the youth inspector to the outlets.

**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.)*

Consistent with previous years' Synar inspections, the consummated buy protocol is used. The inspection team consists of a youth inspector and an adult supervisor from the OPHS staff. For safety purposes, an additional adult supervisor, if available, will accompany the youth inspector to the outlets. Each team is provided with an information packet that includes "buy money," a map of the area to be surveyed, a list of outlets to be inspected, a mobile device that contains the data collection form to record the data and results for each outlet, mileage claim forms, and a cash expenditure form.

The adult supervisor drives the youth to each outlet and an attempt to purchase is made. The youth inspector enters the outlet alone while the adult remains outside the outlet. However, if there are two adult supervisors, one adult supervisor will accompany the youth inspector to the outlet while the other adult supervisor remains in the vehicle. Youth inspectors are instructed not to carry identification. If a salesclerk asks a youth for identification, the youth is to reply that he or she is not carrying any identification. If a salesclerk asks the youth his or her age, the youth is to reply honestly. After each attempt, the youth inspector completes the data

collection form on the mobile device to record if a purchase was made or not made and other information about the outlet. If a purchase was made, the adult immediately takes possession of the tobacco purchased and records the expenditure. Inspections are conducted during general business daylight hours. At the end of the inspections, the tobacco products, information packets, and cash are returned to the OPHS office. The data on the mobile devices are imported to a computer at the OPHS office. The data are verified for accuracy and entered into a database.

Since the youth inspectors are volunteers, they are not paid. During the inspections, they receive lunch and are allowed to purchase snacks. In addition, they receive small incentives such as movie tickets or gift certificates for participating in the inspections. Upon request, the OPHS verifies for youth inspectors their community service hours for school and extracurricular organizations. The adult supervisors (OPHS staff) are reimbursed for mileage accumulated using their vehicle and for any parking fees paid during the inspections.

# APPENDIX D: LIST SAMPLING FRAME COVERAGE STUDY

(LIST FRAME ONLY)

State: \_\_\_\_\_  
FFY: 2020

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? (e.g., address, business name, business license number)**

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

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

**CSAP-SYNAR REPORT**

State	HI
Federal Fiscal Year (FFY)	2020
Date	11/4/2019 10:00
Data	SSEsv7_DataEntryTemplate_SRS-2019.xls
Program Version	Version 7.0
Analysis Option	Stratified SRS with FPC

**Estimates**

Unweighted Retailer Violation Rate	5.7%
Weighted Retailer Violation Rate	5.7%
Standard Error	1.0%
Is SAMHSA Precision Requirement met?	YES
Right-sided 95% Confidence Interval	[0.0%, 7.4%]
Two-sided 95% Confidence Interval	[3.6%, 7.7%]
Design Effect	1.0
Accuracy Rate (unweighted)	98.6%
Accuracy Rate (weighted)	98.6%
Completion Rate (unweighted)	93.3%

**Sample Size for Current Year**

Effective Sample Size	219
Target (Minimum) Sample Size	219
Original Sample Size	364
Eligible Sample Size	359
Final Sample Size	335
Overall Sampling Rate	30.2%

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

STATE: HI  
FFY: 2020

Samp. Stratum	Var. Stratum	Outlet Frame Size	Estimated Outlet Population Size	Number of PSU Clusters Created	Number of PSU Clusters in Sample	Outlet Sample Size	Number of Eligible Outlets in Sample	Number of Sample Outlets Inspected	Number of Sample Outlets in Violation	Retailer Violation Rate(%)	Standard Error(%)
<b>All Outlets</b>											
Hawaii	Hawaii	177	174	N/A	N/A	57	56	55	7	12.7%	
Honolulu	Honolulu	684	675	N/A	N/A	221	218	204	7	3.4%	
Kauai	Kauai	77	77	N/A	N/A	25	25	23	0	0.0%	
Maui	Maui	189	186	N/A	N/A	61	60	53	5	9.4%	
Total		1,127	1,112			364	359	335	19	5.7%	1.0%
<b>Over the Counter Outlets</b>											
Hawaii	Hawaii	177	174	N/A	N/A	57	56	55	7	12.7%	
Honolulu	Honolulu	684	675	N/A	N/A	221	218	204	7	3.4%	
Kauai	Kauai	77	77	N/A	N/A	25	25	23	0	0.0%	
Maui	Maui	189	186	N/A	N/A	61	60	53	5	9.4%	
Total		1,127	1,112			364	359	335	19	5.7%	1.0%
<b>Vending Machines</b>											
Hawaii	Hawaii	0	0	N/A	N/A	0	0	0	0	0.0%	
Honolulu	Honolulu	0	0	N/A	N/A	0	0	0	0	0.0%	
Kauai	Kauai	0	0	N/A	N/A	0	0	0	0	0.0%	
Maui	Maui	0	0	N/A	N/A	0	0	0	0	0.0%	
Total		0	0			0	0	0	0	0.0%	0.0%

**SSES Table 3 (Synar Survey Sample Tally Summary)**

STATE: HI  
FFY: 2020

Disposition Code	Description	Count	Subtotal
EC	Eligible and inspection complete outlet	335	
Total (Eligible Completes)			335
N1	In operation but closed at time of visit	11	
N2	Unsafe to access	0	
N3	Presence of police	0	
N4	Youth inspector knows salesperson	0	
N5	Moved to new location but not inspected	0	
N6	Drive thru only/youth inspector has no drivers license	0	
N7	Tobacco out of stock	0	
N8	Run out of time	3	
N9	Other noncompletion (see below)	10	
Total (Eligible Noncompletes)			24
I1	Out of Business	3	
I2	Does not sell tobacco products	1	
I3	Inaccessible by youth	0	
I4	Private club or private residence	0	
I5	Temporary closure	0	
I6	Can't be located	1	
I7	Wholesale only/Carton sale only	0	
I8	Vending machine broken	0	
I9	Duplicate	0	
I10	Other ineligibility	0	
Total (Ineligibles)			5
Grand Total			364

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

Reason	Count
Too costly to inspect	5
Inaccessible-Location is inside the Airport and Unlocatable-Blind Vendor-unable to identify which vendor is the correct establishment.	3
Inaccessible-Location on military base	1
Minor felt uncomfortable because customers were actively vaping in shop	1

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

STATE: HI  
FFY: 2020

**Frequency Distribution**

Gender	Age	Number of Inspectors	Attempted Buys	Successful Buys
Male	14	0	0	0
	15	0	0	0
	16	1	36	1
	17	0	0	0
	18	1	22	1
	19	1	29	0
	20	2	74	15
	Subtotal		5	161
Female	14	0	0	0
	15	1	39	0
	16	2	46	0
	17	1	50	1
	18	0	0	0
	19	0	0	0
	20	1	39	1
	Subtotal		5	174
Other		0	0	0
Grand Total		10	335	19

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

Age	Male	Female	Total
14	0.0%	0.0%	0.0%
15	0.0%	0.0%	0.0%
16	2.8%	0.0%	1.2%
17	0.0%	2.0%	2.0%
18	4.5%	0.0%	4.5%
19	0.0%	0.0%	0.0%
20	20.3%	2.6%	14.2%
Other			0.0%
Total	10.6%	1.1%	5.7%

SSSES Table 6 (Synar Survey Inspection Results by Type of Product)

STATE: HI  
FFY: 2020

Frequency Distribution and Buy Rate

Product Type	Attempted Buys	Successful Buys	Violation Rate (%)
Cigarettes	207	9	4.3%
Small cigars/Cigarillos	11	0	0.0%
Smokeless tobacco	0	0	0.0%
ENDS	116	10	8.6%
Other	1	0	0.0%
Missing	0	0	0.0%
Invalid	0	0	0.0%
Grand Total	335	19	5.7%

SSSES Table 6 (Synar Survey Inspection Results by Type of Product)

STATE: HI  
FFY: 2020

Buy Rate by Type of Product, Age, and Gender

Male								
Product Type	Age							Total
	14	15	16	17	18	19	20	
Cigarettes	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	21.4%	10.2%
Small cigars/Cigarillos	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
Smokeless tobacco	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
ENDS	0.0%	0.0%	7.7%	0.0%	8.3%	0.0%	20.7%	11.9%
Other	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
Missing	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
Invalid	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
Total Male	0.0%	0.0%	2.8%	0.0%	4.5%	0.0%	20.3%	10.6%

Female								
Product Type	Age							Total
	14	15	16	17	18	19	20	
Cigarettes	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
Small cigars/Cigarillos	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
Smokeless tobacco	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
ENDS	0.0%	0.0%	0.0%	5.9%	0.0%	0.0%	10.0%	4.1%
Other	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
Missing	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
Invalid	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
Total Female	0.0%	0.0%	0.0%	2.0%	0.0%	0.0%	2.6%	1.1%

All								
Product Type	Age							Total
	14	15	16	17	18	19	20	
Cigarettes	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	12.7%	4.3%
Small cigars/Cigarillos	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
Smokeless tobacco	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
ENDS	0.0%	0.0%	3.6%	5.9%	8.3%	0.0%	17.9%	8.6%
Other	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
Missing	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
Invalid	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
Grand Total	0.0%	0.0%	1.2%	2.0%	4.5%	0.0%	14.2%	5.7%

SSES Table 7 (Synar Survey Inspection Results by Type of Retail Outlet)

STATE: HI  
FFY: 2020

Frequency Distribution and Buy Rate

Retail Outlet	Attempted Buys	Successful Buys	Violation Rate (%)
Gas Station	75	4	5.3%
Tobacco Store	0	0	0.0%
Restaurant	10	1	10.0%
Hotel	0	0	0.0%
Grocery Store	60	4	6.7%
Drug Store	5	0	0.0%
Other	185	10	5.4%
Missing	0	0	0.0%
Invalid	0	0	0.0%
Grand Total	335	19	5.7%

SSES Table 7 (Synar Survey Inspection Results by Type of Retail Outlet)

STATE: HI  
FFY: 2020

Buy Rate by Type of Retail Outlet, Age, and Gender

Male								
Retail Outlet	Age							Total
	14	15	16	17	18	19	20	
Gas Station	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	20.0%	8.7%
Tobacco Store	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
Restaurant	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	100.0%	100.0%
Hotel	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
Grocery Store	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	25.0%	11.1%
Drug Store	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
Other	0.0%	0.0%	7.7%	0.0%	11.1%	0.0%	16.7%	10.7%
Missing	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
Invalid	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
Total Male	0.0%	0.0%	2.8%	0.0%	4.5%	0.0%	20.3%	10.6%

Female								
Retail Outlet	Age							Total
	14	15	16	17	18	19	20	
Gas Station	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
Tobacco Store	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
Restaurant	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
Hotel	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
Grocery Store	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
Drug Store	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
Other	0.0%	0.0%	0.0%	4.3%	0.0%	0.0%	3.6%	1.8%
Missing	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
Invalid	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
Total Female	0.0%	0.0%	0.0%	2.0%	0.0%	0.0%	2.6%	1.1%

All								
Retail Outlet	Age							Total
	14	15	16	17	18	19	20	
Gas Station	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	16.0%	5.3%
Tobacco Store	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
Restaurant	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	25.0%	10.0%
Hotel	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
Grocery Store	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	22.2%	6.7%
Drug Store	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
Other	0.0%	0.0%	2.0%	4.3%	11.1%	0.0%	10.9%	5.4%
Missing	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
Invalid	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
Grand Total	0.0%	0.0%	1.2%	2.0%	4.5%	0.0%	14.2%	5.7%

SSES Table 8 (Synar Survey Inspection Results by Clerk Asked for ID)

STATE: HI  
FFY: 2020

Frequency Distribution and Buy Rate

Clerk Asked for ID	Attempted Buys	Successful Buys	Violation Rate (%)
Yes	277	1	0.4%
No	58	18	31.0%
Missing	0	0	0.0%
Invalid	0	0	0.0%
Grand Total	335	19	5.7%

SSES Table 8 (Synar Survey Inspection Results by Clerk Asked for ID)

STATE: HI  
FFY: 2020

Buy Rate by Clerk Asked for ID, Age, and Gender

Male								
Clerk Asked for ID	Age							Total
	14	15	16	17	18	19	20	
Yes	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	1.9%	0.8%
No	0.0%	0.0%	14.3%	0.0%	33.3%	0.0%	63.6%	48.5%
Missing	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
Invalid	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
Total Male	0.0%	0.0%	2.8%	0.0%	4.5%	0.0%	20.3%	10.6%

Female								
Clerk Asked for ID	Age							Total
	14	15	16	17	18	19	20	
Yes	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
No	0.0%	0.0%	0.0%	7.7%	0.0%	0.0%	33.3%	8.0%
Missing	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
Invalid	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
Total Female	0.0%	0.0%	0.0%	2.0%	0.0%	0.0%	2.6%	1.1%

All								
Clerk Asked for ID	Age							Total
	14	15	16	17	18	19	20	
Yes	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	1.1%	0.4%
No	0.0%	0.0%	7.1%	7.7%	33.3%	0.0%	60.0%	31.0%
Missing	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
Invalid	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
Grand Total	0.0%	0.0%	1.2%	2.0%	4.5%	0.0%	14.2%	5.7%