

ANNUAL SYNAR REPORT

42 U.S.C. 300x-26

OMB № 0930-0222

FFY 2023

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 and young adult tobacco access laws (FFY 2022 Compliance Progress) and future plans to ensure compliance with the Synar requirements to reduce youth and young adult tobacco access rates (FFY 2023 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 states¹ by supporting Synar activities and providing technical assistance helpful in determining the type of enforcement measures and control strategies that are most effective. This information is helpful to 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 and young adult tobacco access laws when aggregated statistical data from state Synar reports can demonstrate to the Secretary the national progress in reducing youth and young adult 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

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

with youth and young adult tobacco access laws.

Getting assistance in completing the Synar report

If you have questions about programmatic issues, you may call CSAP's Division of Primary Prevention 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 your Grants Management Specialist in the 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, 2022 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 2023 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, in the FFY 2023 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 2023: 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 2023 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 2023 is up-to-date and approved by the Center for Substance Abuse Prevention.	
State: Hawaii	
Name of Chief Executive Officer or Designee: Elizabeth A. Char, M.D.	
Signature of CEO or Designee:	
Title: Director of Health	Date Signed:

If signed by a designee, a copy of the designation must be attached.	

SECTION I: FFY 2022 (Compliance Progress)

YOUTH AND YOUNG ADULT 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 21.

1. Please indicate any changes or additions to the state tobacco statute(s) relating to youth and young adult 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

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 and young adults 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 and young adult 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 2023 ASR was posted to this Web address.)*

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

Date published: 11/21/2022

- 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 (AG) 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. The 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 UH, 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 and young adult 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 AG, the 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 the 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. The ADAD has contracted with the OPHS (under a contract separate from the Synar inspections) to provide the four county police department 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 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 Control Section (TPC) is the State’s lead office on tobacco prevention and receives National Tobacco Control Program funding from the Centers for Disease Control and Prevention. The TPC is organized and managed separately from the ADAD. The TPC is grouped with programs under the Chronic Disease Prevention and Health Promotion Division, which is under the DOH Health Resources Administration, while the ADAD is under the DOH Behavior 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 and young adult 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 and young adult 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)).

The DOH ADAD.

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 and young adult 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 and young adult access to tobacco law(s) in FFY 2022 (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 and young adult 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 and young adult access to tobacco laws by LOCAL AND/OR STATE LAW ENFORCEMENT AGENCIES (this does not include enforcement of local laws or federal youth and young adult 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	89	89
Number of <u>finances assessed</u>	UNK	UNK	UNK
Number of <u>permits/licenses suspended</u>	0		0

Number of <u>permits/licenses revoked</u>	0		0
Other (<i>Please describe.</i>)	0	0	0

* During State fiscal year 2021 (July 1, 2021 – June 30, 2022), 89 were observed selling tobacco to minors, out of a total of 870 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:

The TPC conducts the State’s major educational and informational activities on tobacco prevention and control, including merchant and community education. The TPC provides educational materials to promote compliance of the state youth tobacco 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. 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 languages, Chinese, Japanese, and Korean and distributed statewide. Additionally, merchant education materials and information about state youth tobacco access laws are available at the TPC website: <https://health.hawaii.gov/tobacco/tobacco-prevention-and-control-section/businesses-and-retailer-resources/>

d. Which one of the following best describes the level of enforcement of state youth and young adult 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 and young adult 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 and young adult 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 TPC conducts the State’s major educational and informational activities on tobacco prevention and control, including merchant and community education. The TPC provides educational materials to promote compliance of the state youth tobacco access law 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 electronic smoking device symbol to be posted at the point of sale. 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 youth tobacco access laws are available at the TPC website: <https://health.hawaii.gov/tobacco/tobacco-prevention-and-control-section/businesses-and-retailer-resources/>

- 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 and young adult access laws)

- Community education regarding youth and young adult access laws

Information on youth access laws is 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 TPC website: <https://health.hawaii.gov/tobacco/tobacco-prevention-and-control-section/businesses-and-retailer-resources/>

- Media use to publicize compliance inspection results

List of retailers that have passed and failed enforcement checks are publicized on the ADAD website: <https://health.hawaii.gov/substance-abuse/survey/tobacco/>

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

- Other activities (*Please list.*) See below

The TPC collaborates with the Hawaii State Department of Taxation which, under law, is responsible for issuing licenses to tobacco wholesalers and permits to tobacco retailers' seller annually. The TPC works with the AG'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 AG, requiring registration by all entities engaged in the retail sales of ESD's.

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 2022 (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.

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

Accuracy rate _____

Completion rate _____

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

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

- Form 2 (Optional) in Appendix A (Forms 1–5) *(Attach completed Form 2.)*
 Other *(Please specify. Provide formulas and calculations or attach and explain the program code and output with description of all variable names.)*

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

- Yes No No stratification

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

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

- Yes No

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

If No, go to Question 7g.

Were any certainty primary sampling units selected this year?

- Yes No

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

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 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 03/15/22 to 04/15/22
MM/DD/YY MM/DD/YY

c. Provide the number of youth and young adult inspectors used in the current inspection year:

7

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.

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 2023 (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 and young adult 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 2023. Include a brief description of plans for law enforcement efforts to enforce youth and young adult tobacco access laws, activities that support law enforcement efforts to enforce youth and young adult tobacco access laws, and any anticipated changes in youth and young adult 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 item 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 "sting" using underage volunteers to buy cigarettes at retail outlets. Upon observation of a tobacco sales 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, and codified under Hawaii Revised Statutes §712-1258. For the Synar inspections, the ADAD received approval from CSAP to also use older youth inspectors up to age 20, consistent with the change in State law. Other current guidance from CSAP, regarding the age distribution of youth inspectors to be used for the Synar inspections, will continued to be followed.

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

The activities that support law enforcement efforts described under question 5c are expected to continue. These activities include the merchant education and training as well as community education activities conducted by the TPC, 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 the ADAD. As the Hawaii's State Legislature does not convene until the third Wednesday in January of each year, the ADAD is unable to determine if any youth tobacco access legislation will be introduced by other public or private sector organizations.

Legislation has been proposed for the past four legislative sessions to regulate the sales of ESD's 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.)

- Limited resources for law enforcement of youth and young adult access laws

Synar requirements constitute an unfunded mandate. Synar regulations prohibit State 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 sample design and conducting the annual Synar inspections. Hawaii's four county police departments have limited resources and have 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 law. The DOH Chronic Disease Prevention and Health Promotion Division (CDPHPD), had been making Tobacco Settlement funds to the 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 OPHS 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 the CDPHPD and instead appropriated general funds for CDPHPD's operations. The 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 contract with the OPHS to provide technical assistance to the county police departments, were managed by the CDPHPD instead of the ADAD. This included maintaining lists of retail outlets to be inspected, recruiting and training youth volunteers, data collection and reporting. In May 2019, the CDPHPD decided to focus their resources on merchant education and returned the MOAs and contracts to the ADAD. The ADAD will work with the OPHS and the county police departments to explore ways of supporting enforcement of youth access laws in face of budget constraints and changing State laws.

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

- Limitations in the state youth and young adult tobacco access laws

- Limited public support for enforcement of youth and young adult 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 and young adult inspectors
- Issues regarding the balance of inspections conducted by youth inspectors age 15 and under
- Issues regarding the balance of inspections conducted by one gender of youth and young adult 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.*)

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 2023). Provide the remaining information by stratum if stratification was used. Make copies of the form if additional rows are needed to list all the strata.

Column 1: *If stratification was used:*

1(a) Sequentially number each row.

1(b) Write in the name of each stratum. All strata in the state must be listed.

If no stratification was used:

1(a) Leave blank.

1(b) Write “state” in the first row (indicates that the whole state is a single stratum).

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

Column 2: 2(a) Report the number of over-the-counter (OTC) outlets in the sampling frame in each stratum.

2(b) Report the number of vending machine (VM) outlets in the sampling frame in each stratum.

2(c) Report the combined total of OTC and VM outlets in the sampling frame in each stratum.

Column 3: 3(a) Report the estimated number of eligible OTC outlets in the OTC outlet population in each stratum.

3(b) Report the estimated number of eligible VM outlets in the VM outlet population in each stratum.

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

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

Column 4: 4(a) Report the number of eligible OTC outlets for which an inspection was completed, for each stratum.

4(b) Report the numbers of eligible VM outlets for which an inspection was completed, for each stratum.

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

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

5(b) Report the number of VM outlets found in violation of the law as a result of completed inspections, for each stratum.

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

Totals: For each subcolumn (a–c) in Columns 2–5, provide totals for the state as a whole in the last row of the table. These numbers will be the sum of the numbers in each row for the respective column.

FORM 2 (Optional)

Appropriate for stratified simple or systematic random sampling designs.

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

Instructions for Completing Form 2: In the top right-hand corner of the form, provide the state name and reporting federal fiscal year (FFY 2023).

- 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: <u>2023</u>
(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 2023).

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: 2023 _____				
(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 2023).

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: _____	
		FFY: 2023	
(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 or young adult		Presence of police	
Private club or private residence		Youth or young adult inspector knows salesperson	
Temporary closure		Moved to new location	
Unlocatable		Drive-thru only/youth or young adult 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>			
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 and young adult 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 2023).

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

Column 2: Enter the number of successful buys by youth and young adult 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: _____
		FFY: 2023 _____
	(1) Attempted Buys	(2) Successful Buys
Male		
15 years		
16 years		
17 years		
18 years		
19 years		
20 years		
Male Subtotal		
Female		
15 years		
16 years		
17 years		
18 years		
19 years		
20 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) and respond to Question #10 of Appendix B to provide the requested information about sample size calculations for the Synar survey conducted in FFY 2022.

APPENDIX B: SYNAR SURVEY SAMPLING METHODOLOGY

State: Hawaii
 FFY: 2023

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.	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 one to three 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 Department of Taxation retail tobacco permit list.	Tobacco permit lists are obtained from the Department of Taxation, then analyzed, compared with the list frame, and used to update the list frame four times a year.
Electronic Smoking Device Retailer Registration Certificate Holder List	6	Hawaii Department of the Attorney General’s list of ESD retailers.	The list of certificate holders are obtained online from the Hawaii Department of the Attorney General’s website, and used to

		update the list one to four 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 and young adults.
- 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: 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 2022.

- 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: 1,011

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: 2023

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 and young adult 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 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 and young adult 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 not to carry cigarettes and instead sells other tobacco related 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 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 Kook 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.

The 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 and young adult 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 number 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 and young adult 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 law enforcement activities or a study authorized by the DOH 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 and young adult 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 a signed 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 inspection, adult supervisors conduct all driving and youth instructors 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 activities 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 and young adult 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 the 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 devise 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 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 as made or not mad 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 into a computer at the OPHS office. The data are verified for accuracy and entered into the 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 extra-curricular 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: Hawaii
FFY: 2023

1. Calendar year of the coverage study: 2018

2. a. Unweighted percent coverage found: 95.9%
b. Weighted percent coverage found: 95.9%
c. Number of outlets found through canvassing: 222
d. Number of outlets matched on the list frame: 213

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

United States Census 2010 census tracts (downloaded from the State of Hawaii Office of Planning) were imported into ESRI ArcGIS and combined into contiguous areas with the objective of obtaining an expected count of approximately 20 outlets per area, with a maximum of 25 outlets expected per area. (One census tract on the island of Oahu was known to contain over 25 outlets by itself and was therefore split into two regions of approximately equal size.) The mean of the expected outlets per area was 17.8, which was within the SAMHSA recommendation of an average of 7 to 20 outlets per area.

b. Were any areas of the state excluded from sampling?

Yes No

If Yes, please explain.

The islands of Kahoolawe and Niihau were excluded from sampling. Kahoolawe has no permanent residents, no permanent dwellings, and no retail activity of any kind. Niihau is a family-owned island with access by permission only.

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.

The quantity of areas of a stratum to select via simple random sampling was determined by multiplying the number of areas in the stratum by the constant sampling factor of 0.2 and rounding the result to the nearest whole number. The desired numbers of areas thus calculated were then selected from each stratum via simple random sampling. Random numbers were generated through the website random.org which uses atmospheric noise to obtain high-quality randomness. The expected number of outlets of the randomly selected areas totaled 226, slightly above the SAMHSA recommendation of 130 to 200 outlets

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

Each stratum corresponded to an island, except for the island of Hawaii which because of its size was divided into two strata, Hawaii East and Hawaii West, served by different airports.

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 (teams of 1-2) used both printed maps and project-supplied smart phones running a mapping application (app) with Global Positioning System (GPS) support which displayed area boundaries and also recorded a permanent track of the field observer's movement while canvassing the area. Field observers were instructed to identify outlets that sell tobacco products and verify that they are accessible to person under 21 years of age. All hotels, residential condominiums, and office buildings accessible to persons under 21 years of age. All hotels, residential condominiums, and office buildings accessible to the general public were canvassed. Upon locating an outlet, field observers marked the location and the outlet name in both the app and on the paper map. They also noted the outlet's address, recorded its GPS coordinates, and took a photograph of the exterior of the outlet.

Field observers were instructed to do the following: familiarize themselves with the boundaries of their assigned area and plan their route before reaching it. Use the project-supplied smart phones and paper maps to track their path to ensure that all accessible areas have been canvassed. Thoroughly canvas all buildings that are accessible to the public. If a location is inaccessible, the location must be marked on the paper map with a notation of the reason of why it was not accessible. Check inside every retailer for tobacco products. If tobacco products are not visible in an outlet, identify themselves to the outlet employee as working for the UH on a study for the DOH to identify all outlets that sell tobacco products.

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.

The field observers (teams of 1-2) canvassed the areas together and identified outlets that sold tobacco products through visual examination and, if necessary, verbal confirmation with an outlet employee. If unable to visually confirm that tobacco products were for sale, field observers were instructed to confirm with an outlet employee. If access was not restricted to the public, all hotels, residential condominiums, and office buildings were canvassed.

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” was determined if the outlet on the canvassing list was determined to be the same outlet on the UH list frame by comparing the business names, addresses, and outlet photos. The outlet's GPS coordinates were also used to help identify matches. Outlets on the canvassing list that could not be matched to the UH list frame were classified as missing from the list frame.

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

N/A – Due to the sampling methodology used, all areas had an equal probability of selection. The weighted percent coverage is therefore equivalent to the unweighted percent coverage.

SSES Table 1 (Synar Survey Estimates and Sample Sizes)**CSAP-SYNAR REPORT**

State	HI
Federal Fiscal Year (FFY)	2023
Date	10/25/2022 10:14
Data	SSEsv7_DataEntryTemplate_SRS-2022.10.25.xlsx
Program Version	Version 7.0
Analysis Option	Stratified SRS with FPC

Estimates

Unweighted Retailer Violation Rate	6.1%
Weighted Retailer Violation Rate	6.0%
Standard Error	1.1%
Is SAMHSA Precision Requirement met?	YES
Right-sided 95% Confidence Interval	[0.0%, 7.8%]
Two-sided 95% Confidence Interval	[4.0%, 8.1%]
Design Effect	1.0
Accuracy Rate (unweighted)	95.8%
Accuracy Rate (weighted)	95.8%
Completion Rate (unweighted)	96.2%

Sample Size for Current Year

Effective Sample Size	214
Target (Minimum) Sample Size	214
Original Sample Size	356
Eligible Sample Size	341
Final Sample Size	328
Overall Sampling Rate	33.9%

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

STATE: HI

FFY: 2023

Samp. Stratum	Var. Stratum	Outlet Frame Size	Estimated Outlet Population Size	Number of PSU Clusters Created	Number of PSU Clusters in Sample	Outlet Sample Size	Number of Eligible Outlets in Sample	Number of Sample Outlets Inspected	Number of Sample Outlets in Violation	Retailer Violation Rate(%)	Standard Error(%)
All Outlets											
Hawaii	Hawaii	158	152	N/A	N/A	56	54	53	4	7.5%	
Honolulu	Honolulu	606	592	N/A	N/A	213	208	203	15	7.4%	
Kauai	Kauai	65	62	N/A	N/A	23	22	22	0	0.0%	
Maui	Maui	182	162	N/A	N/A	64	57	50	1	2.0%	
Total		1,011	968			356	341	328	20	6.0%	1.1%
Over the Counter Outlets											
Hawaii	Hawaii	158	152	N/A	N/A	56	54	53	4	7.5%	
Honolulu	Honolulu	606	592	N/A	N/A	213	208	203	15	7.4%	
Kauai	Kauai	65	62	N/A	N/A	23	22	22	0	0.0%	
Maui	Maui	182	162	N/A	N/A	64	57	50	1	2.0%	
Total		1,011	968			356	341	328	20	6.0%	1.1%
Vending Machines											
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: 2023

Disposition Code	Description	Count	Subtotal
EC	Eligible and inspection complete outlet	328	
Total (Eligible Completes)			328
N1	In operation but closed at time of visit	3	
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	4	
N8	Run out of time	0	
N9	Other noncompletion (see below)	6	
Total (Eligible Noncompletes)			13
I1	Out of Business	3	
I2	Does not sell tobacco products	6	
I3	Inaccessible by youth	0	
I4	Private club or private residence	0	
I5	Temporary closure	2	
I6	Can't be located	4	
I7	Wholesale only/Carton sale only	0	
I8	Vending machine broken	0	
I9	Duplicate	0	
I10	Other ineligibility	0	
Total (Ineligibles)			15
Grand Total			356

Give reasons and counts for other noncompletion:

Reason	Count
Too costly to inspect	6

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

STATE: HI
FFY: 2023

Frequency Distribution

Gender	Age	Number of Inspectors	Attempted Buys	Successful Buys
Male	14	0	0	0
	15	0	0	0
	16	2	43	0
	17	2	112	6
	18	0	0	0
	19	0	0	0
	20	0	0	0
	Subtotal		4	155
Female	14	0	0	0
	15	0	0	0
	16	0	0	0
	17	2	141	10
	18	0	0	0
	19	0	0	0
	20	1	32	4
	Subtotal		3	173
Other		0	0	0
Grand Total		7	328	20

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	0.0%	0.0%	0.0%
17	5.4%	7.1%	6.3%
18	0.0%	0.0%	0.0%
19	0.0%	0.0%	0.0%
20	0.0%	12.5%	12.5%
Other			0.0%
Total	3.9%	8.1%	6.1%

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

STATE: HI
FFY: 2023

Frequency Distribution and Buy Rate

Product Type	Attempted Buys	Successful Buys	Violation Rate (%)
Cigarettes	275	15	5.5%
Small cigars/Cigarillos	16	2	12.5%
Smokeless tobacco	0	0	0.0%
ENDS	36	3	8.3%
Other	1	0	0.0%
Missing	0	0	0.0%
Invalid	0	0	0.0%
Grand Total	328	20	6.1%

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

STATE: HI
FFY: 2023

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%	4.0%	0.0%	0.0%	0.0%	3.0%
Small cigars/Cigarillos	0.0%	0.0%	0.0%	33.3%	0.0%	0.0%	0.0%	14.3%
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%	14.3%	0.0%	0.0%	0.0%	8.3%
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%	0.0%	5.4%	0.0%	0.0%	0.0%	3.9%

Female								
Product Type	Age							Total
	14	15	16	17	18	19	20	
Cigarettes	0.0%	0.0%	0.0%	6.0%	0.0%	0.0%	16.7%	7.9%
Small cigars/Cigarillos	0.0%	0.0%	0.0%	12.5%	0.0%	0.0%	0.0%	11.1%
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%	11.8%	0.0%	0.0%	0.0%	8.3%
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%	7.1%	0.0%	0.0%	12.5%	8.1%

All								
Product Type	Age							Total
	14	15	16	17	18	19	20	
Cigarettes	0.0%	0.0%	0.0%	5.1%	0.0%	0.0%	16.7%	5.5%
Small cigars/Cigarillos	0.0%	0.0%	0.0%	18.2%	0.0%	0.0%	0.0%	12.5%
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%	12.5%	0.0%	0.0%	0.0%	8.3%
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%	0.0%	6.3%	0.0%	0.0%	12.5%	6.1%

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

STATE: HI
FFY: 2023

Frequency Distribution and Buy Rate

Retail Outlet	Attempted Buys	Successful Buys	Violation Rate (%)
Gas Station	71	3	4.2%
Tobacco Store	0	0	0.0%
Restaurant	8	0	0.0%
Hotel	0	0	0.0%
Grocery Store	62	2	3.2%
Drug Store	6	0	0.0%
Other	181	15	8.3%
Missing	0	0	0.0%
Invalid	0	0	0.0%
Grand Total	328	20	6.1%

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

STATE: HI
FFY: 2023

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%	3.3%	0.0%	0.0%	0.0%	2.7%
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%	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%	4.2%	0.0%	0.0%	0.0%	3.0%
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%	7.5%	0.0%	0.0%	0.0%	5.1%
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%	0.0%	5.4%	0.0%	0.0%	0.0%	3.9%

Female								
Retail Outlet	Age							Total
	14	15	16	17	18	19	20	
Gas Station	0.0%	0.0%	0.0%	6.2%	0.0%	0.0%	0.0%	5.9%
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%	3.7%	0.0%	0.0%	0.0%	3.4%
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%	9.3%	0.0%	0.0%	14.3%	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 Female	0.0%	0.0%	0.0%	7.1%	0.0%	0.0%	12.5%	8.1%

All								
Retail Outlet	Age							Total
	14	15	16	17	18	19	20	
Gas Station	0.0%	0.0%	0.0%	4.8%	0.0%	0.0%	0.0%	4.2%
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%	3.9%	0.0%	0.0%	0.0%	3.2%
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%	8.6%	0.0%	0.0%	14.3%	8.3%
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%	0.0%	6.3%	0.0%	0.0%	12.5%	6.1%

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

STATE: HI
FFY: 2023

Frequency Distribution and Buy Rate

Clerk Asked for ID	Attempted Buys	Successful Buys	Violation Rate (%)
Yes	281	3	1.1%
No	47	17	36.2%
Missing	0	0	0.0%
Invalid	0	0	0.0%
Grand Total	328	20	6.1%

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

STATE: HI
FFY: 2023

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%	0.0%	0.0%
No	0.0%	0.0%	0.0%	40.0%	0.0%	0.0%	0.0%	30.0%
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%	0.0%	5.4%	0.0%	0.0%	0.0%	3.9%

Female								
Clerk Asked for ID	Age							Total
	14	15	16	17	18	19	20	
Yes	0.0%	0.0%	0.0%	0.9%	0.0%	0.0%	6.9%	2.1%
No	0.0%	0.0%	0.0%	37.5%	0.0%	0.0%	66.7%	40.7%
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 Female	0.0%	0.0%	0.0%	7.1%	0.0%	0.0%	12.5%	8.1%

All								
Clerk Asked for ID	Age							Total
	14	15	16	17	18	19	20	
Yes	0.0%	0.0%	0.0%	0.5%	0.0%	0.0%	6.9%	1.1%
No	0.0%	0.0%	0.0%	38.5%	0.0%	0.0%	66.7%	36.2%
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%	0.0%	6.3%	0.0%	0.0%	12.5%	6.1%