

ANNUAL SYNAR REPORT

42 U.S.C. 300x-26

OMB № 0930-0222

FFY 2012

State: Guam

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INTRODUCTION

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

Public reporting burden for the collection of information is estimated to average 15 hours for Section I and 3 hours for Section II, including the time for reviewing instructions, completing and reviewing the collection of information, searching existing data sources, and gathering and maintaining the data needed. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing the burden, to SAMHSA Reports Clearance Officer; Paperwork Reduction Project; 1 Choke Cherry Road, 7th Floor Rockville, Maryland 20857.

An agency may not conduct or sponsor and a person is not required to respond to a collection of information unless it displays a currently valid OMB control number. The OMB control number for this project is 0930-0222 with an expiration date of 05-31-2013.

How the Synar report helps the Center for Substance Abuse Prevention

In accordance with the tobacco regulations, States are required to provide detailed information on progress made in enforcing youth tobacco access laws (FFY 2011 Compliance Progress) and future plans to ensure compliance with the Synar requirements to reduce youth tobacco access rates (FFY 2012 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 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.

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).

Getting assistance in completing the Synar report

If you have questions about programmatic issues, you may call CSAP's Division of State Programs at (240) 276-2413 and ask for your respective State Project Officer, or contact your State Project Officer directly by telephone or email using the directory provided in the FY 2012 Uniform Application, Appendix A. If you have questions about fiscal or grants management issues, you may call the Grants Management Officer, Office of Program Services, Division of Grants Management, at (240) 276-1422.

Where and when to submit the Synar report

The Annual Synar Report (ASR) must be received by SAMHSA no later than December 31, 2012. The ASR must be submitted in the **approved OMB report format**. Use of the approved format will avoid delays in the review and approval process. The chief executive officer (or an authorized designee) of the applicant organization must sign page 1 of the ASR certifying that the State has complied with all reporting requirements.

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

- FFY 2012 Synar Survey Results: States that use the Synar Survey Estimation System (SSES) must upload one copy of SSES Tables 1–5 (in Excel) to WebBGAS. States that do not use SSES must upload one copy of ASR Forms 1, 4, and 5, and Forms 2 and 3, if applicable, (in Excel) to WebBGAS.
- Synar Inspection Form: States must upload one blank copy of the inspection form used to record the result of each Synar inspection.
- Synar Inspection Protocol: States must upload a copy of the protocol used to train inspection teams on conducting and reporting the results of the Synar inspections.

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

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

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

Regular Mail:

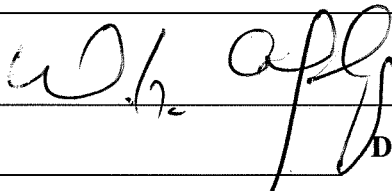
1 Choke Cherry Road, Rm.7-1091
Rockville, Maryland 20857

Overnight Mail:

1 Choke Cherry Road, Rm.7-1091
Rockville, Maryland 20850

FFY 2012: 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 2012 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 2012 is up-to-date and approved by the Center for Substance Abuse Prevention.
State: Guam
Name of Chief Executive Officer or Designee: Wilfred Aflague
Signature of CEO or Designee: 
Title: Director Date Signed: 12/16/11
If signed by a designee, a copy of the designation must be attached.

SECTION I: FFY 2011 (Compliance Progress)

YOUTH ACCESS LAWS, ACTIVITIES, AND ENFORCEMENT

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

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

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

☐ Yes ☒ No

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

- b. Have there been any changes in State law that impact the State's *protocol for conducting Synar inspections*? ☐ Yes ☒ No**

If Yes, indicate change. (Check all that apply.)

☐ Changed to require that law enforcement conduct inspections of tobacco outlets

☐ Changed to make it illegal for youth to possess, purchase or receive tobacco

☐ Changed to require ID to purchase tobacco

☐ Other change(s) *(Please describe.)* _____

- c. Have there been any changes in the law concerning *vending machines*?**

☐ Yes ☒ No

If Yes, indicate change. (Check all that apply.)

☐ Total ban enacted

☐ Banned from location(s) accessible to youth

☐ Locking device or supervision required

☐ Other change(s) *(Please describe.)* _____

- d. Have there been any changes in State law that impact the following?**

Licensing of tobacco vendors ☐ Yes ☒ No

Penalties for sales to minors ☐ Yes ☒ No

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

☐ Placed on file for public review

☐ Posted on a State agency Web site *(Please provide exact Web address.)* _____

- ☐ Notice published in a newspaper or newsletter
- ☒ Public hearing
- ☐ Announced in a news release, a press conference, or discussed in a media interview
- ☐ Distributed for review as part of the SAPT Block Grant application process
- ☐ Distributed through the public library system
- ☐ Published in an annual register
- ☒ Other (Please describe.) DMHSA conducted a focus group meeting on 8/11/10, to solicit public comments on how SAPT funding should be used. Approximately 50 consumers, service providers, stakeholders, and the general public were invited to learn about the SAPT block grant, how the FY 2010 funding was used and to provide input on the identified 17 goals to be achieved with FY 2011 funding.

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:**

Department of Mental Health and Substance Abuse

Has this changed since last year's Annual Synar Report? ☐ Yes ☒ No

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

Departments of Mental Health and Substance Abuse and Revenue and Taxation. Both agencies are responsible for jointly conducting random, unannounced Synar compliance inspections. Both agencies are responsible for this function according to the Guam P.L. 24-278.

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):**

Department of Revenue and Taxation

Has this changed since last year's Annual Synar Report? ☐ Yes ☒ No

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

Departments of Public Health and Social Services (DPHSS) and Mental Health and Substance Abuse (DMHSA)

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

☐ Yes ☒ No

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

☒ Are the same

- ☒ Have a formal written memorandum of agreement
- ☒ Have an informal partnership
- ☒ Conduct joint planning activities
- ☒ Combine resources
- ☒ Have other collaborative arrangement(s) *(Please describe.)* DMHSA continued to work in collaboration with other partnering agencies on the Governor's PEACE Council. The Council help to facilitate a broad outreach for strengthening state and community level partnerships, to include collaborating in prevention efforts with regard to developing culturally appropriate programs, policies and practices. Also, membership in the Guam Non-Communicable Disease (NCD) Consortium, Guam Comprehensive Cancer Control Coalition, and the Coalition for a Tobacco-Free Guam.

5. Please answer the following questions regarding the State's activities to enforce the youth access to tobacco law(s) in FFY 2011 (see 42 U.S.C. 300x-26 and 45 C.F.R. 96.130(e)).

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

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

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

PENALTY	OWNERS	CLERKS	TOTAL
Number of <u>citations issued</u>	23	0	23
Number of <u>fin</u> es assessed	23	0	23
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

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

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

d. Did every tobacco outlet in the State receive at least one enforcement compliance check in the last year?

- ☒ Yes
- ☐ No

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

- ☒ Merchant education and/or training
- ☒ Incentives for merchants who are in compliance (e.g., nonenforcement compliance checks in which compliant retailers are given positive reinforcement and noncompliant retailers are warned about youth access laws)
- ☒ Community education regarding youth access laws
- ☒ Media use to publicize compliance inspection results
- ☒ Community mobilization to increase support for retailer compliance with youth access laws
- ☒ Other activities (Please list.) Inspection teams are required to attend protocols training to learn the rules, regulations, basic procedures and paperwork required prior to the scheduled inspections.

Briefly describe all checked activities:

Merchant Education and/or training:

DMHSA and DRT jointly coordinate and conduct merchant and community education. Both agencies are responsible for conducting random, announced Synar inspections. During compliance inspections, retailers are provided with merchant education packets and other merchant support materials such as the door sticker and register sticker sign showing "P.L. 24-278 No Sale under 18". Also, FDA's "Break the Chain of Tobacco Addiction" retailer education campaign materials were distributed.

Annually, DMHSA produces and distributes merchant educational and awareness materials in a packet to approximately 300+ licensed tobacco vendors that 1) includes information on Guam youth access laws and federal law regarding sale of tobacco to youth; 2) provides specific strategies for how they can comply with the Guam youth access laws; and 3) highlights the health effects of tobacco use.

Incentives for merchants who are in compliance:

After each individual Synar inspection where "No" sale occurred, immediately the Enforcement Officer team member will issue a "Certificate of Compliance"

signed by both the Directors of the Department of Taxation and the Department of Mental Health and Substance Abuse. However, if a sale is made, they are immediately issued a violation ticket/citation and referred to the Department of Revenue and Taxation for payment and/or enforcement action.

Community education regarding youth access laws:

a) The 21st Annual Youth for Youth conference brought together 60 youth leaders and over 400 youth islandwide. The conference is designed to prevent substance abuse, including tobacco among middle and high school students.

b) DMHSA continue to support 1) tobacco control policy efforts to reduce youth access and increase cessation services to at-risk populations in the community; and 2) education, information dissemination and environmental activities use to prevent tobacco sales to minors.

d) Continue to provide training and technical assistance to public and private businesses in their efforts to assess and create a drug-free and tobacco-free workplace environments.

e) Continue to conduct annual compliance checks required by Synar.

Media Use for Publication of Inspection Results: The ASR results are published in the DMHSA's Prevention and Training Branch website

<http://www.peaceguam.org/Data/synar.htm> after its completion. Results are also published in the Pacific News Center as well as the <http://www.tobacco.org> website.

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

In July 26-30, 2011, the University of Guam U54 Pilot Project (community outreach) and the Johns Hopkins Bloomberg School of Public Health Institute for Global Tobacco Control conducted a training workshop on using "Photovoice and Geographic Information Systems (GIS) Mapping to map tobacco point of sale advertising and its potential impact on youth smoking. Participants are U54 Community Based partners (members of the Youth for Youth Live! Guam, University of Guam Chuukese Student Organization, and tobacco control partners and stakeholders. This training was very useful to monitor compliance to Framework Convention on Tobacco Control advertising bans at point of sale, and also to evaluate point of sale advertising impact using a social determinants model.

In August 27, 2011, Guam Community Tobacco Control Research Summit. Participants from the July 2011, Photovoice and GIS Mapping training workshop shared their reports about the burden of tobacco use among Guam's youth, summary of cancer research pilot program on "community outreach to reduce tobacco use among Pacific Islander Youth in Guam" as well as preliminary participatory research findings on tobacco marketing at point of sales, and digital stories.

Policy Approaches:

a) On February 5, 2010, Guam passed bill 150-30 (now Public Law 30-80) which increases tobacco tax rates and earmarks tax revenues for tobacco and cancer prevention and control. This is a significant milestone for Guam, which had the highest adult smoking rate per capita of all U.S. states and territories from 1998-2007). The current tobacco tax rates is \$3 per pack, and up to \$14 on various other tobacco products.

b) On April 7, 2010, Health Partners, L.L.C. hosted a Tobacco Control Strategic Planning Community Workshop that brought together a diverse group of tobacco control community stakeholders from both private and public sectors: 1) to assess progress made against the objectives of the Guam Tobacco Control Strategic Plan (developed by community stakeholders during an APPEAL-funded community workshop in 2008); 2) Re-assess Guam's stage of community readiness using the APPEAL Tobacco Control Community Readiness Model; and 3) Define key strategic actions for 2010 in areas of Policy, Programs, Partnerships and Research and Data.

c) On November 2009, the Governor of Guam signed into law a measure that bans smoking within 20 feet of public buildings. In 2007, all Executive Branch government facilities went smokefree. In addition, the passage of Guam's smoke-free restaurants law in 2006, has served as a tipping point for tobacco-free policies in both the public and private sectors such as the Guam Department of Mental Health and Substance Abuse, Department of Corrections, Guam Community College, University of Guam, and the Guam Memorial Hospital all enacted 100% tobacco-free policies, banning all smoking and chewing of tobacco products, both indoors and outside, on their premises.

f. Are citations or warnings issued to retailers or clerks who sell tobacco to minors for inspections that are part of the Synar survey? ☒ Yes ☐ No

If "Yes" to 5f, please describe the State's procedure for minimizing risk of bias to the survey results from retailers alerting each other to the presence of the survey teams:

Guam conducts annual inspections and citations are issued to clerks and/or store owners each time a sale occurs. The issuance of citations of sales at time of inspection is the standard operating procedures by the Department of Revenue and Taxation.

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

Currently, there is no relationship between the Guam Synar Program and the FDA tobacco enforcement program.

SYNAR SURVEY METHODS AND RESULTS

The following questions pertain to the survey methodology and results of the Synar survey used by the State to meet the requirements of the Synar Regulation in FFY 2011 (see 42 U.S.C. 300x-26 and 45 C.F.R. 96.130).

6. Has the sampling methodology changed from the previous year? ☐ Yes ☒ No

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

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

- a. Did the State use the optional Synar Survey Estimation System (SSES) to analyze the Synar survey data? ☒ Yes ☐ No

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

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

Unweighted RVR

Weighted RVR

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

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

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

Accuracy rate

Completion rate

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

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

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

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

- 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 frame coverage study: 2011

b. Percent coverage from the latest frame coverage study: 98.3%

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: 2014

9. Has the Synar survey inspection protocol changed from the previous year?

☐ Yes ☒ No

The State is required to have an approved up-to-date description of the Synar inspection protocol on file with CSAP. Please submit a copy of your Synar Survey Inspection Protocol (Appendix C). If the inspection protocol changed from the previous year, these changes must be reflected in the protocol submitted.

a. Provide the inspection period: From 8/27/11 to 09/17/11
MM/DD/YY MM/DD/YY

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

15

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

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

SECTION II: FFY 2012 (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 2012. 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.

DMHSA will work collaboratively with the Guam Department of Revenue and Taxation to continue the efforts of the Tobacco (Synar) Compliance and Enforcement Team.

Law Enforcement Efforts:

Guam will continue to seek opportunities to improve methods to carry-out Synar inspections; the inspection procedures; regulations or policies; and/or vendor education activities.

Retailer Education:

A FDA's "Break the Chain of Addiction" retailer education campaign brochure and Guam's "Tobacco Merchant Education Packet" will continue distribution to all retailers at the time of compliance checks.

Support of Enforcement and Youth Tobacco Access Laws:

Guam will continue its partnership with the Department of Revenue and Taxation for the enforcement of youth tobacco access laws as mandated. The inspection teams will continue to be trained in inspection procedures prior to their participation.

Changes in Youth Tobacco Access Legislation:

Guam does not anticipate any changes in youth tobacco access legislation or regulation at this time.

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

☒ Limited resources for law enforcement of youth access laws

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

- ☐ Limitations in the State youth tobacco access laws
- ☐ Limited public support for enforcement of youth tobacco access laws
- ☒ Limitations on completeness/accuracy of list of tobacco outlets
- ☐ Limited expertise in survey methodology
- ☐ Laws/regulations limiting the use of minors in tobacco inspections
- ☐ Difficulties recruiting youth inspectors
- ☐ Geographic, demographic, and logistical considerations in conducting inspections
- ☐ Cultural factors (e.g., language barriers, young people purchasing for their elders)
- ☐ Issues regarding sources of tobacco under tribal jurisdiction
- ☒ Other challenges (*Please list.*) _____

Briefly describe all checked challenges and propose a plan for each, or indicate the State's need for technical assistance related to each relevant challenge.

Limited resources for law enforcement of youth access laws:

Resources of law enforcement is an ongoing challenge for a variety of reasons from the Department of Revenue and Taxation: staffing issues, conflicting priorities, and conflicting work schedules. Plan: Increase collaboration and to build capacity.

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

This is also an ongoing challenge in working with the Legislature and the Department of Revenue and Taxation to utilize the monies collected from fines associated with violations of Guam's youth access and tobacco vendor laws as well as tobacco taxes to support enforcement and compliance with youth tobacco access laws as well as tobacco control and prevention. Plan: Undertermined due to Government budgetary short fall.

Limitations on completeness/accuracy of list of tobacco outlets:

The official list of Guam's tobacco outlets provided by the General Licensing Branch of the Department of Revenue and Taxation needs improvement such as owner information and physical addresses. Plan: Based on the 2011 Coverage Study findings DMHSA will be working with DRT on updating an accurate DRT official list of licensed tobacco vendors with updated information associated with the listed retail outlet, including name of retail outlet, physical address and village, and business phone number.

Other challenges: Data Collection Form will be updated for next year's compliance in conformance with the SSES data analysis requirements.

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 2012). 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 2012).

- 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.

[illegible]

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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 2012).

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: <u>Guam</u>				
FFY: <u>2012</u>				
(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 2012).

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: 2012			
(1) INELIGIBLE		(2) ELIGIBLE	
Reason for Ineligibility	(a) Counts	Reason for Noncompletion	(a) Counts
Out of business		In operation but closed at time of visit	
Does not sell tobacco products		Unsafe to access	
Inaccessible by youth		Presence of police	
Private club or private residence		Youth inspector knows salesperson	
Temporary closure		Moved to new location	
Unlocatable		Drive-thru only/youth inspector has no driver's license	
Wholesale only/Carton sale only		Tobacco out of stock	
Vending machine broken		Ran out of time	
Duplicate		Other noncompletion reason(s) (<i>Describe.</i>)	
Other ineligibility reason(s) (<i>Describe.</i>)			
Total		Total	

FORM 5 (Required for all States not using the Synar Survey Estimation System [SSES] to analyze the Synar survey data)

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

Instructions for Completing Form 5: In the top right-hand corner of the form, provide the State name and reporting Federal fiscal year (FFY 2012).

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 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: <u>Guam</u>
		FFY: <u>2012</u>
	(1) Attempted Buys	(2) Successful Buys
Male		
15 years		
16 years		
17 years		
18 years		
Male Subtotal		
Female		
15 years		
16 years		
17 years		
18 years		
Female Subtotal		
Other		
Total		

APPENDIXES B & C: FORMS

Instructions

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

APPENDIX B: SYNAR SURVEY SAMPLING METHODOLOGY

State: Guam

FFY: 2012

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
Tobacco License List	3	Under Guam P.L. 24-278, a Vendor or Store must obtain a tobacco vendor license from the Department of Revenue and Taxation General Licensing Branch in order to sell tobacco products.	The owner of an establishment wishing to sell tobacco products must complete an initial tobacco license application at the Department of Revenue and Taxation General Licensing Branch. This license must be renewed annually.

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 they are not included in the Synar survey.

- ☒ State law bans vending machines.
☐ State law bans vending machines from locations accessible to youth.

- ☐ State has SAMHSA approval to exempt vending machines from the survey.
- ☐ Other (Please describe.) _____

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

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

Unstratified statewide sample:

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

Stratified sample:

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

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

7. Provide the following information about stratification.

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

b. Is clustering used within the stratified sample?

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

8. Provide the following information about clustering.

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

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

--

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

- a. If the State uses the sample size formulas embedded in the Synar Survey Estimation System (SSES) Sample Size Calculator, please provide the following information:**

Inputs for Effective Sample Size:

RVR:

Frame Size:

Input for Target Sample Size:

Design Effect:

Inputs for Original Sample Size:

Safety Margin:

Accuracy (Eligibility) Rate:

Completion Rate:

- b. If the State does not use the sample size formulas embedded in the SSES Sample Size Calculator, please provide all inputs required to calculate the effective, target, and original sample sizes as indicated in Question 9.**

--

APPENDIX C: SYNAR SURVEY INSPECTION PROTOCOL

State: Guam

FFY: 2012

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 ☐ Not permitted
☐ Permitted under specified circumstances ☐ Not specified in protocol

b. Youth inspectors to carry ID?

- ☐ Required ☒ Not permitted
☐ Permitted under specified circumstances ☐ Not specified in protocol

c. Adult inspectors to enter the outlet?

- ☒ Required ☐ Not permitted
☐ Permitted under specified circumstances ☐ Not specified in protocol

d. Youth inspectors to be compensated?

- ☒ Required ☐ Not permitted
☐ Permitted under specified circumstances ☐ Not specified in protocol

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

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

List the agency name(s): Department of Mental Health and Substance Abuse, Department of Revenue and Taxation, Youth for Youth Live! Guam (NGO) and community volunteers.

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

- ☒ Always ☐ Usually ☐ Sometimes ☐ Rarely ☐ Never

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

The Prevention and Training Branch, in working partnership with the Youth for Youth Live! Guam (youth organization) will continue to recruit underage youth to participate in these inspections. For this reporting period, the youth inspectors were recruited through a workshop presentation at the 21st annual youth conference where approximately 400+ middle and high school participated. Twenty youth participants between the ages of 15 and 17, interested in becoming a Synar youth inspector are required to complete a Youth Inspector Application Form.

5. 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.)

Stipulated in Section 6120 of Guam P.L. 24-278 states that "Participation in these enforcement activities by a minor shall not constitute a violation of Section 6116 of this Chapter, and the minor is immune from prosecution or penalties thereunder, or under any other provision of law prohibiting the purchase of these products by minors".

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

Guam's Manual of Procedures includes a section on "Legal Considerations" which address issues related to confidentiality, protection of minors' identities, immunity for youth inspectors, and non-involvement of youth inspectors of legal proceedings arising from the inspection process.

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

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

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

Guam's Manual of Procedures emphasizes the importance of ensuring the safety of youth inspectors throughout the inspection process. Specifically, youth inspectors are instructed to never venture into any establishment where they may feel unsafe, and to retreat immediately if upon entry into a store, they have a reason to feel uncomfortable or unsafe. In addition, Guam's Manual of Procedures make it mandatory for adult inspectors to always be within the vicinity of a youth inspector during an attempted buy.

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

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

Guam P.L. 24-278 Section 6120 outlines all of the legal requirements relating to the conduct of inspections, including the enlistment of youth inspectors from ages 12-17, the necessity for parental consent in writing, the right to use video recording equipment during inspections, the necessity to avoid entrapment by mandating all youth inspectors to answer truthfully when asked about their age, the need for adult supervision of all youth inspectors, and the role of the adult inspector in informing the vendor of non-compliance with the law only after the youth inspector has left the premises.

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

Guam's Manual of Procedures outlines in detail the requirements for inspection, consistent with the law and with recommended CSAP protocols. One item of note is that the Manual of Procedures prescribes the recruitment of youth inspectors' aged 14-17, consistent with Federal guidelines, although Guam's law allows for youth as young as 12 to participate.

APPENDIX D: LIST SAMPLING FRAME COVERAGE STUDY

(LIST FRAME ONLY)

State: Guam

FFY: _____

1. Calendar year of the coverage study: 2011
2.
 - a. Unweighted percent coverage found: 98.3%
 - b. Weighted percent coverage found: 98.3%
 - c. Number of outlets found through canvassing: 301
 - d. Number of outlets matched on the list frame: 296
3.
 - a. Describe how areas were defined. (e.g., census tracts, counties, etc.)

There are a total of 19 villages in Guam. Based on the more recent tobacco vendor inspections (September 2010), the census realized 312 tobacco outlets throughout the island that were accessible to minors. Out of the 312 sample size outlets, 303 were found eligible, and 284 were inspected.

According to SAMHSA recommendations, Guam was expected to sample anywhere from 130 to 200 outlets. Because of the size of the sample frame and the number of tobacco outlets located in each village, it was decided that actual island-wide canvassing of all tobacco outlets was necessary.

The coverage rate was determined by taking the total number of matched outlets on the frame divided by the total number of outlets found by the coverage study and multiplying this number by 100.

Coverage rate $100 \times (b/n) = 100 \times (296/301) = 98.3\%$

of Outlets matched with the list frame (b): 296

of Outlets found by the coverage study (n): 301

of Outlets canvassed but not found in the list frame (missing): 2

- b. Were any areas of the State excluded from sampling? ☒ Yes ☐ No

If Yes, please explain.

The military installations (retail exchanges) were excluded.

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.

Canvassers were trained in all activities for the canvassing of outlets throughout the island. Designated teams are provided with a map of the geographic area they will cover. Other resources and support provided include stipends and government vehicles used during the official activity.

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.

Each team (two adult person) of canvassers are required to drive and/or walk (depending on the density of the area) within each village in order to identify outlets that may sell tobacco products and will document all required information on the coverage verification form provided. When an outlet is identified, the canvasser then visually verified that tobacco products were available for sale and confirmed by asking for the current retail tobacco license and record information including the name of the retail outlet, the physical address, business phone number, and retail tobacco license certificate number.

All nineteen villages on Guam were visited to obtain island wide verification of existing tobacco outlets.

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.

Most of the canvassers are knowledgeable and familiarized within the villages around the island. Others were also involved in the Synar compliance checks from the previous years.

Teams are instructed to canvas the village they are assigned to and record information on each outlet found that sells tobacco products, including the name of the retail outlet, the physical address, and the business phone number. In addition, canvassers also required to verify the store's tobacco license number listed on the certificate.

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).

"Matches" when all the information such as the name of retail outlet, physical address, business phone number, and tobacco license certificate number are identical. "Mismatches"

when there is slight variations to both the name and address name and is different from what was listed on the tobacco license certificate.

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

Total number of outlets canvasses were identical matches - 296

Total number of outlets were matched based on the name of store - 299

Outlets canvassed but not found in the list frame (missing) - 2

SSES Table 1 (Synar Survey Estimates and Sample Sizes)

CSAP-SYNAR REPORT

State	Guam
Federal Fiscal Year (FFY)	2011
Date	12/28/2011 11:47
Data	SSES Data Entry Guam - SRS - Final.xls
Analysis Option	Stratified SRS with FPC

Estimates

Unweighted Retailer Violation Rate	7.8%
Weighted Retailer Violation Rate	7.8%
Standard Error	0.3%
Is SAMHSA Precision Requirement met?	YES
Right-sided 95% Confidence Interval	[0.0%, 8.3%]
Two-sided 95% Confidence Interval	[7.1%, 8.4%]
Design Effect	1.0
Accuracy Rate (unweighted)	89.0%
Accuracy Rate (weighted)	89.0%
Completion Rate (unweighted)	96.1%

Sample Size for Current Year

Effective Sample Size	350
Target (Minimum) Sample Size	350
Original Sample Size	346
Eligible Sample Size	308
Final Sample Size	296
Overall Sampling Rate	95.4%

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

STATE: Guam

FFY: 2011

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											
1	1	350	312	N/A	N/A	346	308	296	23	7.8%	
Total		350	312			346	308	296	23	7.8%	0.3%
Over the Counter Outlets											
1	1	0	312	N/A	N/A	346	308	296	23	7.8%	
Total		0	312			346	308	296	23	7.8%	0.3%
Vending Machines											
1	1	350	0	N/A	N/A	0	0	0	0	0.0%	
Total		350	0			0	0	0	0	0.0%	0.0%

SSES Table 3 (Synar Survey Sample Tally Summary)

STATE: Guam

FFY: 2011

Disposition Code	Description	Count	Subtotal
EC	Eligible and inspection complete outlet	296	
Total (Eligible Completes)			296
N1	In operation but closed at time of visit	9	
N2	Unsafe to access	0	
N3	Presence of police	0	
N4	Youth inspector knows salesperson	2	
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	0	
N9	Other noncompletion (see below)	1	
Total (Eligible Noncompletes)			12
I1	Out of Business	5	
I2	Does not sell tobacco products	6	
I3	Inaccessible by youth	2	
I4	Private club or private residence	0	
I5	Temporary closure	0	
I6	Unlocatable	9	
I7	Wholesale only/Carton sale only	7	
I8	Vending machine broken	0	
I9	Duplicate	5	
I10	Other ineligibility (see below)	4	
Total (Ineligibles)			38
Grand Total			346

Give reasons and counts for other noncompletion:

Reason	Count
Vendor is hotdog stand that operates at a Guam Waterworks Authority parking lot from 7am to 5pm Monday thru Friday only (N9)	1

Give reasons and counts for other ineligibility:

Reason	Count
These vendors were kept on the Rev and Tax lists for past years pending settlement of tax dues (I10)	4

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

STATE: Guam
FFY: 2011

Frequency Distribution

Gender	Age	Number of Inspectors	Attempted Buys	Successful Buys
Male	14	0	0	0
	15	2	41	1
	16	1	38	2
	17	3	54	5
	18	0	0	0
	Subtotal	6	133	8
Female	14	0	0	0
	15	1	17	0
	16	6	109	12
	17	2	37	3
	18	0	0	0
	Subtotal	9	163	15
Other		0	0	0
Grand Total		15	296	23

Buy Rate in Percent by Age and Gender

Age	Male	Female	Total
14	0.0%	0.0%	0.0%
15	2.4%	0.0%	1.7%
16	5.3%	11.0%	9.5%
17	9.3%	8.1%	8.8%
18	0.0%	0.0%	0.0%
Other			0.0%
Total	6.0%	9.2%	7.8%

Outlet ID Sampling S Population Variance St Population Response L Violation FI Outlet Type Youth Insp Youth Insp Youth Insp VM Frame Size in Sampling Strat

11001TU	1	350	1	350	EC	0	OTC	23	F	16	350
11002TU	1	350	1	350	EC	0	OTC	18	M	16	350
11003TU	1	350	1	350	EC	0	OTC	23	F	16	350
11004TU	1	350	1	350	EC	0	OTC	18	M	16	350
11005TU	1	350	1	350	EC	0	OTC	23	F	16	350
11006TU	1	350	1	350	EC	0	OTC	18	M	16	350
11007TU	1	350	1	350	I2		OTC	23	F	16	350
11008TU	1	350	1	350	EC	0	OTC	18	M	16	350
11009TU	1	350	1	350	EC	0	OTC	23	F	16	350
11010TU	1	350	1	350	I10		OTC	23	F	16	350
11011TU	1	350	1	350	EC	0	OTC	18	M	16	350
11012TU	1	350	1	350	EC	0	OTC	18	M	16	350
11013TU	1	350	1	350	EC	0	OTC	23	F	16	350
11014TU	1	350	1	350	EC	0	OTC	23	F	16	350
11015TU	1	350	1	350	EC	0	OTC	18	M	16	350
11016TU	1	350	1	350	EC	0	OTC	18	M	16	350
11017TU	1	350	1	350	EC	0	OTC	18	M	16	350
11018TU	1	350	1	350	EC	0	OTC	18	M	16	350
11019TU	1	350	1	350	EC	0	OTC	18	M	16	350
11020TU	1	350	1	350	EC	0	OTC	18	M	16	350
11021TU	1	350	1	350	EC	0	OTC	23	F	16	350
11022TU	1	350	1	350	EC	1	OTC	23	F	16	350
11023TU	1	350	1	350	EC	0	OTC	23	F	16	350
11024TU	1	350	1	350	EC	0	OTC	18	M	16	350
11025TU	1	350	1	350	EC	0	OTC	23	F	16	350
11026TU	1	350	1	350	EC	0	OTC	18	M	16	350
11027TU	1	350	1	350	EC	0	OTC	23	F	16	350
11028TU	1	350	1	350	EC	1	OTC	18	M	16	350
11029TU	1	350	1	350	EC	1	OTC	23	F	16	350
11030AG	1	350	1	350	EC	0	OTC	18	M	16	350
11031PI	1	350	1	350	EC	0	OTC	23	F	16	350
11032MA	1	350	1	350	EC	0	OTC	15	F	16	350
11033MA	1	350	1	350	EC	0	OTC	11	M	17	350

11034BA	1	350	1	350	EC	0	OTC	15	F	16	350
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11036BA	1	350	1	350	EC	0	OTC	15	F	16	350
11037BA	1	350	1	350	EC	0	OTC	11	M	17	350
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11045BA	1	350	1	350	EC	1	OTC	11	M	17	350
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11047BA	1	350	1	350	EC	0	OTC	15	F	16	350
11048BA	1	350	1	350	EC	0	OTC	11	M	17	350
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11065DE	1	350	1	350	EC	0	OTC	15	F	16	350
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11067DE	1	350	1	350	EC	1	OTC	11	M	17	350

11068DE	1	350	1	350	EC	0	OTC	11	M	17	350
11069DE	1	350	1	350	EC	0	OTC	15	F	16	350
11070AH	1	350	1	350	EC	0	OTC	2	F	16	350
11071SI	1	350	1	350	EC	0	OTC	3	F	15	350
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11099DE	1	350	1	350	EC	0	OTC	23	F	16	350
11100DE	1	350	1	350	EC	0	OTC	22	M	15	350
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11104DE	1	350	1	350	EC	0	OTC	23	F	16	350
11105DE	1	350	1	350	EC	0	OTC	22	M	15	350
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11116DE	1	350	1	350	EC	0	OTC	3	F	15	350
11117DE	1	350	1	350	EC	0	OTC	11	M	17	350
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11119DE	1	350	1	350	EC	0	OTC	11	M	17	350
11120DE	1	350	1	350	EC	0	OTC	3	F	15	350
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11135YI	1	350	1	350	EC	0	OTC	11	M	17	350

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111138YI	1	350	1	350	EC	0	OTC	3	F	15	350
111139YI	1	350	1	350	EC	0	OTC	11	M	17	350
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111141YI	1	350	1	350	EC	0	OTC	11	M	17	350
111142YI	1	350	1	350	EC	0	OTC	11	M	17	350
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111145YI	1	350	1	350	EC	0	OTC	3	F	15	350
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111148SR	1	350	1	350	EC	0	OTC	12	F	16	350
111149AT	1	350	1	350	EC	0	OTC	4	M	17	350
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111151AT	1	350	1	350	EC	0	OTC	12	F	16	350
111152AT	1	350	1	350	N4	0	OTC	4	M	17	350
111153AT	1	350	1	350	EC	0	OTC	4	M	17	350
111154AT	1	350	1	350	EC	0	OTC	4	M	17	350
111155AT	1	350	1	350	EC	0	OTC	12	F	16	350
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111165YO	1	350	1	350	EC	0	OTC	4	M	17	350
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111167YO	1	350	1	350	EC	0	OTC	4	M	17	350
111168YO	1	350	1	350	EC	0	OTC	12	F	16	350
111169YO	1	350	1	350	EC	0	OTC	12	F	16	350

11170YO	1	350	1	350	EC	0	OTC	4	M	17	350
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11181IN	1	350	1	350	EC	0	OTC	12	F	16	350
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11184TM	1	350	1	350	N1		OTC	7	M	15	350
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11192TM	1	350	1	350	EC	0	OTC	8	F	16	350
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11204TM	1	350	1	350	EC	0	OTC	8	F	16	350
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11206PI	1	350	1	350	EC	0	OTC	7	M	15	350
11207AN	1	350	1	350	EC	0	OTC	7	M	15	350
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11210AN	1	350	1	350	EC	0	OTC	7	M	15	350
11211AN	1	350	1	350	EC	0	OTC	8	F	16	350
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11213AN	1	350	1	350	EC	0	OTC	7	M	15	350
11214AN	1	350	1	350	EC	1	OTC	8	F	16	350
11215AG	1	350	1	350	EC	0	OTC	7	M	15	350
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11217AG	1	350	1	350	EC	0	OTC	7	M	15	350
11218AG	1	350	1	350	EC	0	OTC	8	F	16	350
11219AG	1	350	1	350	EC	0	OTC	8	F	16	350
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11224TM	1	350	1	350	EC	0	OTC	18	M	16	350
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11227TM	1	350	1	350	EC	0	OTC	18	M	16	350
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11235TM	1	350	1	350	EC	0	OTC	19	F	17	350
11236TM	1	350	1	350	EC	0	OTC	18	M	16	350
11237TM	1	350	1	350	EC	1	OTC	19	F	17	350

11238HA	1	350	1	350	1	350	EC	0	OTC	18	M	16	350
11239HA	1	350	1	350	1	350	EC	0	OTC	19	F	17	350
11240HA	1	350	1	350	1	350	EC	0	OTC	18	M	16	350
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11242HA	1	350	1	350	1	350	EC	1	OTC	18	M	16	350
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11262SI	1	350	1	350	1	350	EC	0	OTC	19	F	17	350
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11265AA	1	350	1	350	1	350	EC	0	OTC	27	F	17	350
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11268ML	1	350	1	350	1	350	EC	0	OTC	27	F	17	350
11269ML	1	350	1	350	1	350	EC	0	OTC	15	F	16	350
11270ML	1	350	1	350	1	350	EC	0	OTC	27	F	17	350
11271ML	1	350	1	350	1	350	EC	0	OTC	15	F	16	350

11272ML	1	350	1	350	N4		OTC	27	F	17	350
11273ML	1	350	1	350	EC	0	OTC	15	F	16	350
11274ML	1	350	1	350	EC	0	OTC	27	F	17	350
11275ML	1	350	1	350	EC	1	OTC	15	F	16	350
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11297CP	1	350	1	350	EC	0	OTC	15	F	16	350
11298TU	1	350	1	350	I6		OTC	18	M	16	350
11299TA	1	350	1	350	I2		OTC	18	M	16	350
11300SI	1	350	1	350	I9		OTC	11	M	17	350
11301TU	1	350	1	350	I9		OTC	23	F	16	350
11302TA	1	350	1	350	I1		OTC	18	M	16	350
11303TA	1	350	1	350	EC	0	OTC	18	M	16	350
11304DE	1	350	1	350	EC	0	OTC	18	M	16	350
11305DE	1	350	1	350	I6		OTC	11	M	17	350

11306DE	1	350	1	350	12		OTC	11	M	17	350
11307AG	1	350	1	350	EC	0	OTC	18	M	16	350
11308AG	1	350	1	350	I6		OTC	11	M	17	350
11309TA	1	350	1	350	I7		OTC	7	M	15	350
11310TA	1	350	1	350	I7		OTC	19	F	17	350
11311TA	1	350	1	350	I7		OTC	18	M	16	350
11312DE	1	350	1	350	EC	0	OTC	19	F	17	350
11313ML	1	350	1	350	I6		OTC	11	M	17	350
11314DE	1	350	1	350	I6		OTC	11	M	17	350
11315CP	1	350	1	350	EC	0	OTC	7	M	15	350
11316DE	1	350	1	350	EC	0	OTC	7	M	15	350
11317AG	1	350	1	350	I1		OTC	19	F	17	350
11318AG	1	350	1	350	I10		OTC	18	M	16	350
11319AG	1	350	1	350	I10		OTC	18	M	16	350
11320TA	1	350	1	350	I3		OTC	18	M	16	350
11321TA	1	350	1	350	I3		OTC	18	M	16	350
11322DE	1	350	1	350	N1	0	OTC	23	F	16	350
11323DE	1	350	1	350	I7		OTC	11	M	17	350
11324TA	1	350	1	350	I7		OTC	11	M	17	350
11325TL	1	350	1	350	EC	0	OTC	18	M	16	350
11326TU	1	350	1	350	I2		OTC	18	M	16	350
11327TI	1	350	1	350	N9	0	OTC	18	M	16	350
11328AG	1	350	1	350	I9		OTC	23	F	16	350
11329DE	1	350	1	350	I9		OTC	18	M	16	350
11330TU	1	350	1	350	I9		OTC	18	M	16	350
11331BA	1	350	1	350	I6		OTC	23	F	16	350
11332HR	1	350	1	350	I6		OTC	11	M	17	350
11333AG	1	350	1	350	I7		OTC	18	M	16	350
11334TL	1	350	1	350	I10		OTC	18	M	16	350
11335DE	1	350	1	350	EC	0	OTC	18	M	16	350
11336TU	1	350	1	350	EC	0	OTC	23	F	16	350
11337TA	1	350	1	350	N1	0	OTC	7	M	15	350
11338DE	1	350	1	350	I2		OTC	11	M	17	350
11339DE	1	350	1	350	I2		OTC	11	M	17	350

11340AG	1	350	1	350	I6		OTC	7	M	15	350
11341HR	1	350	1	350	N1	0	OTC	7	M	15	350
11342HR	1	350	1	350	I7		OTC	23	F	16	350
11343HR	1	350	1	350	I6		OTC	7	M	15	350
11344TA	1	350	1	350	I1		OTC	7	M	15	350
11345YO	1	350	1	350	I1		OTC	11	M	17	350
11346DE	1	350	1	350	I1		OTC	11	M	17	350