

ANNUAL SYNAR REPORT

42 U.S.C. 300x-26

OMB No 0930-0222

FFY 2011
State: Guam



U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
Substance Abuse and Mental Health Services Administration
Center for Substance Abuse Prevention
www.samhsa.gov

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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 2010 Compliance Progress) and future plans to ensure compliance with the Synar requirements to reduce youth tobacco access rates (FFY 2011 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 2011 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, 2010. 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 2011 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:

Ms. Barbara Orlando
Grants Management Officer
Office of Program Services
Division of Grants Management
Substance Abuse and Mental Health Services Administration

Regular Mail:

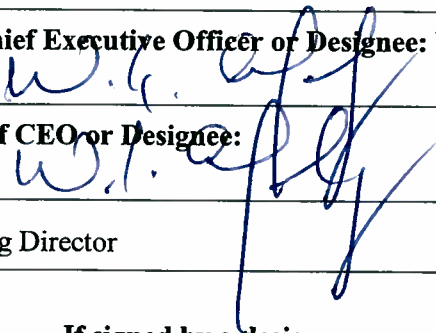
1 Choke Cherry Road, Rm.7-1091
Rockville, Maryland 20857

Overnight Mail:

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

FFY 2011: 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 AMMENDMENT	
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 2011 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 2011 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: Acting Director	Date Signed: 12/1/10
If signed by a designee, a copy of the designation must be attached.	

SECTION I: FFY 2010 (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 change(s) *(Please describe.)* Published in the DMHSA's Prevention and Training Branch's Peaseguam website after CSAP approval at <http://www.peaseguam.org/Data/synar.htm> and in the Guam Substance Abuse Epidemiological Profile ;

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 inspections. Both agencies are responsible for this function according to the Guam P.L. No. 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 Mental Health and Substance Abuse (DMHSA) and Public Health and Social Services (DPHSS)

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 helped 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 Comprehensive Cancer Control Coalition and the Coalition for a Tobacco-Free Guam, currently co-led by the American Cancer Society and DPHSS.

5. Please answer the following questions regarding the State's activities to enforce the youth access to tobacco law(s) in FFY 2010 (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>	33	0	33
Number of <u>finances assessed</u>	33	0	33
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, unannounced Synar inspections. During compliance inspections, retailers are provided with merchant education packets and other merchant support materials such as the door and register sticker "P.L. 24-278 No Sale under 18".

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 Revenue and Taxation and the Department of Mental Health and Substance Abuse.

Community education regarding youth access laws:

a) The 20th Annual Youth for Youth Conference brought together 45 youth leaders and over 400 youth islandwide. The conference is designed to prevent substance abuse, including tobacco among middle and high school students.

b) A workshop entitled "Community Ownership in Tobacco Prevention and Control" was presented at the 3rd Annual PEACE (Substance Abuse Prevention) Conference with a total 273 participants from public and private organizations including youth members from the Youth for Youth Live! Guam Organization. This presentation covered the history of the Synar legislation, an overview of the requirements that Guam must meet to be in compliance with the Synar Amendment, and an example of how Guam enforces Synar.

c) Partnerships with community-based prevention coalitions. DMHSA will continue to work with community-based prevention coalitions such as the Guam Comprehensive Cancer Control Coalition and the Coalition for Tobacco-Free Guam

co-led by Department of Public Health and Social Services and the American Cancer Society. In addition, DMHSA has collaborative relationship with the DPHSS Tobacco Prevention and Control Division, as both agencies are working to reduce youth tobacco use/prevalence throughout Guam.

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

e) Continue 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 and approval by CSAP. Results are also published in the Pacific News Center as well as the <http://www.tobacco.org> website.

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 Department (DMHSA) 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 2010 (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	<u>1.0000</u>
Weighted RVR	<u>0.1162</u>
Standard error (s.e.) of the (weighted) RVR	<u>0.0048</u>

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

$$\frac{0.116}{\text{RVR Estimate}} + \frac{(1.645)}{(1.645)} \times \frac{0.0048}{\text{Standard Error}} = \frac{0.123896}{\text{Right Limit}}$$

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)	312
Eligible sample size (number of outlets found to be eligible in the sample)	303
Final sample size (number of eligible outlets in the sample for which an inspection was completed)	284

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: _____

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

c. Was a new study conducted in this reporting period? Yes No

If Yes, please complete Appendix D (List Sampling Frame Coverage Study) and submit it with the Annual Synar Report.

d. The calendar year of the next coverage study planned: TBA

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 09/11/10 to 09/18/10
MM/DD/YY MM/DD/YY

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

19

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.

N/A

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 2011 (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 2011. 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 "Tobacco Merchant Education Packet" was developed and will continue distribution to Guam tobacco 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: Follow-up with new Administration comes January 2011.

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: Tobacco retailers are requested to provide updated information at time of annual renewal of tobacco licences.

Limited expertise in survey methodology:

For several years, DMHSA has been requesting to receive TA on survey methodology in regards to the current practice of using a census survey as well as conducting a coverage study. Plan: Follow-up with CSAP.

Difficulties recruiting youth inspectors:

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. In addition, youth inspectors are recruited via posting in the Peaceguam website and through personal contact among teen and membership in the Youth for Youth LIVE! Guam Organization.

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 2011). 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 2011).

- 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: Guam										
FFY: 2011										
(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) $w=N'/\text{Total Column 8}$ Relative Stratum Weight	(10) pw Stratum Contribution to State Weighted RVR	(11) s.e. Standard Error of Stratum RVR
State	312	312	303	284	33	0.116	303.00	1.00000	0.1162	0.0048
Total	312	312	303	284	33	0.116	303.00	1.00000	0.1162	0.0048

- 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 ($w=N'/\text{Total Column 8}$)
- 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 2011).

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: Guam				
FFY: 2011				
(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 2011).

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: <u>Guam</u>	
		FFY: <u>2011</u>	
(1) INELIGIBLE		(2) ELIGIBLE	
Reason for Ineligibility	(a) Counts	Reason for Noncompletion	(a) Counts
Out of business	0	In operation but closed at time of visit	17
Does not sell tobacco products	5	Unsafe to access	0
Inaccessible by youth	2	Presence of police	0
Private club or private residence	0	Youth inspector knows salesperson	0
Temporary closure	0	Moved to new location	0
Unlocatable	2	Drive-thru only/youth inspector has no driver's license	0
Wholesale only/Carton sale only	0	Tobacco out of stock	0
Vending machine broken	0	Ran out of time	0
Duplicate	0	Other noncompletion reason(s) <i>(Describe.)</i>	2
Other ineligibility reason(s) <i>(Describe.)</i>	0	One of the store is located in a very secluded area of the island, a long isolated drive through a mostly uninhabited area catered only to tourist; and the Store owner was standing in front of the store entrance and knows the Rev & Tax Officer.	
Total	9	Total	19

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 2011).

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>2011</u>		
	(1) Attempted Buys	(2) Successful Buys
Male		
15 years	35	6
16 years	75	11
17 years	10	1
18 years	0	0
Male Subtotal	120	18
Female		
15 years	68	8
16 years	96	7
17 years	0	0
18 years	0	0
Female Subtotal	164	15
Other	0	0
Total	284	33

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: 2011

1. What type of sampling frame is used?

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

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

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

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

Name of Frame Source	Type of Source	Description	Updating Method and Cycle
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.

N/A – See Attachment A – 2010 Tobacco Compliance Inspection Report

- 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.)

N/A

7. Provide the following information about stratification.

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

N/A

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.)

N/A

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.

N/A

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.**

N/A

APPENDIX C: SYNAR SURVEY INSPECTION PROTOCOL

State: Guam

FFY: 2011

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): The Department of Mental Health and Substance Abuse, the Department of Revenue and Taxation, the 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. In addition, youth inspectors are recruited via posting in the Peaceguam website and through personal contact among teen and membership in the Youth for Youth LIVE! Guam Organization. Inspection teams are required to attend training to learn the rules, regulations, basic procedures and paperwork required prior to the scheduled inspection.

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.)

Section 6120 of Guam P.L. 24-278 specifically 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: 2011

1. Calendar year of the coverage study: 2010

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

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

See Attachment A – 2010 Tobacco Compliance Inspection Report

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

If Yes, please explain.

4. Please answer the following questions about the selection of canvassing areas.

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

Census (Go to Question 6.)

Unstratified Statewide sample:

- Simple random sample (Respond to Part b.)
 Systematic random sample (Respond to Part b.)
 Single-stage cluster sample (Respond to Parts b and d.)
 Multistage cluster sample (Respond to Parts b and d.)

Stratified sample:

- Simple random sample (Respond to Parts b and c.)
 Systematic random sample (Respond to Parts b and c.)
 Single-stage cluster sample (Respond to Parts b, c, and d.)
 Multistage cluster sample (Respond to Parts b, c, and d.)
 Other (Please describe and respond to Part b.) _____

b. Describe the sampling methods.

N/A

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

N/A

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

N/A

5. Were borders of the selected areas clearly identified at the time of canvassing?

Yes No

6. Were all sampled areas visited by canvassing teams?

Yes (Go to Question 7.) No (Respond to Parts a and b.)

- a. Was the subset of areas randomly chosen?

Yes No

- b. Describe how the subsample of visited areas was drawn. Include the number of areas sampled and the number of areas canvassed.

N/A

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.

The teams were provided a list of all active licensed tobacco outlets which includes the actual physical addresses of the vendors obtained from the Department of Revenue and Taxation General Licensing Branch.

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.

The inspector teams were instructed to inspect all stores in their assigned village areas. The list of licensed tobacco retailers were sorted by village which are then assigned to each inspection team.

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.

[Empty box]

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

[Empty box]

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

Determine by sight and/or questioning regarding "tobacco products" and no sign on entrance door of building that had to be 18 years or older to purchase.

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).

Match of at least two of these: physical addresses, village and Gross Receipt Tax (GRT) numbers.

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

[Empty box]

- Attachment A -

**2010 TOBACCO COMPLIANCE INSPECTION REPORT
Date of Compliance Inspection: September 11 and 18, 2010**

Overview of the Tobacco (Synar) Compliance Inspection Survey:

The DMHSA's Prevention and Training Branch (PTB) and the Department of Revenue and Taxation (DRT) jointly conduct tobacco compliance checks as part of its efforts to stop the illegal sale of tobacco products to youth under the age of 18.

DMHSA is responsible for sampling, planning, media strategies, completing the Annual Synar Report, and recruiting youth for the Synar inspections. DRT is responsible for issuing tobacco vendor licenses and enforcement, including the collection of fees and fines. Both departments are responsible for inspections and merchant and community education.

Sampling Methodology and Plan:

DRT General Licensing Branch provides a list of tobacco retail vendors to DMHSA. The high turnover of merchants and the lack of a clear system of recording addresses present challenges to developing a complete and accurate list of retailers. DMHSA has never done a coverage study to assess the percentage of coverage of the vendor list. Guam uses a census survey design for the Synar survey and attempts to inspect all eligible tobacco outlets annually. In FFY 2010, the sample size of eligible outlets was 312 outlets. The inspection period was September 11, 2010 and September 18, 2010; the inspections took place 2 days (Saturdays only). Last year's (2009) sample size of eligible outlets was 356 outlets. The decrease of eligible outlets was due to the increase of tobacco tax in February 2010; therefore vendors did not renew their licenses due in June 2010.

Inspection Protocol for the Synar Survey:

The Synar survey teams each comprise three to five members: one to two youth inspectors, one to two adult drivers/escorts who are PTB staff, and one enforcement officer from DRT. Synar inspections require consummated buys, youth to tell the truth if asked their age or for their identification (youth are not allowed to carry identification), and that the age range (15-17) of youth inspectors conforms to Federal guidelines. Youth were compensated in the form of a stipend. Each team receives an inspector's kit containing the protocols and procedures for conducting the inspections, data collection forms and instructions for use, list of retail outlets to be inspected, map of the area, samples of the appropriate signs and stickers, envelopes for returning completed data collection forms, evaluation forms, Certificates of Compliance, and contact numbers in the event of an emergency.

Before the inspections, DMHSA provides training to the team. Training includes presentations on the survey purpose, roles and responsibilities of team members, and safety considerations and a basic script for youth purchases, other handouts, and opportunities for questions.

The protocol calls for the adult inspectors first to ascertain that the outlet is safe for the youth to enter and then to witness transactions between the youth and the clerk and the interaction between the law enforcement agent and the clerk in the event of a sale.

Inspection Outcomes:

There are 396 total registered tobacco outlets on Guam (provided by the DRT General Licensing Branch); 312 outlets are eligible for inspection; 284 outlets are actually inspected; and 33 outlets or stores sold to minors (under the age of 18).

TYPE OF OUTLET (TOBACCO VENDOR) BREAKDOWN:

	Frequency	Percent	Valid Percent	Cumulative Percent
Valid General merchandise	52	13.3	16.7	16.7
Food stores/supermarket	33	8.4	10.6	27.2
Eating/drinking places/restaurants	2	.5	.6	27.9
Gasoline stations	40	10.2	12.8	40.7
Drug stores/pharmacy	1	.3	.3	41.0
Vending machines	1	.3	.3	41.3
Convenience retail stores	167	42.7	53.5	94.9
Hotels/motels	2	.5	.6	95.5
Bowling alley/centers	1	.3	.3	95.8
Racing tracks	1	.3	.3	96.2
Public golf courses	3	.8	1.0	97.1
Water Store	5	1.3	1.6	98.7
Laundry Mat	3	.8	1.0	99.7
bakery	1	.3	.3	100.0
Total	312	79.8	100.0	

OUTLET STATUS BREAKDOWN:

	Frequency	Percent	Valid Percent	Cumulative Percent
Valid Inspection completed	284	72.6	91.0	91.0
Not completed - Closed at time of survey	17	4.3	5.4	96.5
Not completed - No tobacco for sale	5	1.3	1.6	98.1
Not completed - Unable to locate vendor	2	.5	.6	98.7
Not completed - No minors allowed in outlet	2	.5	.6	99.4
Not completed - Other	2	.5	.6	100.0
Total	312	79.8	100.0	

2010 Non-Compliance or Stores in Violation: Of the 33 outlets or stores who sold to minors; 4 outlets are in 2nd violation for selling to minors and their tobacco license were suspended for 90 days.

YOUTH AGE * ATTEMPTED SALES OUTCOME: A SALE WAS MADE?

		Attempted sales outcome: A sale was made?		Total
		Yes	No	
Youth Age	15	14	89	103
	16	18	153	171
	17	1	9	10
Total		33	251	284

The above table shows breakdown of the sales made to minor age 15, 16 and 17years old.

SITE LOCATION * ATTEMPTED SALES OUTCOME: A SALE WAS MADE?

		Attempted sales outcome: A sale was made?		Total
		Yes	No	
site location	Hagatna/Agana/Anigua	3	12	15
	Agana Heights	0	2	2
	Agat	1	9	10
	Asan/Maina	3	1	4
	Barrigada	2	18	20
	Chalan Pago/Ordot	0	10	10
	Dededo/Harmon	10	64	74
	Inarajan/Malojloj	0	3	3
	Mangilao	1	21	22
	Merizo	0	3	3
	Mongmong/Toto/Maite	1	6	7
	Piti	0	1	1
	Santa Rita	1	1	2
	Sinajana	1	12	13
	Talofofo	1	5	6
	Tamuning/Tumon	5	58	63
	Umatac	0	1	1
	Yigo	3	19	22
	Yona	1	9	10
Total		33	255	288

The above table shows the frequency of sales made to minors in all the villages. The greater percentages of violators are located in the villages of Dededo/Harmon and Tamuning/Tumon where majority of the businesses are situated.

OUTLET LOCATION BREAKDOWN:

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Hagatna/Agana/Anigua	16	4.1	5.1	5.1
	Agana Heights	3	.8	1.0	6.1
	Agat	10	2.6	3.2	9.3
	Asan/Maina	5	1.3	1.6	10.9
	Barrigada	21	5.4	6.7	17.6
	Chalan Pago/Ordot	10	2.6	3.2	20.8
	Dededo/Harmon	80	20.5	25.6	46.5
	Inarajan/Malojloj	4	1.0	1.3	47.8
	Mangilao	23	5.9	7.4	55.1
	Merizo	4	1.0	1.3	56.4
	Mongmong/Toto/Maite	7	1.8	2.2	58.7
	Piti	4	1.0	1.3	59.9
	Santa Rita	3	.8	1.0	60.9
	Sinajana	13	3.3	4.2	65.1
	Talofoto	6	1.5	1.9	67.0
	Tamuning/Tumon	67	17.1	21.5	88.5
	Umatac	1	.3	.3	88.8
	Yigo	23	5.9	7.4	96.2
	Yona	12	3.1	3.8	100.0
	Total	312	79.8	100.0	

The above table shows the breakdown of tobacco vendors found in all the villages.

OUTLET STATUS * YOUTH AGE * YOUTH GENDER

Youth Gender			Youth Age			Total
			15	16	17	
male	Outlet status	Inspection completed	35	75	10	120
		Not completed - Closed at time of survey	2	6	0	8
		Not completed - No tobacco for sale	0	3	0	3
		Not completed - Unable to locate vendor	0	1	0	1
		Not completed - No minors allowed in outlet	1	1	0	2
		Not completed - Other	2	0	0	2
	Total		40	86	10	136
female	Outlet status	Inspection completed	68	96		164
		Not completed - Closed at time of survey	2	7		9
		Not completed - No tobacco for sale	0	2		2
		Not completed - Unable to locate vendor	0	1		1
	Total		70	106		176