

ANNUAL SYNAR REPORT

42 U.S.C. 300x-26

OMB № 0930-0222

FFY 2017

State: Michigan

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INTRODUCTION

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

How the Synar report helps the Center for Substance Abuse Prevention

In accordance with the tobacco regulations, states are required to provide detailed information on progress made in enforcing youth tobacco access laws (FFY 2016 Compliance Progress) and future plans to ensure compliance with the Synar requirements to reduce youth tobacco access rates (FFY 2017 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) 276-2550 and ask for your respective State Project Officer, or contact your State Project Officer directly by telephone or email. If you have questions about fiscal or grants management issues, you may call the Grants Management Officer, Office of Financial Resources, Division of Grants Management, at (240) 276-1422.

Where and when to submit the Synar report

The ASR must be received by SAMHSA no later than December 31, 2016 and must be submitted in the format specified by these instructions. Use of the approved format will avoid delays in the review and approval process. The chief executive officer (or an authorized designee) of the applicant organization must sign page one of the ASR certifying that the state has complied with all reporting requirements.

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

- FFY 2017 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), as well as a database with the raw inspection data to WebBGAS.
- Synar Inspection Form: States must upload one blank copy of the inspection form used to record the result of each Synar inspection.
- Synar Inspection Protocol: States must upload a copy of the protocol used to train inspection teams on conducting and reporting the results of the Synar inspections. This document should be different than the Appendix C attached to the Annual Synar Report
- A scanned copy of the signed Funding Agreements/Certifications

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

FFY 2017: 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 2017 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 2017 is up-to-date and approved by the Center for Substance Abuse Prevention.
State: Michigan
Name of Chief Executive Officer or Designee: Thomas Renwick
Signature of CEO or Designee:
Michigan Single State Authority for Substance Abuse Deputy Director, Behavioral Health and Developmental Disabilities Administration, Michigan Department of Title: Health and Human Services Date Signed: 11/30/16
If signed by a designee, a copy of the designation must be attached.

SECTION I: FFY 2016 (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
- Changed definition of tobacco products
- Other change(s) *(Please describe.)* _____

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

- Licensing of tobacco vendors Yes No
- Penalties for sales to minors Yes No
- Vending machines Yes No
- Added additional product
- Categories to youth access law Yes No

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

- Placed on file for public review
- Posted on a state agency Web site *(Please provide exact Web address and the date when the FFY 2017 ASR was posted to this Web address.)*

Web address: http://www.michigan.gov/mdhhs/0,5885,7-339-71550_2941_4871--_,00.html

Date published: 11/15/2016

- Notice published in a newspaper or newsletter

- Public hearing
- Announced in a news release, a press conference, or discussed in a media interview
- Distributed for review as part of the SABG application process
- Distributed through the public library system
- Published in an annual register
- Other (*Please describe.*) _____

3. Identify the following agency or agencies (*see 42 U.S.C. 300x-26 and 45 C.F.R. 96.130*).

a. The state agency (ies) designated by the Governor for oversight of the Synar requirements:

Michigan Department of Health and Human Services (MDHHS)/Office of Recovery Oriented Systems of Care (OROSC)

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

- Yes No

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

Michigan Department of Health and Human Services (MDHHS)/Office of Recovery Oriented Systems of Care (OROSC)

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):

Michigan State Police and local law enforcement agencies

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

- Yes No

4. Identify the following agencies and describe their relationship with the agency responsible for the oversight of the Synar requirements.

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

MDHHS Tobacco Section

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

- Yes No

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

- Are the same
- Have a formal written memorandum of agreement
- Have an informal partnership
- Conduct joint planning activities
- Combine resources
- Have other collaborative arrangement(s) *(Please describe.)* 1)MDHHS Tobacco Section has representation on the OROSC Youth Access To Tobacco Workgroup (YATTW);2) Collaborate with Tobacco Section and Prevention Michigan, Inc. to implement Food and Drug Administration (FDA) Tobacco Compliance three-year contract award - FY 2015-2017allocation \$3,934,758. 3) Responsible for coordinating implementation goals of state's 2013 Tobacco Strategic Plan developed by both OROSC and YATTW, in order to help raise awareness and change behaviors related to ultimately reducing youth access to tobacco and residual health problems and addiction. OROSC works through the YATTW to develop, execute and periodically update the deliverable terms of a OROSC Tobacco Strategic Plan; 4) Both OROSC and the Tobacco Section serve on the Michigan Tobacco Tax Enforcement Workgroup which collaboratively engages the Michigan State Police (MSP), Treasury Department, Attorney General's office and other state departments concerned with tobacco issues.

No relationship

d. Does a state agency contract with the Food and Drug Administration’s Center for Tobacco Products (FDA/CTP) to enforce the youth access and advertising restrictions in the Family Smoking Prevention and Tobacco Control Act?

Yes No (if no, go to Question 5)

e. If yes, identify the state agency responsible for enforcing the youth access and advertising restrictions in the Family Smoking Prevention and Tobacco Control Act (the agency that is under contract to the Food and Drug Administration’s Center for Tobacco Products (FDA/CTP)).

Michigan Department of Health and Human Services (MDHHS)/Office of Recovery Oriented Systems of Care (OROSC)

f. Has the responsible agency changed since last year’s Annual Synar Report?

Yes No

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

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

No relationship

h. Does the state use data from the FDA enforcement inspections for Synar survey reporting?

Yes No

5. Please answer the following questions regarding the state's activities to enforce the state's youth access to tobacco law(s) in FFY 2016 (see 42 U.S.C. 300x-26 and 45 C.F.R. 96.130(e)).

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

Enforcement is conducted exclusively by local law enforcement agencies.

Enforcement is conducted exclusively by state agency (ies).

Enforcement is conducted by both local *and* state agencies.

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

PENALTY	OWNERS	CLERKS	TOTAL
Number of <u>citations issued</u>	N/A	219	219
Number of <u>finest assessed</u>	N/A	171	171
Number of <u>permits/licenses suspended</u>	N/A		0
Number of <u>permits/licenses revoked</u>	N//A		0
Other (Please describe.) <i>Only three counties in the State are authorized to issue we have no “owner” reports from them at the completion of this FFY2017 ASR. The remaining counties are limited by pre-emption regulations. The YTA fines are only levied against the clerk not the owner.</i>	UNK	390	390

- c. Are citations or warnings issued to retailers or clerks who sell tobacco to minors for inspections that are part of the Synar survey?

Yes No

If “Yes” to 5c, please describe the state’s procedure for minimizing risk of bias to the survey results from retailers alerting each other to the presence of the survey teams:

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

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

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

Yes No

- f. What additional activities are conducted in your state to support enforcement and compliance with state youth tobacco access law(s)? (Check all that apply and briefly describe each activity in the text boxes below each activity.)

Merchant education and/or training

Annually, the State of Michigan (SOM) sends a mass mailing packet to 100% of the retailers on the master retail list (MRL.) As subsequent education disbursement, the state sends out materials to all 10 Prepaid Inpatient Health Plans (PIHP) who participate in face-to-face merchant education in their catchment area prior to the month of Synar compliance checks. The minimum follow-up PIHP outreach consists of 25% up to 100% of retailers on their respective MRLs. The median effort is 50% of their lists. In the majority of Youth Access to Tobacco Activity Reports, Prevention Coordinators advise that visits are prioritized as follows: recent sales; accessibility to youth; type of business; and merchant requests. Other regional efforts include coalition, education forums, joint presentations with law enforcement to parents and retailers. Visits are primarily conducted by Designated Youth Tobacco Use Representatives (DYTURs) or Prevention Coordinator designees.

In addition, Michigan has revised an online Merchant Education Training which includes an educational PowerPoint, a post test and a state issued certificate of completion for anyone who has an 80% + passage rate.

OROSC has developed a resource that combines tobacco education materials; this resource is linked to an existing statewide campaign called "Do Your Part." The "Do Your Part," series is located on the Michigan Department of Health and Human Service's website. The tobacco segment targets the general public, educators, students, law enforcement and merchants. The site provides comprehensive educational materials including prevention, treatment and health information.

Incentives for merchants who are in compliance (e.g., non-enforcement compliance checks in which compliant retailers are given positive reinforcement and noncompliant retailers are warned about youth access laws)

Incentives include thank you letters, certificates of appreciation, newsletter and newspaper acknowledgements and recognition luncheons. One sub recipient provides instant "thank you" cards and McDonald's coupons for those who do not sell. Non-compliant merchants receive a follow-up education visit or reminder correspondence.

Community education regarding youth access laws

Community education is promoted by DYTURs through coalition meetings, parent groups, business groups, Boys & Girls Clubs, press releases, health departments, responsible alcohol server trainings, the Tobacco Free Michigan Coalition, agencies with tobacco health concerns and numerous school presentations.

Media use to publicize compliance inspection results

Local media is used to acknowledge retailers who don't sell to minors. Press releases recognize tobacco retailers and community coalitions for their participation in successful surveys. The SOM publishes a news release announcing results of the

statewide survey which gives accolades to merchants, community partners and inter-agency collaborators that aided in reducing the tobacco sales rates to minors.

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

Community mobilization is accomplished through the networking of community coalitions who work in tandem with the DYTURs. Task force members ensure signage is properly posted, sometimes with the aid of high school youth. In some communities citizens are trained to help conduct vendor educations. Community members are encouraged to report observed incidents of underage tobacco sales. SOM provides online tobacco reporting forms

- Other activities (*Please list.*)

Michigan's Northern region has cultivated a special relationship with local Prosecuting Attorneys (PAs) in their 21 county region. PAs meet annually and via discussion and an informational report card they commit support for YTA compliance.

Michigan State Police have representation on the state's Youth Access to Tobacco Workgroup (YATTW.) Statewide MSP posts also visit establishments and provide signage and brochures pending MSP's availability. They remind merchants of the importance to obey YTA laws.

Michigan's Lakeshore DYTURs send a quarterly e-mail and/or letter to all of the corporate offices with a summary of their tobacco retailer's history regarding tobacco compliance checks.

Substance Abuse Free Environment (S.A.F.E.) youth have been involved in community education and events as appropriate.

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 2016 (see 42 U.S.C. 300x-26 and 45 C.F.R. 96.130).

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

Yes No

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

a. If yes, Describe how and when this change was communicated to SAMHSA

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

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

Yes No

If Yes, 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.

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

plus (1.645 times Standard Error) equals

Accuracy rate _____

Completion rate _____

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

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

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

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

- Yes No No stratification

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

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

- Yes No

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

If No, go to Question 7g.

Were any certainty primary sampling units selected this year?

- Yes No

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

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

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

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

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

Yes No

If Yes, answer the following questions about its coverage.

a. The calendar year of the latest Sampling frame coverage study: 2016

b. Percent coverage from the latest Sampling frame coverage study: 86.5

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: 2019

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

Yes No

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

a. If Yes, describe how and when this change was communicated to SAMHSA

b. Provide the inspection period: From 06/01/16 to 06/30/16
MM/DD/YY MM/DD/YY

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

87

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

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

SECTION II: FFY 2017 (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 2017. 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.

OROSC has worked with the state level Youth Access to Tobacco Workgroup (YATTW) to update our current Tobacco Strategic Plan to include: an action plan to address issues for minorities and underserved populations; attract merchants, managers and cashiers to an online training site to measure the impact on Retailer Violation Rate (RVR); align with Prepaid Inpatient Health Plans (PIHP) annual tobacco planning; work with MDHHS Communication division to help set concrete content and outreach goals for participation in the "Do Your Part" campaign; develop an action plan for responding to emerging legislative goals; develop a workplace development plan to aid professional service providers; expand upon relationships with Michigan State Police for distribution of signage and enhanced law enforcement for tobacco violations.

3. Describe any challenges the state faces in complying with the Synar regulation. (Check all that apply and describe each challenge in the text box below it.)

Limited resources for law enforcement of youth access laws

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

Limitations in the state youth tobacco access laws

The current Youth Tobacco Act (YTA) only penalizes the cashier, but not the owner. As a state entity, MDHHS has lobbying restrictions for advocating legislative change, however, to engage retailers OROSC has a strategic plan to raise the awareness of owners and clerks by: 1) Utilizing the Michigan State Police

(MSP) to make educational site visits; 2) Working with MSP and the business community through the Associated Food and Petroleum Dealers (AFPD) to advocate the free online certificated training that can be used as an affirmative defense should a violation occur.

- Limited public support for enforcement of youth tobacco access laws

Based on data informed knowledge about use trends, violation rates and high risk populations, the state with the aid of YATTW partners will add to an existing state public awareness website called "Do Your Part" (DYP) to help set concrete content and outreach goals to help parents, educators and law enforcement become proactive in deterring illegal provision of tobacco products to minors. There will also be a youth education component to the site.

- Limitations on completeness/accuracy of list of tobacco outlets

A Coverage Study was conducted during August and September of 2016. The accuracy rate of Michigan's master retail list is 86.5%. While there is room for improvement, this seems an acceptable rate for a list that exceeds 9,000 merchants.

- Limited expertise in survey methodology

N/A

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

Youth who purchase tobacco products within the scope of participation in Synar are exempt from legal prosecution. (YTA 722.642 Sec.2, Item 3, Subsection 1)

- Difficulties recruiting youth inspectors

Generally, there are minimal issues for DYTURs recruiting youth. Each region does a good job identifying youth under Synar requirements.

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

Michigan only uses youth who are 16-17 years old

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

Procedural guidelines for Synar chaperones require that there be an equal number of males and females conducting inspections.

- Geographic, demographic, and logistical considerations in conducting inspections

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

Through the efforts of the YATTW the state will create an action plan to address issues for minorities and underserved populations by:

- a. Identifying three specific issues and/or populations (What does epidemiological data tell us?)
- b. Determine evidence-based activities to impact the issues selected
- c. Establish a work plan and measurable benchmarks that show progress in service to underserved people and reduced violations in specific communities.

- Issues regarding sources of tobacco under tribal jurisdiction

Inspections are not conducted in areas under tribal jurisdiction

- Other challenges (*Please list.*)

None at this time. Michigan is proactively exploring use of online training, media awareness use of trade organizations to minimize sales of e-cigarettes for next year's FFY 2018 compliance check cycle.

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 2017). Provide the remaining information by stratum if stratification was used. Make copies of the form if additional rows are needed to list all the strata.

Column 1: *If stratification was used:*

1(a) Sequentially number each row.

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

If no stratification was used:

1(a) Leave blank.

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

<p align="center">Summary of Synar Inspection Results by Stratum</p> <p align="right">State: _____</p> <p align="right">FFY: <u>2017</u></p>													
(1)		(2)			(3)			(4)			(5)		
STRATUM		NUMBER OF OUTLETS IN SAMPLING FRAME			ESTIMATED NUMBER OF ELIGIBLE OUTLETS IN POPULATION			NUMBER OF OUTLETS INSPECTED			NO. OF OUTLETS FOUND IN VIOLATION DURING INSPECTIONS		
(a) Row #	(b) Stratum Name	(a) Over-the-Counter (OTC)	(b) Vending Machines (VM)	(c) Total Outlets (2a+2b)	(a) Over-the-Counter (OTC)	(b) Vending Machines (VM)	(c) Total Outlets (3a+3b)	(a) Over-the-Counter (OTC)	(b) Vending Machines (VM)	(c) Total Outlets (4a+4b)	(a) Over-the-Counter (OTC)	(b) Vending Machines (VM)	(c) Total Outlets (5a+5b)

RECORD COLUMN TOTALS ON LAST LINE (LAST PAGE ONLY IF MULTIPLE PAGES ARE NEEDED).

FORM 2 (Optional)

Appropriate for stratified simple or systematic random sampling designs.

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

Instructions for Completing Form 2: In the top right-hand corner of the form, provide the state name and reporting federal fiscal year (FFY 2017).

- Column 1: Write in the name of each stratum into which the sample was divided. These should match the strata reported in Column 1(b) of Form 1.
- Column 2: Report the number of outlets in the sampling frame in each stratum. These numbers should match the numbers reported for the respective strata in Column 2(c) of Form 1.
- Column 3: Report the original sample size (the number of outlets originally selected, *including* substitutes or replacements) for each stratum.
- Column 4: Report the number of sample outlets in each stratum that were found to be eligible during the inspections. Note that this number must be less than or equal to the number reported in Column 3 for the respective strata.
- Column 5: Report the number of eligible outlets in each stratum for which an inspection was completed. Note that this number must be less than or equal to the number reported in Column 4. These numbers should match the numbers reported in Column 4(c) of Form 1 for the respective strata.
- Column 6: Report the number of eligible outlets inspected in each stratum that were found in violation. These numbers should match the numbers reported in Column 5(c) of Form 1 for the stratum.
- Column 7: Form 2 (in Excel form) will automatically calculate the stratum RVR for each stratum in this column. This is calculated by dividing the number of inspected eligible outlets found in violation (Column 6) by the number of inspected eligible outlets (Column 5). The state unweighted RVR will be shown in the Total row of Column 7.
- Column 8: Form 2 (in Excel form) will automatically calculate the estimated number of eligible outlets in the population for each stratum. This calculation is made by multiplying the number of outlets in the sampling frame (Column 2) times the number of eligible outlets (Column 4) divided by the original sample size (Column 3). Note that these numbers will be less than or equal to the numbers in Column 2.
- Column 9: Form 2 (in Excel form) will automatically calculate the relative stratum weight by dividing the estimated number of eligible outlets in the population for each stratum in Column 8 by the Total of the values in Column 8.
- Column 10: Form 2 (in Excel form) will automatically calculate each stratum's contribution to the state weighted RVR by multiplying the stratum RVR (Column 7) by the relative stratum weight (Column 9). The weighted RVR for the state will be shown in the Total row of Column 10.
- Column 11: Form 2 (in Excel form) automatically calculates the standard error of each stratum's RVR (Column 7). The standard error for the state weighted RVR will be shown in the Total row of Column 11.
- TOTAL:** For Columns 2–6, Form 2 (in Excel form) provides totals for the state as a whole in the last row of the table. For Columns 7–11, it calculates the respective statistic for the state as a whole.

FORM 2 (Optional) Appropriate for stratified simple or systematic random sampling designs.

Calculation of Weighted Retailer Violation Rate										
										State: _____
										FFY: 2017
(1) Stratum Name	(2) N Number of Outlets in Sampling Frame	(3) n Original Sample Size	(4) n1 Number of Sample Outlets Found Eligible	(5) n2 Number of Outlets Inspected	(6) x Number of Outlets Found in Violation	(7) p=x/n2 Stratum Retailer Violation Rate	(8) N'=N(n1/n) Estimated Number of Eligible Outlets in Population	(9) w=N'/Total Column 8 Relative Stratum Weight	(10) pw Stratum Contribution to State Weighted RVR	(11) s.e. Standard Error of Stratum RVR
Total										

- N - number of outlets in sampling frame
- n - original sample size (number of outlets in the original sample)
- n1 - number of sample outlets that were found to be eligible
- n2 - number of eligible outlets that were inspected
- x - number of inspected outlets that were found in violation
- p - stratum retailer violation rate (p=x/n2)
- N' - estimated number of eligible outlets in population (N'=N*n1/n)
- w - relative stratum weight (w=N'/Total Column 8)
- pw - stratum contribution to the weighted RVR
- s.e. - standard error of the stratum RVR

FORM 3 (Required when a cluster design is used for all states not using the Synar Survey Estimation System [SSES] to analyze the Synar survey data.)

Complete Form 3 to report information about primary sampling units when a cluster design was used for the Synar survey.

Instructions for Completing Form 3: In the top right-hand corner of the form, provide the state name and reporting federal fiscal year (FFY 2017).

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

Column 1: Sequentially number each row.

Column 2: *If stratification was used:* Write in the name of stratum. All strata in the state must be listed.

If no stratification was used: Write “state” in the first row to indicate that the whole state constitutes a single stratum.

Column 3: Report the number of primary sampling units (PSUs) (i.e., first-stage clusters) created for each stratum.

Column 4: Report the number of PSUs selected in the original sample for each stratum.

Column 5: Report the number of PSUs in the final sample for each stratum.

TOTALS: For Columns 3–5, provide totals for the state as a whole in the last row of the table.

Summary of Clusters Created and Sampled				
				State: _____
				FFY: 2017 _____
(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 2017).

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: 2017	
(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 2017).

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: _____
		FFY: 2017 _____
	(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: Michigan
 FFY: 2017

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
Michigan Department of Agriculture (MDA) list of retailers	4	<p>The three lists are combined to construct the frame. The State does not have a license list. State admits that this frame may not represent every tobacco retailer.</p> <p>The Michigan Liquor Control licensee list includes retailers licensed to sell alcoholic beverages.</p> <p>The Michigan Petroleum Retailers Association list of members includes retail/gasoline/convenience store venues.</p> <p>Both venues, Liquor Control Commission licensees and Michigan Petroleum Retailers Association members have been known to sell tobacco products (5, 6).</p>	<p>Prepaid Inpatient Health Plans (PIHPs) conducting inspections in the recent past identified vendors that sold tobacco that were not captured on the MDA listing. The sample frame was updated annually. All PIHPs are required to update their lists of retailers locally in their regions annually. Each PIHP is required to canvass their respective regions for the purpose of identifying new or former retailers. Their lists include the combined listings from the three resources. The PIHPs provide OROSC with the updated lists, which are added to our retailer database, which is updated prior to the Synar survey process.</p>
Michigan Liquor Control licensee list	5		
Michigan Petroleum Retailers Association list of members	6		

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

--

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

Yes No

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

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

Yes No

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

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

If Yes, please indicate how likely it is that vending machines will be sampled.

- Vending machines are sampled separately to ensure vending machines are included in the sample
- Vending machines are sampled together with over the counter outlets, so it is possible that no vending machines were sampled, however they are included in the sampling frame and have a non-zero probability of selection
- Other reasons (*Please describe.*) _____

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

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

Unstratified statewide sample:

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

Stratified sample:

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

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

7. Provide the following information about stratification.

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

OROSC stratified their sample by the 10 Prepaid Inpatient Health Plans.

b. Is clustering used within the stratified sample?

Yes (Go to Question 8.)

No (Go to Question 9.)

8. Provide the following information about clustering.

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

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

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

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

Yes (Respond to part b.)

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

b. SSES Sample Size Calculator used?

State Level (Respond to Question 10a.)

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

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

The SSES sample size calculator is used to estimate the sample size. The formula for calculating the effective sample size is, n_e , based on page 36 (formula 3.5) of the Sample Design Guidance published in 2011.

$$n_e = \frac{1}{\left(\frac{(0.0182)^2}{P(1-P)} + \frac{1}{N} \right)}$$

Where P is the RVR from the previous year's survey and N is the total number of outlets in the state.

The target sample size is determined by multiplying the effective sample size by the expected design effect of 1.01.

$$n_t = d n_e$$

The original sample size is determined by inflating the target sample size by the expected eligibility rate (r_i) and the expected completion rate (r_c), where (r_i) is the eligibility (also known as accuracy) rate from the previous year's survey and r_c is the completion rate from the previous year's survey. The original sample size can be written as:

$$n_o = \frac{n_t}{r_i r_c}$$

In addition, the original sample size is further inflated by a 20% safety margin.

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

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

Inputs for Effective Sample Size:

RVR: 15.50

Frame Size: 8,873

Input for Target Sample Size:

Design Effect: 1.01

Inputs for Original Sample Size:

Safety Margin: 20

Accuracy (Eligibility) Rate: 91.71

Completion Rate: 99.79

- b. If the state uses the sample size formulas embedded in the SSES Sample Size Calculator to calculate the stratum level sample sizes, please provide the stratum level information:**

Michigan is interested in reviewing and analyzing data for each of the 10 PIHPs in the state. Many of these agencies have large differences in rural/urban ratios, types of tobacco vendors, and types of law enforcement. Consequently, the Synar rates in each PIHP are expected to vary. Therefore, Michigan is interested in stratifying its Synar sampling in a manner to meet the federal requirements as well as to have a meaningful representation. Since Michigan would like to review individual PIHP Synar rates, it has determined that a minimum number of samples (20) should be completed for each PIHP. Establishing such a minimum will represent an increase in the number of sites being sampled in those agencies with a lower number of tobacco vendors

(oversampling). However, such an adjustment in sample size this will not impact the statewide rate as that rate will be based on the weighted average for the number of total tobacco vendors in each PIHP. In order to assure that 20 outlets per PIHP are available for analysis, Michigan requires that each stratum sample size be no lower than 30. Therefore, the actual original sample size will be increased to ensure that each individual's (PIHP's) stratum sample size is no lower than 30.

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

--

APPENDIX C: SYNAR SURVEY INSPECTION PROTOCOL SUMMARY

State: Michigan

FFY: 2017

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

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

a. Consummated buy attempts?

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

b. Youth inspectors to carry ID?

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

c. Adult inspectors to enter the outlet?

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

d. Youth inspectors to be compensated?

- Required
- Permitted under specified circumstances (Describe: Payment to youth decoys is left to the discretion and resources of the regional PIHPs.)
- Not permitted

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

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

List the agency name(s): REGION 1 NORTHCARE NETWORK
REGION 2 NORTHERN MI REGIONAL ENTITY

REGION 3 LAKESHORE REGIONAL ENTITY dba LAKESHORE REGIONAL PARTNERS

REGION 4 SOUTHWEST MI BEHAVIORAL HEALTH

REGION 5 MID-STATE HEALTH NETWORK

REGION 6 CMH PARTNERSHIP OF SOUTHEAST MI

REGION 7 DETROIT WAYNE MENTAL HEALTH AUTHORITY

REGION 8 OAKLAND CO CMH AUTHORITY

REGION 9 MACOMB CO CMH SERVICES

REGION 10 REGION 10 PREPAID INPATIENT HEALTH PLAN

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

Always Usually Sometimes Rarely Never

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

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

- Cigarettes
 Small Cigars
 Cigarillos
 Smokeless Tobacco
 Electronic Cigarettes/Electronic Nicotine Delivery Systems (ENDS)
 Other Single Cigarettes

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

Prior to attempting an unconsummated buy, the Designated Youth Tobacco Use Representative (DYTUR) acting on behalf of the region reviews known RVR data and discusses youth use trends with the decoy and a decision is made about the types of products and/or brands will be requested accordingly. It is the ultimate determination of the adult chaperone and the regional Prevention Coordinator.

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

Recruitment is left to the jurisdiction of the regional Prevention Coordinators. They are provided chaperone guidelines that are posted on the State of Michigan website and are instructed to obey Worker's Compensation and Youth Employment Standards regulations.

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

Recruitment is left to the jurisdiction of the regional Prevention Coordinators. They are provided chaperone guidelines that are posted on the State of Michigan website and are instructed to obey Worker's Compensation and Youth Employment Standards regulations.

6. Are there specific legal or procedural requirements instituted by the state to address the issue of youth inspectors' immunity when conducting inspections?

a. Legal

Yes No

(If Yes, please describe.)

Youth inspector's immunity is covered by the Michigan Youth Tobacco Act

b. Procedural

Yes No

(If Yes, please describe.)

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

a. Legal

Yes No

(If Yes, please describe.)

All subcontractors are subject to Workers Compensation laws

b. Procedural

Yes No

(If Yes, please describe.)

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

a. Legal

Yes No

(If Yes, please describe.)

b. Procedural

Yes No

(If Yes, please describe.)

Youth decoys must be 16 or 17 years old. Training and scheduling is under the jurisdiction of the Prevention Coordinator and DYTUR acting on behalf of the PIHP.

APPENDIX D: LIST SAMPLING FRAME COVERAGE STUDY

(LIST FRAME ONLY)

State: Michigan
FFY: 2017

1. Calendar year of the coverage study: 2016

2. a. Unweighted percent coverage found: 86.5%
b. Weighted percent coverage found: NA%
c. Number of outlets found through canvassing: 200
d. Number of outlets matched on the list frame: 173

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

2014 County Census Estimates

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.

The sampling methodology undertaken for the coverage study was approved by CSAP and derived from the CSAP publication: Guide for Synar Sampling Frame Coverage Study (2006). Michigan opted to do a random stratified sample of Michigan counties based on the 2014 census data. The stratified sample ensured that counties of varying sizes including villages, towns, and cities would be captured. At no point in the process is the current tobacco retailer list or compliance history to be considered in selection, routing, or actual participation in the study.

In the coverage study design, Michigan chose to make an inspection of 200 facilities. Michigan's 83 counties were divided into nine strata based on each county's population size. For each of the nine strata, a county was randomly selected. The target number of outlets selected in that county was based on the proportion of the Michigan 2014 census represented by that stratum.

Once the county was selected, the city/village(s) where the inspection was to take place was selected. This was accomplished by randomly selecting those locations from a county listing (<http://www.naco.org/Counties/Pages/FindACounty.aspx>).

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

The strata created were made by grouping counties of similar population sizes. The strata included all counties of population sizes:

- 1) less than 20,000 residents (19 counties)
- 2) with 20,000-29,999 residents (16 counties)
- 3) with 30,000-39,999 residents (7 counties)
- 4) with 40,000-69,999 residents (14 counties)
- 5) with 70,000-199,999 residents (18 counties)
- 6) with 200,000-499,999 residents (5 counties)
- 7) with 500,000-999,999 residents (2 counties)
- 8) with 1,000,000-1,499,999 residents (1 county)
- 9) with 1,500,000 or more residents (1 county)

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

NA

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

Yes No

6. Were all sampled areas visited by canvassing teams?

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

a. Was the subset of areas randomly chosen?

Yes No

b. Describe how the subsample of visited areas was drawn. Include the number of

areas sampled and the number of areas canvassed.

7. Were field observers provided with a detailed map of the canvassing areas?

Yes No

If No, describe the canvassing instructions given to the field observers.

8. Were field observers instructed to find all outlets in the assigned area?

Yes No

If No, respond to Question 9.

If Yes, describe any instructions given to the field observers to ensure the entire area was canvassed, then go to Question 10.

9. If a full canvassing was not conducted:

- a. **How many predetermined outlets were to be observed in each area?** Varied upon each area. See attached FFY2017 Synar Coverage Study Information by Stratum
- b. **What were the starting points for each area?** Specific starting point (i.e., street name) was provided for each area
- c. **Were these starting points randomly chosen?**
 Yes No
- d. **Describe the selection of the starting points.**

Varied upon location. Starting point locations were determined by the amount of retailers in a given area to obtain the most accurate list.

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

Under the Substance Abuse Prevention and Treatment Block Grant requirement, states must conduct annual, unannounced, random inspections of tobacco retailers to determine the compliance rate with laws prohibiting the sale of tobacco products to persons under the age of 18. These Synar surveys involve choosing a random sample of tobacco retail outlets from a well-maintained master tobacco retailer list. Every three years, each state is also required to check the coverage and accuracy of that master list by conducting a coverage study as close as possible to the time of the Synar survey.

“Coverage” indicates how completely the list contains all of the eligible outlets in the state for the Synar survey. The coverage rate is the percentage of all eligible outlets in the state that actually appear on the master list (list frame). The

Substance Abuse and Mental Health Services Administration (SAMHSA) recommendation is for a ninety (90) percent coverage rate; however, the actual mandate is for eighty (80) percent coverage. The study will also provide an additional means of checking address accuracy and outlet eligibility, beyond the various methods used to clean the list regularly.

This document provides the requirements for the methods and procedures for conducting the Michigan Tobacco Retailer Coverage Study Activity. The Michigan Department of Health and Human Services (MDHHS), Office of Recovery Oriented Systems of Care (OROSC), formerly MDCH/OROSC, coverage study design required approval from the Center for Substance Abuse Prevention (CSAP). Therefore, **variance from these procedures is not permitted.**

OROSC will:

- Select geographic areas to be sampled.
- Coordinate the participation of the involved coordinating agencies.
- Provide protocol and necessary training/technical assistance to selected coordinating agencies.
- Provide specific starting points and boundaries, with mapped routes, guidance, and designated number of tobacco retailers. OROSC will also provide backup protocol in case the internet maps prove to be in error. (Note: Predetermined routes will be used to provide consistency.)
- Allocate a stipend, contingent upon availability of funds, for each located tobacco retailer, up to the designated number in a contract amendment.
- Distribute and collect necessary canvassing forms.
- Determine coverage rate.
- Update master tobacco retailer list (list frame).
- Report the results to SAMHSA by December 9, 2016.

Prepaid Inpatient Health Plans guidance:

- Be responsible for the completion of the coverage study activities within their regions by August 29 – September 17, 2016.
- Provide two-person “field worker” teams (minimum two adults over age 21).
- Train, schedule, and supervise the teams in purpose, protocol, routes, and use of canvassing forms.
- Collect canvassing forms: review for completeness, legibility, and necessary signatures.
- On or before October 7, 2016, Submit canvassing forms and contact information of canvassing team membership via e-mail to:
MDHHS-BHDDA-Contracts-MGMT@michigan.gov
ALSO cc: Foxallc@michigan.gov

Canvassing Teams guidance:

- Understand that:

The purpose of the coverage study is to determine the quality of the Michigan tobacco Master Retailer List (MRL).

In no way is the existing MRL or retailers' history to be utilized or considered.

These teams will physically canvass all retailers until they have found and recorded exactly the designated number of those selling tobacco products, regardless of the number of unvisited retailers and tobacco retailers remaining within the community. Stop when quota is reached.

In some cases, additional communities are listed besides the original selection. This is done to provide an additional location to canvass in case the first selection does not hold enough tobacco retailers to net the desired canvassing total within that county.

- Review protocol; ensure understanding of task and responsibilities.
- Acquire maps, routes, and canvassing forms from the PIHP.
- Demonstrate professional etiquette. Understandably, it is expected that canvassers will conduct themselves professionally in a way that reflects well on the PIHP and OROSC. Provide an explanation of the study's purpose utilizing the language in the first paragraph of this document. Thank merchants for their cooperation.
- Go to the designated starting point in the assigned city/township/village and conduct the coverage study.

Utilize the provided map and route to locate all retail businesses and physically enter in the order that they are encountered. CSAP recommends canvassing the entire selected area. Teams may stop when they have reached the quota; however, it is recommended that the Designated Youth Tobacco Use Representatives canvass the entire selected area and submit a complete list. If this cannot be done, please provide an explanation with the report for OROSC records.

Make no assumption regarding whether a particular business or a type of business does or does not sell tobacco products – all businesses must be entered and assessed for tobacco sales.

Make exceptions to physical entry/visitation only if: 1) exterior signage clearly prohibits entry to the establishment by persons under 18 years of age, or 2) the location is determined to be dangerous to the canvassers' safety. Do not canvass beyond boundaries given. At no time, canvass beyond the county limits.

Notify the PIHP Prevention Coordinator or designee if the mapped route is in obvious error upon arrival at the starting point. If the team is in a commercial area, secure permission to use the following backup protocol:

At the primary intersection, start in any single direction on one side of the street. Continue on that side for five (5) blocks until all retail establishments have been visited within that area. Cross the street and work the way back on the opposite side to the primary intersection starting point.

If additional tobacco retailer recordings are needed, this protocol is to be used **ONLY** if the provided primary mapping proves inadequate and **ONLY** after being granted permission from the PIHP designee. Stay within the boundaries indicated on the provided map, and check establishments while proceeding either:

Five (5) blocks forward on the same street.

Turn one block to the right or left, and then continue parallel to the first checked street and repeat the process above.

- Complete the provided form.

Legibly record only tobacco retailers that are accessible to persons under 18 years of age. Do not record visited sites that do not sell tobacco products or are not accessible by youth.

Include complete data for the contact information: name of store, street number, street name, city, zip code, area code, and phone number. If owner information is available, please add that to back of the form along with the name of store listed on the front. Include their email information if available.

Complete the rest of form as directed by column headings.

Both canvassers must sign and date each page of the form.

Check the form for completeness, legibility, and signatures.

- Return the form to the PIHP by October 7, 2016.

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

Determine by sight and/or questions regarding "tobacco products" and no sign on outside of building notify that patrons to be 18 years or older to enter.

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: address, business name, telephone number equals a match

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