

ANNUAL SYNAR REPORT

42 U.S.C. 300x-26

OMB № 0930-0222

FFY 2015

State: **Michigan**

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Public Burden Statement: 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. Public reporting burden for this collection of information is estimated to average 18 hours per respondent, per year, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to SAMHSA Reports Clearance Officer, 1 Choke Cherry Road, Room 2-1057, Rockville, Maryland, 20857.

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 2014 Compliance Progress) and future plans to ensure compliance with the Synar requirements to reduce youth tobacco access rates (FFY 2015 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, 2014 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 2015 Synar Survey Results: States that use the Synar Survey Estimation System (SSES) must upload one copy of SSES Tables 1–5 (in Excel) to WebBGAS. States that do not use SSES must upload one copy of ASR Forms 1, 4, and 5, and Forms 2 and 3, if applicable, (in Excel) to WebBGAS.
- Synar Inspection Form: States must upload one blank copy of the inspection form used to record the result of each Synar inspection.
- Synar Inspection Protocol: States must upload a copy of the protocol used to train inspection teams on conducting and reporting the results of the Synar inspections.

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

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

Grants Management Officer
Division of Grants Management
Office of Financial Resources
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 2015: 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 2015 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 2015 is up-to-date and approved by the Center for Substance Abuse Prevention.	
State: Michigan	
Name of Chief Executive Officer or Designee: Lynda Zeller	
Signature of CEO or Designee:	
Michigan Single State Authority for Substance Abuse Deputy Director, Behavioral Health and Developmental Disabilities Administration, Michigan Department of	
Title: Community Health	Date Signed:
If signed by a designee, a copy of the designation must be attached.	

SECTION I: FFY 2014 (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 state law that impact the following?

Licensing of tobacco vendors Yes No

Penalties for sales to minors Yes No

Vending machines 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 2015 ASR was posted to this Web address.)* Draft ASR posted on December ?, 2014, on http://www.michigan.gov/mdch/0,4612,7-132-2941_4871_4882--,00.html

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 Community Health (MDCH) 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:

MDCH/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).

MDCH/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) The Tobacco Section advocates for systems collaboration through the Tobacco Free Michigan (TFM) Coalition and staff shares information; OROSC works through the Youth Access To Tobacco Workgroup to develop and execute the deliverable terms of a Tobacco Strategic Plan; 2) OROSC secured a second 3-year contract covering August 2014-August 2017 for \$3,934,758 for which Tobacco Section conducts Advertising and Labeling inspections and Prevention Michigan (a.k.a. Prevention Network) will perform Undercover Buys; 3) Both OROSC and the Tobacco Section serve on the Michigan Tobacco Tax Enforcement Workgroup which collaboratively engages the State Police, Treasury Dept., Attorney General's office and other state departments concerned with tobacco issues.

d. 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)).

MDCH Office of Recovery Oriented Systems of Care

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

Yes No

f. 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.)* _____

g. 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 2014 (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 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	308	308
Number of <u>finest assessed</u>	n/a	26	26
Number of <u>permits/licenses suspended</u>	n/a		
Number of <u>permits/licenses revoked</u>	n/a		
Other (<i>Please describe.</i>)		468	468

- c. 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.
- d. 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
- e. What additional activities are conducted in your state to support enforcement and compliance with state youth 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.*) Categorically, during FY 2014, all 16 Coordinating Agencies were engaged in Synar awareness, education and enforcement as published in their respective annual Youth Access to Tobacco Activity Report. As per ighlights are repeated below.

Briefly describe all checked activities:

Merchant Education/Training: Designated Youth Tobacco Use Representatives (DYTUR's), CAs, coalitions, and local law enforcement provide Synar and Youth Tobacco Act (YTA) information/education to retailers. State and locally designed packets are distributed at minimum to 15% of merchants, and in some cases up to a mandate of 50%. Kits include employee training tips, sample of written employee agreements, signage, material for vendor to train employees and actual training of vendors. These kits primarily target merchants who were in violation during the previous report period, but also include those who are in high-risk circumstances (i.e. lack of local community coalition presence, level of law enforcement activity in the community, lack of recent YTA vendor education, and new vendor status). The Michigan Youth Access to Tobacco Workgroup (YATTW) has developed a PowerPoint and retailer education toolkit that is available online for merchants and their employees. A certification exam is being developed to reinforce this process. "Read the Red" card has been provided in several counties. This tool helps vendors/clerks identify valid Michigan licenses for those of legal age to purchase tobacco products.

Incentives for merchants in compliance: Merchants who passed Synar and non-Synar checks are given letters of praise or certificates. In some instances, there are press releases, public luncheons, or award ceremonies. Initiated the Good Partner Campaign by issuing letters of recognition and window clings to compliant retailers.

Community education regarding youth access: This takes the form of press releases, speaking engagements, coalition activities, and work with schools. Many groups are targeted for community education on an as needed or request basis including: civic organizations, mass media representatives, local retailer associations, parent-teacher associations, coalitions and city commissions. Outreach projects were conducted at Middle Schools and High Schools for Kick Butts Day.

Media Publication of Results: Some types of media are newspapers, television, radio, websites, newsletters, and press releases. Through the YATTW a partnership has been formed with the Associated Food & Petroleum Dealers (AFPD) permitting the publication of articles dealing with youth access to tobacco legal and health issues. Special announcements can also be made through AFPD's e-blast communication system which has a membership of over 5,000 establishments.

Community Mobilization: Regionally, a variety of community mobilization activities have been customized to address youth alcohol and tobacco access. Strategies include: Increased support from law enforcement to begin issuing citations to vendors who sell; outreach to merchants who demonstrated a strong commitment to the community to work on tobacco use reduction coalitions; training a group of teens to be facilitators of Teens Talking Truth (T3), a group that meets from September through May to develop a program that highlights the dangers of drug use and issues specifically related to tobacco; provision of report forms to community members so they can report vendors suspected of selling to minors as businesses to be targeted in future compliance checks; collaborating with community partners such as the American Lung Association, district health departments, school health personnel, American Cancer Society, and Teens Against

Tobacco Use to further DYTUR goals (esp. in rural counties that do not have coalitions); and provide register magnets that remind clerks to check identification.

Other unique activities: Collaboration with Arab-American leaders focused on a hookah forum for community members; trained numerous youth in "If You Buy You Die" initiative was presented throughout the community; engaged law enforcement, when possible, to chaperone youth when they visited retailers to discuss product placement, proper checks of youth identification, and other recommendations; provided quarterly classes for clerks caught for the first time selling tobacco to minors in lieu of first fine (now offering this class to any clerk in the region who has sold); and development of training DVDs that can be used to train merchants, law enforcement, decoys, and DYTURs. Letters of support for the YTA, from Prosecuting Attorneys in 30 counties was garnered with either signed letters (26) or verbal support.

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:

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 2014 (see 42 U.S.C. 300x-26 and 45 C.F.R. 96.130).

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

Yes No

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

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

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

Yes No

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

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

Unweighted RVR _____

Weighted RVR _____

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

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

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

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 frame coverage study: 2013

b. Percent coverage from the latest frame coverage study: 85.5%

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: 2016

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 02/24/14 to 03/16/14
MM/DD/YY MM/DD/YY

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

79

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.

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b. 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 2015 (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 2015. 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.

In 2014, the statewide RVR rate was 18%. Michigan is continuing to implement the state-level Synar Strategic Plan, pooling additional funding streams to increase enforcement efforts, and aligning services to reflect a holistic approach to develop prevention-prepared communities. We will also be appending our educational efforts to an existing campaign called "Do Your Part" a multi-dimensional website that incorporates video, narrative information sheets and PowerPoint. It also has hyperlink capacity to link visitors with other videos and resources.

Synar rates have vascillated since 2011 (FY 2011) when retailer violation rate (RVR) dropped to 14.9%; it continued to decline to in FY 2012 to 10.7%; however, during FY 2013 the rate increased to 13.2% and in FY 2014 continued in an upward spiral to 18.0%. Our goal was to reduce the 2010, 18.8% to 10% by 2013. We only came close to this target during 2012.

There is anecdotal evidence that a general statewide economic decline leading to a reduction in law enforcement has emboldened merchants to take risks with underage sells and selling single cigarettes. The 2013 harsh winter increased the perception that there would be fewer inspections. More measurable statistical data shows an increase in sales among merchants who: 1) Do not verify age by checking identification; and 2) Do not post Youth Tobacco Act signage. Historically, there has also been a minimal 10% outreach the approximate 9,900 establishments on the statewide Master Retail List (MRL).

Corrective actions will include:

1. Increase mailing to all establishments on the MRL to highlight the YTA requirements, and provide birthdate signage.
2. Increase follow-up education goals from 10% to 20% for routine visits and from 25% to 50% in regions that have a chronic violation rate or higher risk factors for selling (i.e. to minority groups, close proximity to middle and high schools).
3. Return to a spring (June/July) Synar campaign to facilitate availability of youth during longer daylight hours after school and during summer vacation.

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
- Issues regarding the age balance of youth inspectors
- Issues regarding the gender balance of 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.

The challenges for the state remain the same as in previous year's reporting. These are reiterated and more strategically defined below following a new challenge regarding geographic, demographic, and logistical considerations.

GEOGRAPHIC, DEMOGRAPHIC and LOGISTICAL: Based on feedback from Coordinating Agency and Designated Youth Tobacco Use Representatives, stating that due to the severity of weather moving to a winter schedule hampered the ability to schedule youth. The re-scheduling also caused a compression of education and inspection activities which some felt further exasperated their Synar process. Anecdotally, Michigan believes that this combined with establishments perceiving a low risk for YTA law enforcement, contributed to a return to a high retailer violation rate (RVR).

PLAN: As previously stated part of a comprehensive plan will include a return to a spring (June/July) Synar campaign to facilitate availability of youth during longer daylight hours after school and during summer vacation. This should also address problems with seasonal closures for establishments in the Upper Peninsula.

A. Limited resources for law enforcement of youth access laws.

DESCRIPTION: State and local law enforcement agencies have adapted to budget cuts by reducing staff and eliminating/combining some local entities. This has forced more duties on fewer officers and has resulted in prioritizations of police focus that do not always favor tobacco enforcement. In addition, the CAs who provide monies for the law enforcement efforts have also had their budgets cut several years in a row. In some instances, particularly where the local law enforcement participates on substance abuse coalitions, the law enforcement officers have strived to match dollars. With recent department mergers more budget cuts are expected across the board in Michigan.

PLAN: 1). Increase cooperation between state agencies to share resources. Examples: Increase reporting of citations to the Liquor Control Commission (LCC) and support their follow-up efforts. Increase reporting of single sales and potential illegal tobacco practices to the Michigan State Police Tobacco Tax Team for follow up.

2). Work with assistant attorney general to institute a Promulgated Rule requiring mandatory education for retailers and cashiers. 3) Expand distribution of mandatory signage to retailers through wholesalers of tobacco, alcohol, petroleum and food items. 4) Continue to publicly recognize the job done by law enforcement and place emphasis on issue. 5) Continue to encourage local coalition and CA support of law enforcement youth access to tobacco efforts in alignment with OROSC strategic plan and action plan guidelines. 6) Continue to share LCC minor in possession violations with the DYTURs, with the assistance of Michigan Licensed Beverage Association (MLBA), to better target monies available for non-Synar checks.

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

DESCRIPTION: Regional CAs are required to do what is necessary, with the 20% prevention dollars from the SAPT Block Grant, to maintain an RVR rate below 20%. Available dollars have been reduced yearly.

PLAN: 1). Increase cooperation between state agencies to share resources and join forces. Example: Increase cooperation with Secretary of State to provide underage vertical license pamphlets; Encourage the Liquor Control Commission to provide joint alcohol/tobacco birth date signage; Pursue the possibility of a collaborative production of a Public Service Announcement series regarding vertical licenses with the Secretary of State, this will be reinforced by a written article that will appear in a trade magazine published by the Associated Food & Petroleum Dealers (AFPD) during 2015; 2) An online retailer and clerk certificated exam will be officially launched during December 2014 and promoted via a Synar mailer to approximately 9,800 merchants. This too will be reinforced via monthly e-blast messages to an AFPD membership of an estimated 5,000 vendors and the Wholesale Grocers Association. 3). Continue provision of formalized letters and certificates to CAs for distribution to merchants who comply with the YTA and Synar laws by not selling to minors. 4). Utilize a "Do Your Part" media campaign to encourage citizens to praise those retailers they see comply with the YTA, and to report/confront those who do not. 5). Continue use of YATTW PowerPoint to clarify with wholesalers and merchants what the YTA law requires in regards to mandatory signage to help stem the misinformation they provide retailers. This will include educating the target audiences that posting "We Card" signage does not fulfil the legal requirement for YTA signage.

C. Limitations in the state youth tobacco access laws.

DESCRIPTION: The YTA law lacks retailer registration, retailer licensing, mandatory merchant to clerk education, fines for non-posting of mandatory signage, and limited knowledge of the impact of Synar RVR on funding.

PLAN: Presently it is unlikely that businesses will be required to incur additional license fees. The aforementioned retailer education toolkit will therefore be more aggressively used with convenience stores, grocers, gas station chains, and the general public to emphasize health awareness of laws already in place.

D. Cultural factors.

DESCRIPTION: There are two large pockets of culturally diverse populations, Arab Americans and Hispanics. Birthdate signage in these two languages has been developed to begin addressing this outreach concern.

PLAN: The OROSC Synar printing and publishing budget has been tripled to allow reproduction of merchant packets and signage to be distributed to all establishments on the current MRL list which includes multi-cultural YTA signage for Hispanic and Arabic communities.

D2. Issues regarding sources of tobacco under tribal jurisdiction.

DESCRIPTION: Tribal youth access to tobacco data and issues are not readily shared with state. Cooperation could be improved.

PLAN: Continue to share our merchant education materials and signage with the tribes. Note: Some tribes are registered providers working with regional CAs in Michigan. Continue to build on, and sustain relationship opportunities which exist due to the SPF/SIG grants to the state of Michigan and to the tribal governments.

E. Adapting Michigan Synar to support FDA changes.

DESCRIPTION: FDA changes have impacted and have an affect on the retailers in Michigan. The federal and state youth access laws need to be synchronized and incorporated into the Synar plans for FFY2014.

PLAN: The OROSC Synar website and educational brochure have been adapted to support and reflect efforts at the federal and state levels. The theme in the brochure is that SMART (Synage, Manager Policy, Age Verification, Require Legal Compliance and Train All Employees) business people contribute to their communities by obeying youth access to tobacco laws.

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 2015). 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 2015).

- 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: 2015
(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 2015).

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: 2015 _____				
(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 2015).

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: 2015	
(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 2015).

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: 2015 _____
	(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: 2015

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. 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>CAs 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 CAs are required to update their lists of retailers locally in their regions annually. Each CA 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 CAs 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.

NA

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.) _____

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 16 coordinating agencies.

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.

$$(n_t = d n_e)$$

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 10% 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: 13.2

Frame Size: 9,870

Input for Target Sample Size:

Design Effect: 1.01

Inputs for Original Sample Size:

Safety Margin: 10%

Accuracy (Eligibility) Rate: 92.37%

Completion Rate: 97.86%

- 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 16 CAs 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 CA 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 for. Since Michigan would like to review individual CA Synar rates, it has determined that a minimum number of samples (20) should be completed for each CA. 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 CA. In order to assure that 20 outlets per CA 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 (CA'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.**

NA

APPENDIX C: SYNAR SURVEY INSPECTION PROTOCOL

State: _____
FFY: 2015 _____

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: _____)
 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): **The Synar inspections are coordinated and conducted by the regional Prepaid Inpatient Health Plans (PIHPs). This work was formerly conducted by Coordinating Agencies and their Designated Youth Tobacco Use**

Representatives (DYTURs) who serve state licensed prevention programs. There are 10 PIHP Regions as follows:

Region 1 / Northcare Network; Region 2 / Northern MI Regional Entity; Region 3 / Lakeshore Regional Entity; Region 4 / Southwest MI Behavioral Health; Region 5 / Mid-State Health Network; Region 6 / CMH Partnership of SE MI; Region 7 / Detroit-Wayne MH Authority; Region 8 / Oakland Co CMH Authority; Region 9 / Macomb Co MH Services; Region 10 / Region 10 PIHP

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
 Other Pending CSAP approval, Michigan Synar protocol is being revised to include cigars and smokeless tobacco for FFY 2016.

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

DYTURs advise youth to request cigarette products known to be popular in the community. This may vary, but is mutually agreed upon between the chaperone and the youth decoy prior to beginning the inspection.

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

OROSC provides, as part of the Synar compliance check protocol, broad guidelines on the recruitment, selection, and training of youth inspectors and adult chaperones, as well as, protocol for the procedures to conduct an actual compliance check. Specific details and resources utilized to train youth inspectors and chaperones are left to the discretion of the regional PIHPs and their DYTUR(s). Due to the varying nature and needs of Michigan's 10 regions, OROSC has not implemented a statewide training curriculum. The actual selection and training of the youth inspectors is also left to the discretion of the regional PIHP within procedural guidance. Training on this topic has been provided by OROSC to the PIHPs and the DYTURs. Additionally, videos on conducting compliance checks are available. The recent integration between substance abuse and mental health will be a prime opportunity to standardize this process moving forward into FFY 2016 and 2017.

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.)

Immunity from prosecution is prescribed in the Michigan Youth Tobacco Act if they are acting on behalf of the State of Michigan or its agent (e.g. PIHP)

b. Procedural

Yes No

(If Yes, please describe.)

There is a state prescribed protocol that must be followed by youth decoys and adult chaperones.

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

a. Legal

Yes No

(If Yes, please describe.)

b. Procedural

Yes No

(If Yes, please describe.)

The safety guidelines used by FDA inspectors is provided to PIHPs. In addition parents/guardians also must sign a permission slip/release for the youth inspector.

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.)

Youth inspectors are required to be 16 or 17 years old. Specific details and resources utilized to train youth inspectors and chaperones are left to the discretion of regional PIHPs and their DYTURs.

b. Procedural

Yes No

(If Yes, please describe.)

The actual selection and training of the youth inspectors is also left to the discretion of the regional PIHP, however, the state has issued required protocol procedures and a checklist.

APPENDIX D: LIST SAMPLING FRAME COVERAGE STUDY

(LIST FRAME ONLY)

State: Michigan
FFY: 2015

1. Calendar year of the coverage study: 2013

2. a. Unweighted percent coverage found: 85.5%
b. Weighted percent coverage found: NA%
c. Number of outlets found through canvassing: 200
d. Number of outlets matched on the list frame: 171

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

2012 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 2012 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 2012 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? See attached table

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.

Varied upon location: sometimes they were the center of town; other times they were the reasonable entrance and exit points that would afford the most coverage by routes without reversals and repeats in them.
--

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

Under the Substance Abuse Prevention and Treatment (SAPT) 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 TRML. Every three years, each state is required to check the coverage and accuracy of their TRML 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 TRML (list frame). The federal goal is for a ninety (90) percent coverage rate; with eighty (80) percent coverage

required by the Substance Abuse and Mental Health Services Administration (SAMHSA). The study will also provide an additional means of checking address accuracy and outlet eligibility, beyond the various methods used to regularly clean the list.

This document provides the requirements for the methods and procedures for conducting the Tobacco Retailer Coverage Study Activity. The BSAAS coverage study design required approval from CSAP therefore, variance from these procedures is not allowable.

BSAAS will:

- Select geographic areas to be sampled.
- Coordinate the participation of the involved CAs.
- Provide protocol and necessary training/technical assistance to selected CAs.
- Provide specific starting points and boundaries, with mapped routes, guidance, and designated number of tobacco retailers. BSAAS will also provide backup protocol in case the internet maps are proven to be in error.
- Provide each CA, for participation in the study, with \$100.00 for the required number of accessible tobacco outlets per stratum in their region.
- Distribute and collect necessary canvassing forms.
- Determine coverage rate.
- Update TRML (list frame).
- Report the results to SAMHSA within the Annual Synar Report.

CAs will:

- Be responsible for the completion of the coverage study activities within their regions.
- Provide two-person “field worker” teams (two adults over 21 or one such adult paired with one youth 15 years or older).
- 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.
- Submit canvassing forms and contact information of canvassing team members to the BSAAS Synar Coordinator, via email, by close of business on a specified September date. Mail hard copies of the forms to BSAAS Synar Coordinator, Cass Bldg. 5th Floor, 320 S. Walnut, Lansing, MI 48913, postmarked no later than the specified September date.
- Ensure that the Synar surveys are completed for each area before beginning coverage study canvassing.
- Act as fiduciary.

CANVASSING TEAMS will:

- Understand that:
 - o The purpose of the coverage study is to determine the quality of the Michigan TRML.
 - o In no way is the existing TRML or retailers' past history to be utilized or considered.
 - o 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 retailers not visited and tobacco retailers remaining within the community. Stop when teams have reached their quota.
 - o 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 tasks and responsibilities.
- Acquire maps, routes, and canvassing forms from the CA.
- Go to the designated starting point in the assigned city/township/village.
- Utilize the provided map and route, then physically enter all retail businesses in the order that they are encountered.
 - o There should be no assumption made 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.
 - o The only exceptions to physical entry/visitation include: 1) if exterior signage clearly prohibits entry to the establishment by persons under 18 years of age, or 2) if the location is determined to be dangerous to the canvassers' safety.
 - o Do not canvass beyond boundaries given. At no time canvass beyond the county limits.
 - o If the mapped route is in obvious error upon arrival at start point, notify the CA prevention coordinator and secure permission to use the following backup protocol:
 - Select the primary intersection as a starting point; move away from it in any single direction on one side of the street. Continue on that side until all retail establishments have been visited within that community. Cross the street and work the way back on that side to the starting point.
 - If additional tobacco retailer recordings are needed, check retail businesses moving one block or street in either direction, and then continue parallel to the first checked street and repeat the process above. Stay within the boundaries indicated on the provided map.
 - This protocol is to be used ONLY if the provided mapping proves inadequate and ONLY after being granted permission from the CA.
 - o Complete the provided canvassing form.

• Utilizing 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 and street name, city, zip code, area code and phone number. If owner information is available please add that to back of 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 CA by the due date requested.

o Understandably, it is expected that canvassers will professionally conduct themselves in a way that reflects well on the CA and BSAAS. Provide an explanation of your purpose utilizing the language in the first paragraph of this document. Thank them for their cooperation.

NOTE: This protocol was gleaned from feedback from the CSAP Site Visit in mid-June 2010 and CSAP provision of the resource: “Guide for a Synar Sampling Frame Coverage Study”, USHHS/SAMHSA/CSAP, January 2006

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).