

ANNUAL SYNAR REPORT

42 U.S.C. 300x-26

OMB № 0930-0222

FFY 2016

State:

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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 2015 Compliance Progress) and future plans to ensure compliance with the Synar requirements to reduce youth tobacco access rates (FFY 2016 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, 2015 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 2016 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.
- 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.

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 2016: 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 2016 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 2016 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: 11/18/2015

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

SECTION I: FFY 2015 (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 2016 ASR was posted to this Web address.)*

http://michigan.gov/mdhhs/0,5885,7-339-71550_2941_29888---,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 Health & Human Services(MDHHS)/Office of Recovery Oriented Systems of Care (OROSC) -- name changed from Michigan Department of Community Health(MDCH)/Office of Recovery Oriented Systems of Care due to merger with the Department of Human Services (DHS)during October 2014.

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 & Human Services(MDHHS)/Office of Recovery Oriented Systems of Care

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

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 2015 (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	190	190
Number of <u>finest assessed</u>	n/a	27	27
Number of <u>permits/licenses suspended</u>	n/a		0
Number of <u>permits/licenses revoked</u>	n/a		0
Other (Please describe.) Warnings Given - only 3countiess issue licenses. The owner information is based on those who have licensing authority.	10	35	45

- 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.) _____

Briefly describe all checked activities:

Merchant Education and/or Training

NOTE: The activities listed here were excerpted from regional Youth Access to Tobacco Activities Report covering October 1, 2013 through September 30, 2014. Since regions do not report until October 31st, the reports are effectively part of FY 2015.

During FY 2014, every region was required by contractual obligation to provide vendor education to at least 20% of tobacco retailers. Most regions (9) required their subcontractors to conduct vendor education to at least 25% of all merchants on their Master Retail List (MRL). Regions with retail violation rates (RVR) that exceeded 20% (4) were instructed to provide education to 50% of the merchants. The remaining three regions proactively provided education to 100% of their tobacco merchants. Those counties that provide less than 100% vendor education often do so by targeting retailers who have sold to minors in the past. Counties accomplish vendor education in-person (some use county coalition members and local youth), mailing the packets to vendors, and in group forums. Sometimes forums are inclusive of Michigan Liquor Control Commission (MLCC) and law enforcement representatives. Counties promote and review the Tobacco Retailer Kit as created by MDCH during vendor education, and several counties tailor the MDCH packets with their own information. Ingham County, in particular, provides classes each quarter for clerks caught for the first time selling tobacco to minors in lieu of first fine. In Detroit, the Black Caucus Foundation of Michigan and The Youth Connection (TYC) provide vendor education to 25% of the tobacco outlets. In Genesee County follow-up calls are made to retailers who requested additional information. The Lakeshore approach was to visit all retailers that previously received a non-compliant check, in addition to all establishments that requested a vendor education. Also, certain regions within each county were targeted for efforts and in most counties, each retailer was visited in the targeted, area prior to law enforcement compliance checks beginning in the targeted area. This might include underserved populations, minority communities known to be at risk because of concentrated industry marketing stores known to receive Food & Drug Administration warnings. Sites in the communities served by the Northern Michigan Substance Abuse Services (NMSAS) region, sites were prioritized as follows: Recent sales to youth (in the prior month's compliance checks), past sales to youth, proximity and accessibility to youth, type of business, newly identified retailers and some selected via a random selection process. Oakland County adds to this list of risk criteria lack of local community coalition presence, level of law enforcement activity in the community, lack of recent YTA vendor education, and new vendor status. Staff also trained teen volunteers on reducing youth access to tobacco/Formal Synar Compliance check protocol. Southeast Michigan outside of Wayne County redesigned vendor education materials for local distribution. Their packets included the following additional items: materials to remind retailers to check identification; pictures of "We Card" and MDCH signage on Youth Tobacco Act Vendor Education form to get detailed information regarding which sign, if any, was posted; disseminated electronic education materials (training DVD) to retail establishments and culturally linguistic vendor education to Arab speaking merchants. In some counties, the prosecutor's office contacted violators and referred them to the local DYTUR for an education visit. In other cases (i.e. Berrien County), violators were asked by Law Enforcement to attend a retailer

education forum (held 6 times during the year) conducted by DYTUR and other prevention staff.

Incentives for Merchants who are in compliance (e.g. Reward and Reminder) Counties send “thank you” letters and/or Certificates of Appreciation to vendors who do not sell. Congratulations letters may come from either the SUD County Coalition or from Law Enforcement or both. Certificates of appreciation are given to the clerks / stores that do not sell. In addition, for any retailer that is part of a larger corporation, their corporate headquarters were contacted and notified that a check was conducted and what the results were. In some counties the Drug Free Coalitions annually hold an awards breakfast and or luncheon with several retailers who receive the “Exemplary Retailer of the Year Award” for not selling alcohol and or tobacco for at least 3 years. In addition, to this award, a press release is submitted ahead of time to invite media to these events. Merchants were also asked for their suggestions on how retailer compliance to the YTA could be improved. Those who have sold receive an offer to assist with training employees in complying with YTA. Southeast Michigan (outside of Wayne CO.) initiated the Good Partner Campaign by issuing letters of recognition and window clings to compliant retailers.

Community Education regarding the YTA

Counties educate their communities in a variety of ways: newspaper articles on YTA issues; education at general community events, schools, coalition meetings, collaborative council meetings and local media interviews. Specific examples are described in more detail below. Some counties regularly attend their Chief of Police meetings to report on Tobacco and alcohol compliance efforts. In the city Detroit, youth put up signage in neighborhood community centers and lobbies of select businesses to increase community support. The Prevention Coordinator spoke to over 500 participants and parents of youth in the Wayne County program about making sure stores in their communities are not selling tobacco to minors. Reports were made at the Healthy Safe and Drug Free Community Coalition. Partnerships continued on the West side of Michigan with the Grand Rapids Police Department to conduct compliance checks together. “Read the Red” cards were distributed to retailers during the Vendor Education process. Through the media releases, community partners are asked to thank the establishments for not selling tobacco to minors and remind those who did sell that it is unacceptable in their community to sell to minors. Macomb County reported a comprehensive plan that included educational presentations on the YTA to various community groups including grass roots community prevention coalitions, at health fairs and other community events. Teens Talking Truth (T3) participated in “Kick Butts Day” by presenting “Tobacco, Show and Tell” to 60 elementary 5th and 6th graders. They encouraged youth to reject the tobacco industry’s deceptive marketing and stay tobacco-free. Tobacco education incorporates evidence-based curriculum and exit interviews with minors who get caught with drug paraphernalia or cigarettes after they participate in group education. They then decide if additional interventions to increase teens’ motivation to stop using tobacco is needed. Referrals are identified if additional counseling is needed. Another county conducted 159 early childhood prevention programs to increase perceived risk of tobacco use and negative consequences related to tobacco use. Health Fairs are also venues to display information on tobacco and to

distribute information. In three counties, DYTURs partnered with a Health Abstinence Education Program and provided tobacco use prevention and YTA education to area youth as part of the curriculum. Southeast Michigan conducted several education forums for local coalitions and their membership and submitted articles to retailer trade associations on the importance of complying youth YTA laws.

Media Use to publish compliance inspection results

Counties continue to report compliance check information and results with local media outlets. Some other types of media mentioned in other counties are newspapers, television, websites, Facebook pages, and press releases.

Community Mobilization

Through the media release we ask community partners to thank establishments for not selling tobacco to minors. Establishments that sold tobacco to minors are reminded that it is unacceptable in their community to sell to minors.

There are collaborative efforts with local and state groups to decrease the sale of tobacco products to minors and decrease youth tobacco use. Some strategies include: Synar PowerPoint presentation, collaboration with representatives from hospitals, Community Mental Health, agencies, schools, Health Departments, American Cancer Society and the American Lung Association. One area coalition held a press conference, highlighting the Tobacco Retail Project in their community. The press conference was covered by the local newspaper and shown on the local cable station. Seven coalitions also participate in Retailer Vendor Education. Though YTA issues are not primary to all groups, many have established common ground under the “Together We Can Health Initiative Health Improvement Teams” (7 county area). In Oakland County, the Alliance of Coalitions for Healthy Communities (ACHC) is a network of 15 community prevention coalitions covering 43 of the 61 cities, villages and townships (CVTs) in Oakland County. Eight counties in the Community Mental Health Authority of Clinton, Eaton and Ingham counties (CMHA/ CEI) have established several substance use disorder coalitions. Coalitions disseminate information on the potential loss of funding for prevention and treatment for failure to comply with Synar. Tobacco Vendor Education assists with creating community buy-in for the initiative. Educational articles are published in local community coalition newsletters, social media and newspapers to create awareness of the YTA and Synar. In addition, coalition members and the general public are encouraged to report a retailer selling tobacco products to minors to the DYTUR who follows up by providing education and training to employees of the establishment. Each coalition has individual objectives concerning community mobilization and activities around youth alcohol, tobacco access, availability, laws and policies. Coalitions work to involve community members, stakeholders, and local youth in compliance checks and vendor education. To that end, several articles were submitted/placed across the region by DYTURs. These included compliance check results, awareness of the Youth Tobacco Act and importance of community support for the law.

Other Activities

On a quarterly basis, some DYTUR's send an email and/or a letter to all of the corporate offices with a summary of their retailers history with tobacco checks. This history will tell them the specific locations of their establishments and if they passed or sold tobacco checks. This letter also encourages them to consistently train their employees.

As reported by DYTURS, documented YTA support gathered from the 30 regional prosecuting attorneys in FY 2014. Each year DYTURs garner local prosecutor support through a discussion and informational report card meeting emphasizing current data and potential financial loss for non-compliance. The exchange and written documentation of their support for YTA compliance and local prevention efforts are utilized throughout the year by DYTURs to confirm local support for enforcement of the YTA. In Northern Michigan, in FY 2014 DYTURs engaged youth-focused law enforcement officers when possible to direct YTA-related prevention activity toward more effective enforcement strategies that involve youth. Retailer site visits were promoted and law enforcement chaperoned youth provided retailer education regarding the placement of tobacco behind counters and ID checking and age signage. Youth group participation was utilized in retailer education and non-Synar in many instances to localize the support for YTA and promote guidelines for more secure product placement and product advertising, with Substance Abuse Free Environment (S.A.F.E.) Youth Groups in Antrim, Charlevoix and Petoskey. In an effort to increase incentives for retailers in compliance, time was spent researching model reward programs. Using some of the basic principles of these model programs, a new incentive program was developed called Reward the ID. The program strives to reward retailers and employees for checking ID and remind an employee to check ID if they fail to do so. If a store employee asks for the customer's ID, the employee instantly receives a Green Card and a reward which is currently a \$5 McDonalds gift card. If the employee does not ask for ID, a Red Reminder Card is given. By using rapid and public rewards and recognition for clerks and retailers that do not sell tobacco to minors, Reward the ID aims to reduce illegal sales of tobacco, perceived access to tobacco, and tobacco use rates. The retailer will then receive a sticker and thank you letter as another means of reward and recognition. For additional information please visit the following NREPP website on the Reward & Reminder Program.
<http://www.nrepp.samhsa.gov/ViewIntervention.aspx?id=98>

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 2015 (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 06/01/15 to 06/30/15
MM/DD/YY MM/DD/YY

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

100

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 2016 (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 2016. 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 online training site and measure 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 "Do Your Part" (DYP) campaign; Develop a concrete action plan for responding 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 sells violations.

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.

LIMITATIONS IN STATE YOUTH TOBACCO LAWS - 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; and 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 - 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. To incentivize utilization of the DYP, there will be fact sheets and valuable resource information that can be helpful in preparing reports for school.

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

- a. Identifying 3 specific issues and/or populations (What does epi 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.

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 2016). 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.

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 2016).

- 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: 2016
(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 2016).

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: 2016 _____
(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 2016).

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: 2016	
(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 2016).

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: 2016 _____
	(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: 2016

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 bevarages.</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.) _____

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 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: 18

Frame Size: 9, 161

Input for Target Sample Size:

Design Effect: 1. 01

Inputs for Original Sample Size:

Safety Margin: 10

Accuracy (Eligibility) Rate: 93. 23

Completion Rate: 99. 23

- 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

State: Michigan

FFY: 2016

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 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
 Other

- 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.

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

Prevention Coordinators and DYTURs recruit youth decoys through school counselors, SADD chapters, law enforcement Explorer programs, youth coalitions and local agency recommendations. OROSC provides instructional guidance for youth inspectors and adult supervisors. These instructional procedures are discussed at quarterly Synar meetings that engage all 10 PIHPs and their designees. The procedures are also posted on the state website. Decoy and/or chaperone training may be conducted by a state representative upon request, otherwise the trainer is the Prevention Coordinator or their DYTUR.

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 DYTUR.

APPENDIX D: LIST SAMPLING FRAME COVERAGE STUDY

(LIST FRAME ONLY)

State: Michigan
FFY: 2016

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: 100
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? Varied upon each area

b. What were the starting points for each area? _____

c. Were these starting points randomly chosen?

Yes No

d. Describe the selection of the starting points.

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. Again we note that the last coverage study was conducted when the Single State Authority (SSA) was called MDCH/BSAAS. The name was subsequently changed to MDHHS/OROSC. For clarity, the agency name OROSC will be used when referring to the SSA and CA will be replaced with PIHP.

OROSC will:

- Select geographic areas to be sampled.
- Coordinate the participation of the involved PIHPs.
- Provide protocol and necessary training/technical assistance to selected PIHPs.
- 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 are proven to be in error.
- Provide each PIHP, 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.

PIHPs 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 OROSC Synar Coordinator, via email, by close of business on a specified September date. Mail hard copies of the forms to OROSC 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 PIHP.

- 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 PIHP 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 PIHP.

- 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 PIHP by the due date requested.
- o Understandably, it is expected that canvassers will professionally conduct themselves in a way that reflects well on the PIHP and OROSC. 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).