

ANNUAL SYNAR REPORT

42 U.S.C. 300x-26

OMB № 0930-0222

FFY 2012

State: OREGON

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INTRODUCTION

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

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

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

How the Synar report helps the Center for Substance Abuse Prevention

In accordance with the tobacco regulations, States are required to provide detailed information on progress made in enforcing youth tobacco access laws (FFY 2011 Compliance Progress) and future plans to ensure compliance with the Synar requirements to reduce youth tobacco access rates (FFY 2012 Intended Use Plan). These data are required by 42 U.S.C. 300x-26 and will be used by the Secretary to evaluate State compliance with the statute. Part of the mission of the Center for Substance Abuse Prevention (CSAP) is to assist States¹ by supporting Synar activities and providing technical assistance helpful in determining the type of enforcement measures and control strategies that are most effective. This information is helpful to CSAP in improving technical assistance resources and expertise on enforcement efforts and tobacco control program support activities, including State Synar Program support services, through an enhanced technical assistance program involving conferences and workshops, development of training materials and guidance documents, and onsite technical assistance consultation.

How the Synar report can help States

The information gathered for the Synar report can help States describe and analyze substate needs for program enhancements. These data can also be used to report to the State legislature and other State and local organizations on progress made to date in enforcing youth tobacco access laws when aggregated statistical data from State Synar reports can demonstrate to the Secretary the national progress in reducing youth tobacco access problems. This information will also provide Congress with a better understanding of State progress in implementing Synar, including State difficulties and successes in enforcing retailer compliance with youth tobacco access laws.

¹The term "State" is used to refer to all the States and territories required to comply with Synar as part of the Substance Abuse Prevention and Treatment Block Grant Program requirements (42 U.S.C. 300x-64 and 45 C.F.R. 96.121).

Getting assistance in completing the Synar report

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

Where and when to submit the Synar report

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

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

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

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

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

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

Regular Mail:

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

Overnight Mail:

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

FFY 2012: FUNDING AGREEMENTS/CERTIFICATIONS

The following form must be signed by the Chief Executive Officer or an authorized designee and submitted with this application. Documentation authorizing a designee must be attached to the application.

PUBLIC HEALTH SERVICES ACT AND SYNAR AMENDMENT

42 U.S.C. 300x-26 requires each State to submit an annual report of its progress in meeting the requirements of the Synar Amendment and its implementing regulation (45 C.F.R. 96.130) to the Secretary of the Department of Health and Human Services. By signing below, the chief executive officer (or an authorized designee) of the applicant organization certifies that the State has complied with these reporting requirements and the certifications as set forth below.

SYNAR SURVEY SAMPLING METHODOLOGY

The State certifies that the Synar survey sampling methodology on file with the Center for Substance Abuse Prevention and submitted with the Annual Synar Report for FFY 2012 is up-to-date and approved by the Center for Substance Abuse Prevention.

SYNAR SURVEY INSPECTION PROTOCOL

The State certifies that the Synar Survey Inspection Protocol on file with the Center for Substance Abuse Prevention and submitted with the Annual Synar Report for FFY 2012 is up-to-date and approved by the Center for Substance Abuse Prevention.

State: OREGON

Name of Chief Executive Officer or Designee: Richard L. Harris

Signature of CEO or Designee:

Title: Director

Date Signed:

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

SECTION I: FFY 2011 (Compliance Progress)

YOUTH ACCESS LAWS, ACTIVITIES, AND ENFORCEMENT

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

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

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

Yes No

If Yes, current minimum age: 19 20 21

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

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

- Changed to require that law enforcement conduct inspections of tobacco outlets
- Changed to make it illegal for youth to possess, purchase or receive tobacco
- Changed to require ID to purchase tobacco
- Other change(s) *(Please describe.)* _____

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

Yes No

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

- Total ban enacted
- Banned from location(s) accessible to youth
- Locking device or supervision required
- Other change(s) *(Please describe.)* _____

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

Licensing of tobacco vendors Yes No

Penalties for sales to minors Yes No

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

Placed on file for public review

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

<http://www.oregon.gov/OHA/AMH/data/2012/2012ASR-Report.pdf>

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

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:

Oregon Health Authority - Addictions & Mental Health Division (AMH)

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

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

Oregon Health Authority - Addictions & Mental Health Division (AMH)

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):

State Police, County, and local law enforcement enforce youth tobacco access laws.

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

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

Oregon Health Authority - Public Health Division

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

Yes No

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

- Are the same
- Have a formal written memorandum of agreement
- Have an informal partnership
- Conduct joint planning activities
- Combine resources
- Have other collaborative arrangement(s) (Please describe.) Working together on the issue of tobacco licensure and potential FDA enforcement contract, as well as joint strategy meetings on the emergence of Hookah Lounges in Oregon. In

addition, both agencies have members who attend the Tobacco Free Coalition of Oregon (TOFCO) monthly meetings to share information and strategize on tobacco control issues in the state. OHA Public Health Division provides AMH funding to do a limited number of tobacco retailer inspections each biennium

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

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

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

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

PENALTY	OWNERS	CLERKS	TOTAL
Number of <u>citations issued</u>	UNK	UNK	17
Number of <u>fines assessed</u>	UNK	UNK	17
Number of <u>permits/licenses suspended</u>	NA		
Number of <u>permits/licenses revoked</u>	NA		
Other (Please describe.)			

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

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

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

- Yes
- No

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

- Merchant education and/or training
- Incentives for merchants who are in compliance (e.g., nonenforcement compliance checks in which compliant retailers are given positive reinforcement and noncompliant retailers are warned about youth access laws)
- Community education regarding youth access laws
- Media use to publicize compliance inspection results
- Community mobilization to increase support for retailer compliance with youth access laws
- Other activities (*Please list.*) Local enforcement of tobacco access ordinances.

Briefly describe all checked activities:

Merchant education and/or training: AMH continues to make merchant education materials available to both local tobacco retailers and to county tobacco prevention coordinators. A number of counties requested multiple copies of the merchant packets over the past year to do targeted education with both compliant and non-compliant retailers. Packets include information about Oregon laws related to youth access and sales of tobacco to minors, as well as store signage and clerk training materials. Merchant education packets continue to be available, free of charge, to retailers and tobacco prevention coalitions on the AMH website at: <http://www.oregon.gov/OHA/addiction/docs/merchant-materials.pdf>. In addition, materials from the FDA "Break the Chain" education program have also been made available to retailers as part of the merchant education program and during retailer education training workshops.

Incentives for merchants who are in compliance: In addition to statewide activities around retailer compliance, some local prevention coalitions conduct reward and reminder visits at local retail outlets. Unfortunately, there is no organized network to track and report local findings on these activities. However, in all cases, clerks and/or stores are rewarded for refusing the sale of tobacco to minors. These are a variety of rewards, ranging from cash awards and restaurant & movie vouchers, to "Thank You" certificates for stores whose clerks refuse to sell to minors.

Media use to publicize compliance inspection results: The media is used by both AMH and local community coalition groups to publicize compliance inspection results. At the state level, annual results of compliance inspection are reported through press releases. In addition, many coalitions utilize local media outlets to publicize their Reward & Reminder visit results, as well as the results from Synar Inspections in their area.

Local enforcement of tobacco access ordinances. A number of cities and counties in the state have tobacco retail licensure ordinances that are administered and enforced by local city/county officials and law enforcement. Unfortunately, there is no statewide monitoring of enforcement efforts in these local jurisdictions, so it is unclear what the extent of actual enforcement is. The Synar coordinator is currently working with the Oregon Association of Chiefs of Police to put together a tracking system so that better information may be provided in the future.

- 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:

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

To date, Oregon does not have a contract with the Food and Drug Administration to fund tobacco retailer enforcement. A committee of interested agencies, including the Attorney General's Office, OHA-Public Health, OHA-AMH, Dept. of Revenue and the Oregon Liquor Control Commission has determined that the Oregon Liquor Control Commission (OLCC) best fits the FDA criteria to oversee the enforcement contract for the state. Unfortunately, OLCC currently has no authority to enforce laws related to tobacco. Legislation will be considered during the February 2012 session to provide that authority for OLCC. However, alternate plans are also being discussed so that Oregon is prepared to move forward with contract negotiations with FDA. Regardless of where the FDA contract is eventually housed, there has been a commitment among all parties that the FDA enforcement contract and the Synar activities will be closely aligned and coordinated.

SYNAR SURVEY METHODS AND RESULTS

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

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

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

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

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

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

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

Unweighted RVR _____

Weighted RVR _____

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

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

$$\underline{\hspace{2cm}} \quad + \quad (1.645 \quad \times \quad \underline{\hspace{2cm}}) \quad = \quad \underline{\hspace{2cm}}$$

RVR Estimate plus (1.645 times **Standard Error**) equals **Right Limit**

Accuracy rate _____

Completion rate _____

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

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

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

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

e. **If stratification was used, did any strata in the sample contain only one outlet or cluster this year?** Yes No No stratification

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

f. **Was a cluster sample design used?** Yes No

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

If No, go to Question 7g.

Were any certainty primary sampling units selected this year? Yes No

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

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

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

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

8. Did the State’s Synar survey use a list frame? **Yes** **No**

If Yes, answer the following questions about its coverage.

a. The calendar year of the latest frame coverage study: 2011

b. Percent coverage from the latest frame coverage study: 74.90%

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: 2012

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 06/17/2011 to 08/23/2011
MM/DD/YY MM/DD/YY

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

11

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.

No difference

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

SECTION II: FFY 2012 (Intended Use):

Public law 42 U.S.C. 300x-26 of the Public Health Service Act and 45 C.F.R. 96.130 (e) (4, 5) require that the States provide information on future plans to ensure compliance with the Synar requirements to reduce youth tobacco access.

1. In the upcoming year, does the State anticipate any changes in:

- Synar sampling methodology Yes No
Synar inspection protocol Yes No

If changes are made in either the Synar sampling methodology or the Synar inspection protocol, the State is required to obtain approval from CSAP prior to implementation of the change and file an updated Synar Survey Sampling Methodology (Appendix B) or an updated Synar Survey Inspection Protocol (Appendix C), as appropriate.

2. Please describe the State's plans to maintain and/or reduce the target rate for Synar inspections to be completed in FFY 2012. Include a brief description of plans for law enforcement efforts to enforce youth tobacco access laws, activities that support law enforcement efforts to enforce youth tobacco access laws, and any anticipated changes in youth tobacco access legislation or regulation in the State.

AMH plans to update and reprint all merchant education materials and have them sent to all known tobacco retailers in the state during FFY 2012. In addition, the Synar Coordinator will work with local tobacco coordinators to provide retailer training on tobacco access and sales to minors, as requested.

The Synar List Frame will continue to be updated in a number of ways. These include sharing retailer lists with the Department of Revenue and the Attorney General's Office and obtaining updated tobacco retailer lists from local jurisdictions with tobacco retailer licensing. In addition, a new coverage study will be conducted to further refine our list of tobacco retailers in the state.

AMH is currently finalizing a statement of work with the Oregon Association of Chiefs of Police (OACP) to provide local law enforcement with grant funding for ongoing tobacco retailer inspections across the state. While not all jurisdictions are interested in providing retailer inspections, a number of them have shown strong interest in utilizing these funds to enforce local tobacco access laws. The grants will be provided through funding received by AMH from the Public Health Division allocation of the state tobacco tax.

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

- Limited resources for law enforcement of youth access laws
 Limited resources for activities to support enforcement and compliance with youth tobacco access laws
 Limitations in the State youth tobacco access laws
 Limited public support for enforcement of youth tobacco access laws
 Limitations on completeness/accuracy of list of tobacco outlets
 Limited expertise in survey methodology

- Laws/regulations limiting the use of minors in tobacco inspections
- Difficulties recruiting youth inspectors
- Geographic, demographic, and logistical considerations in conducting inspections
- Cultural factors (e.g., language barriers, young people purchasing for their elders)
- Issues regarding sources of tobacco under tribal jurisdiction
- Other challenges (*Please list.*) _____

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

Limited resources for law enforcement of youth access laws: While the SAPT Block Grant allows states to utilize funding to complete the requirements of the Synar Survey, the state has limited funding to provide additional enforcement of tobacco access laws on a statewide level. In addition, many of the jurisdictions that have local tobacco licensure ordinances have faced severe budget cuts and do not have the funding needed to fully enforce those ordinances. AMH has started receiving funding from the Public Health Division to provide a limited number of retailer inspections, which will be contracted out to the Oregon Association of Chief's of Police and a grant program made available to local law enforcement agencies.

Limitations on completeness/accuracy of list of tobacco outlets: Oregon does not require a tobacco retailer license to sell tobacco, and therefore a comprehensive list of tobacco retailers is not available. AMH works with the Department of Revenue and the Department of Justice to update and maintain its master list frame of tobacco retailers as accurately as possible. Accuracy and completeness of the list frame is validated in some parts of the state through county prevention staff, local tobacco prevention coalitions, records obtained through the Attorney General's Office, and by Synar Inspection Staff as they conduct retailer inspections. In addition, AMH will be conducting another coverage study during 2012 to assess the accuracy of our list frame. Prior to verification of retail outlets through the coverage study, the Synar Coordinator will update the list frame using updated lists from jurisdictions with tobacco retail licensure, as well as using lists obtained from internet searches of stores in major Oregon cities. After the coverage study has been completed, updated county lists will be sent to all county prevention coordinators for additional verification and correction.

Laws/regulations limiting the use of minors in tobacco inspections: Child labor laws limit working hours for 15-year-old youth inspectors. When school is in session, the limits include: three hours per day, eight hours on non-school days, and 18 hours per week maximum; only working between 7:00 am and 7:00 pm; and work is not allowed during school hours. While this does not cause a large problem on the Western side of the state, Eastern Oregon has far fewer retail outlets with long distances between many of the populated areas. This limits the number of inspections that can be done by 15-year-olds in the more remote areas of the state. Inspections during this reporting period took place entirely during the summer. This alleviated the issue during the Synar inspections, but future inspections, including enforcement inspections, could still be a problem. AMH intends to continue the Synar Inspections during the summer, which will lessen the problem with child labor laws.

Difficulty recruiting youth inspectors: Recruiting minority youth in selected, particularly non-urban, areas of the state continues to be difficult due to the limited number of minority youth in these communities. The Synar Coordinator will continue

to work with county and tribal prevention coordinators, as well as county tobacco prevention coordinators, to recruit additional minority youth inspectors. This will help ease the burden of the restrictive child labor laws as they relate to our 15-year-old youth inspectors.

Geographic, demographic and logistical considerations: Eastern Oregon is a very Frontier/Rural part of the state, and these areas continue to present difficulty for inspectors. Driving times between towns and inspections can be long, which adds to the length of time per inspected outlet and ultimately the cost of inspection. This continues to be an issue for the state. The Synar Coordinator will work with our existing adult inspectors to recruit additional inspectors across the state who can provide more localized inspections and lessen the need for as many long travel distances for each inspector.

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)

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

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.)

FORM 4 (Required for all States not using the Synar Survey Estimation System [SSES] to analyze the Synar Survey data)

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

SSES Table 1 (Synar Survey Estimates and Sample Sizes)

CSAP-SYNAR REPORT

State	OREGON
Federal Fiscal Year (FFY)	2012
Date	11/17/2011 13:22
Data	SSES_DATA_1112.xls
Analysis Option	Stratified SRS with FPC

Estimates

Unweighted Retailer Violation Rate	17.9%
Weighted Retailer Violation Rate	17.9%
Standard Error	1.4%
Is SAMHSA Precision Requirement met?	YES
Right-sided 95% Confidence Interval	[0.0%, 20.2%]
Two-sided 95% Confidence Interval	[15.2%, 20.6%]
Design Effect	1.0
Accuracy Rate (unweighted)	80.6%
Accuracy Rate (weighted)	80.6%
Completion Rate (unweighted)	100.0%

Sample Size for Current Year

Effective Sample Size	407
Target (Minimum) Sample Size	407
Original Sample Size	721
Eligible Sample Size	581
Final Sample Size	581
Overall Sampling Rate	23.4%

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

STATE: OREGON
FFY: 2012

Samp. Stratum	Var. Stratum	Outlet Frame Size	Estimated Outlet Population Size	Number of PSU Clusters Created	Number of PSU Clusters in Sample	Outlet Sample Size	Number of Eligible Outlets in Sample	Number of Sample Outlets Inspected	Number of Sample Outlets in Violation	Retailer Violation Rate(%)	Standard Error(%)
All Outlets											
1	1	3,085	2,486	N/A	N/A	721	581	581	104	17.9%	
Total		3,085	2,486			721	581	581	104	17.9%	1.4%
Over the Counter Outlets											
1	1	3,085	2,486	N/A	N/A	721	581	581	104	17.9%	
Total		3,085	2,486			721	581	581	104	17.9%	1.4%
Vending Machines											
1	1	0	0	N/A	N/A	0	0	0	0	0.0%	
Total		0	0			0	0	0	0	0.0%	0.0%

SSES Table 3 (Synar Survey Sample Tally Summary)

STATE: OREGON
FFY: 2012

Disposition Code	Description	Count	Subtotal
EC	Eligible and inspection complete outlet	581	
Total (Eligible Completes)			581
N1	In operation but closed at time of visit	0	
N2	Unsafe to access	0	
N3	Presence of police	0	
N4	Youth inspector knows salesperson	0	
N5	Moved to new location but not inspected	0	
N6	Drive thru only/youth inspector has no drivers license	0	
N7	Tobacco out of stock	0	
N8	Run out of time	0	
N9	Other noncompletion	0	
Total (Eligible Noncompletes)			0
I1	Out of Business	67	
I2	Does not sell tobacco products	54	
I3	Inaccessible by youth	3	
I4	Private club or private residence	0	
I5	Temporary closure	1	
I6	Unlocatable	9	
I7	Wholesale only/Carton sale only	2	
I8	Vending machine broken	0	
I9	Duplicate	4	
I10	Other ineligibility	0	
Total (Ineligibles)			140
Grand Total			721

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

STATE:
OREGON
FFY: 2012

Frequency Distribution

Gender	Age	Number of Inspectors	Attempted Buys	Successful Buys
Male	14	0	0	0
	15	2	162	23
	16	3	153	23
	17	0	0	0
	18	0	0	0
	Subtotal		5	315
Female	14	0	0	0
	15	2	64	6
	16	4	202	52
	17	0	0	0
	18	0	0	0
	Subtotal		6	266
Other		0	0	0
Grand Total		11	581	104

Buy Rate in Percent by Age and Gender

Age	Male	Female	Total
14	0.0%	0.0%	0.0%
15	14.2%	9.4%	12.8%
16	15.0%	25.7%	21.1%
17	0.0%	0.0%	0.0%
18	0.0%	0.0%	0.0%
Other			0.0%
Total	14.6%	21.8%	17.9%

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: Oregon
 FFY: 2012

1. What type of sampling frame is used?

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

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

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

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

Name of Frame Source	Type of Source	Description	Updating Method and Cycle
Oregon Department of Revenue (DOR)	6	The Department of Revenue develops and maintains a list of tobacco retailers for collecting tobacco sales tax. DHS removes outlets inaccessible to youth.	The list is updated and validated for accuracy and completeness by working with county prevention staff and local tobacco prevention coalitions.

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

Not applicable.

- a. Is any area left out in the formation of the area frame?** Yes No

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

4. Federal regulation requires that vending machines be inspected as part of the Synar survey. Are vending machines included in the Synar survey? Yes No

If No, please indicate the reason they are not included in the Synar survey.

- State law bans vending machines.
- State law bans vending machines from locations accessible to youth.
- State has SAMHSA approval to exempt vending machines from the survey.
- Other (*Please describe.*) _____

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

Census (STOP HERE: Appendix B is complete.)

Unstratified statewide sample:

Simple random sample (Go to Question 9.)

Systematic random sample (Go to Question 6.)

Single-stage cluster sample (Go to Question 8.)

Multistage cluster sample (Go to Question 8.)

Stratified sample:

Simple random sample (Go to Question 7.)

Systematic random sample (Go to Question 6.)

Single-stage cluster sample (Go to Question 7.)

Multistage cluster sample (Go to Question 7.)

Other (Please describe and go to Question 9.) _____

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

7. Provide the following information about stratification.

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

b. Is clustering used within the stratified sample?

Yes (Go to Question 8.)

No (Go to Question 9.)

8. Provide the following information about clustering.

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

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

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

Oregon employs statewide simple random sampling (SRS). The effective sample size (n) is determined using the following formula:

$$n_e = 1 / ((se)^2 / \hat{p}\hat{q} + 1 / N)$$

Where n_e is the effective sample size, se is the standard error, \hat{p} is the non-compliance rate, $\hat{q} = 1 - \hat{p}$ and N is the population of outlets. This formula permits for FPC factor and the se is determined to meet the margin of error requirement (3%) for the one-sided 95% confidence interval, that is $se = 0.0182$.

The target sample size is the same as the effective sample size since the design effect for SRS is one ($n_t = n_e$). The original sample size (n_o) is determined by,

$$n_o = (1 + r_s) \left(\frac{n_t}{r_c r_e} \right)$$

where r_s = the safety margin (50%) used to counter sample attrition effects, and r_c and r_e are the completion and eligibility rates respectively, estimated from the previous year's survey. The violation rate from the previous year's survey will be used in determining the sample size.

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

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

Inputs for Effective Sample Size:

RVR: 19.30%

Frame Size: 3,085

Input for Target Sample Size:

Design Effect: 1.0

Inputs for Original Sample Size:

Safety Margin: 50%

Accuracy (Eligibility) Rate: 85.10%

Completion Rate: 99.50%

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

Not applicable.

APPENDIX C: SYNAR SURVEY INSPECTION PROTOCOL

State: Oregon

FFY: 2012

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

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

a. Consummated buy attempts?

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

b. Youth inspectors to carry ID?

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

c. Adult inspectors to enter the outlet?

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

d. Youth inspectors to be compensated?

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

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

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

List the agency name(s): Oregon Health Authority, Addictions & Mental Health Division.

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

- Always Usually Sometimes Rarely Never

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

OHA-AMH conducts the random and unannounced Synar inspections. OHA-AMH recruits and trains adult inspectors who, in turn, recruit and train youth inspectors.

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

a. Legal **Yes** **No** *(If Yes, please describe.)*

Oregon Revised Statute (ORS) 167.401(4) provides exceptions to the prohibition of tobacco possession by minors. This section reads, "A minor acting under the supervision of an adult may purchase, attempt to purchase or acquire tobacco products for the purpose of testing compliance with federal law, state statute, local law or retailer management policy limiting or regulating the delivery of tobacco products to minors."

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

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

a. Legal **Yes** **No** *(If Yes, please describe.)*

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

The state Synar inspection protocol clearly states that youth safety is of top priority. Training emphasizes that both youth and adult inspectors take precautionary measures to ensure youth safety. Adult inspectors assess each tobacco retailer to make sure that there are no circumstances which could compromise youth safety. Inspections are suspended if youth safety is of concern.

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

a. Legal **Yes** **No** *(If Yes, please describe.)*

Child labor laws limit the number of working hours for 15 year olds to 3 hours per day on school days and 18 hours maximum per week. This is a major barrier, particularly in the rural counties, to balancing the number of youth inspectors between 15 and 16 year olds.

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

OHA is required to coordinate with the Oregon State Police to conduct annual random and targeted, unannounced, inspections of over-the-counter tobacco retailer outlets to insure compliance with and enforce Oregon laws designed to limit youth access to tobacco products (OAR 415-060-0040(1)). Other procedural requirements include:

- The random sampling method must reflect youth (under 18) and tobacco outlet distribution throughout the state.
- Inspections must occur at times when minors are likely to purchase tobacco products.
- Random inspections must occur only in areas where tobacco products are sold or distributed and are open to the public.
- Outlets may be inspected no more than once per month, unless there have been reports of prior sales to minors.

However, each of these requirements only strengthens the formal inspection protocol.

APPENDIX D: LIST SAMPLING FRAME COVERAGE STUDY

(LIST FRAME ONLY)

State: Oregon
FFY: _____

1. Calendar year of the coverage study: 2011
2. a. Unweighted percent coverage found: 76.90%
b. Weighted percent coverage found: 74.90%
c. Number of outlets found through canvassing: 420
d. Number of outlets matched on the list frame: 323
3. a. Describe how areas were defined. (e.g., census tracts, counties, etc.)

Eighty five out of 755 (11.3%) census tracts did not have any tobacco retail outlets. Census tracts were, therefore, re-grouped into 332 area sampling units such that each area unit has at least 7 retailers.

- 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.

Fifty (15.06%) of the 332 area sampling units were picked randomly, SRS.

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

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

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

Yes No

6. Were all sampled areas visited by canvassing teams?

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

a. Was the subset of areas randomly chosen?

Yes No

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

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

Yes No

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

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? 7 to 10

b. What were the starting points for each area? A randomly selected "end" of a randomly selected route.

c. Were these starting points randomly chosen? Yes No

d. Describe the selection of the starting points.

Canvassers arrive at the area unit and check both for the boundaries and predetermined routes. They picked a route at random with a probability of 1/n when n is the number of predetermined routes. The starting point is one of the two “ends” of the selected route picked with a flip of a coin.

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

Canvassers were instructed to: (a) upon arrival at the area unit, identify and match routes with those on the map; (b) check routes for completeness; (c) add to the list of predetermined routes if they find additional routes not on the map; (d) select the starting point; and (e) begin canvassing along and on either side of the selected route until they find 7 to 10 retailers.

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

Canvassers enter the outlet and look around for visible tobacco products. If they do not observe any tobacco product in the outlet, they ask the clerk if the outlet sells tobacco products.

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).

A match between a retailer in the master list and a retailer in the list of canvassed retailers is confirmed when the two share (a) address, business name and city, or (b) address and city.

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

The weighted coverage rate (Pcr) is calculated as a percentage of weighted canvassed outlets that matched with the master list in weighted total canvassed outlets.

$$p_{cr} = \frac{\sum_{i=1}^{i=n_c} w_i X_i}{\sum_{i=1}^{i=n_t} w_i X_i} \times 100$$

Where Xi is the ith outlet; nc is the number of canvassed outlets that matched with master list; nt is total number of outlets canvassed; and wi = pa x pr x pe x p’o.

Where,

Pa = the probability of area unit selection (1/332),

Pr = the probability of route selection (1/nr) nr being the number of routes in the area unit,

Pe = the probability of route end selection (1/2), and

p’o = the inverse of the probability of outlet selection (1/po).

The probability of outlet selection is the ratio of the number of outlets canvassed in an area unit to the number of outlets in the master list for that area unit.