

ANNUAL SYNAR REPORT

42 U.S.C. 300x-26

OMB № 0930-0222

FFY 2014

State: Oregon

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Public Burden Statement: An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number. The OMB control number for this project is 0930-0222. Public reporting burden for this collection of information is estimated to average 18 hours per respondent, per year, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to SAMHSA Reports Clearance Officer, 1 Choke Cherry Road, Room 2-1057, Rockville, Maryland, 20857.

INTRODUCTION

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

How the Synar report helps the Center for Substance Abuse Prevention

In accordance with the tobacco regulations, states are required to provide detailed information on progress made in enforcing youth tobacco access laws (FFY 2013 Compliance Progress) and future plans to ensure compliance with the Synar requirements to reduce youth tobacco access rates (FFY 2014 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, 2013 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 2014 Synar Survey Results: States that use the Synar Survey Estimation System (SSES) must upload one copy of SSES Tables 1–5 (in Excel) to WebBGAS. States that do not use SSES must upload one copy of ASR Forms 1, 4, and 5, and Forms 2 and 3, if applicable, (in Excel) to WebBGAS.
- Synar Inspection Form: States must upload one blank copy of the inspection form used to record the result of each Synar inspection.
- Synar Inspection Protocol: States must upload a copy of the protocol used to train inspection teams on conducting and reporting the results of the Synar inspections.

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

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

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

Regular Mail:

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

Overnight Mail:

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

FFY 2014: 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 2014 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 2014 is up-to-date and approved by the Center for Substance Abuse Prevention.	
State: Oregon	
Name of Chief Executive Officer or Designee: Pamela A. Martin, Ph.D., ABPP	
Signature of CEO or Designee: 	
Title: Director	Date Signed: 12/18/13
If signed by a designee, a copy of the designation must be attached.	

SECTION I: FFY 2013 (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 2014 ASR was posted to this Web address.)* _____

Notice published in a newspaper or newsletter

Public hearing

Announced in a news release, a press conference, or discussed in a media interview

Distributed for review as part of the SABG application process

Distributed through the public library system

Published in an annual register

Other (Please describe.) The report has been distributed to all substance abuse prevention coordinators and all tobacco prevention coordinators across the state, via email, for their review and comment.

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):**

Oregon State Police, county and local law enforcement agencies all are responsible for enforcing youth tobacco access laws in Oregon.

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).**

Oregon Health Authority- Public Health Division (PHD)

- 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.)* The Addictions & Mental Health Division (AMH) continues to work in partnership with the Public Health Division (PHD) on the issue of tobacco licensure and on a potential FDA enforcement contract. In addition, both agencies have members who attend the Oregon Partners for Tobacco Prevention (OPToP) monthly meetings to share information and strategize on tobacco control 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)).**
Not applicable - Oregon does not currently have a contract with FDA to enforce the youth access or advertising restrictions in the Family Smoking Prevention and Tobacco Control Act.

- 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 2013 (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 citations issued	UNK	UNK	273
Number of fines assessed	UNK	UNK	273
Number of permits/licenses suspended	0		0
Number of permits/licenses revoked	0		0
Other (Please describe.)	0	0	0

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 materials continue to be provided to all retailers across the state through the AMH website, and through local tobacco prevention and education coalitions/coordinators. In addition, the State Synar Coordinator provided three merchant education trainings that were requested by local prevention coordinators and two additional trainings to law enforcement personnel in two counties.

Some local prevention coordinators and tobacco prevention coalitions provide Reward and Reminder Visits to local tobacco outlets to assess retailer compliance with laws related to the sale of tobacco to minors. During these visits, if a clerk appears to be willing to sell tobacco to the underage buyer, they are given a "reminder" of the laws regarding sales to minors. If they successfully refuse to sell, they are provided a "reward" for correctly not selling to the minor.

Many local tobacco prevention coordinators provide merchant education for retailers as requested. The state Synar Coordinator has also provided retailer education materials for these local educational visits.

Results of Synar compliance inspections are shared in statewide press releases to all major media outlets. In addition, a number of local tobacco prevention coordinators have requested their local compliance check results for use in local press releases. Enforcement related inspection data will also be publicized through statewide and local media outlets as is appropriate.

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 2013 (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.

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

Accuracy rate _____

Completion rate _____

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

d. How were the (weighted) RVR estimate and its standard error obtained?

(Check the one that applies.)

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

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

- Yes No No stratification

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

f. Was a cluster sample design used?

- Yes No

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

If No, go to Question 7g.

Were any certainty primary sampling units selected this year?

- Yes No

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

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

	Sample Size
Effective sample size (sample size needed to meet the SAMHSA precision requirement assuming simple random sampling)	
Target sample size (the product of the effective sample size and the design effect)	
Original sample size (inflated sample size of the target sample to counter the sample attrition due to ineligibility and noncompletion)	
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: 2012

b. Percent coverage from the latest frame coverage study: 80.03%

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: 2015

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 06/28/2013 to 09/03/2013
MM/DD/YY MM/DD/YY

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

8 total youth inspectors used

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

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 2014 (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 2014. 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 hire a full-time Tobacco Program Coordinator in 2014. This new position will take on most duties related to the Synar program and the liaison and coordination duties related to the tobacco retailer inspection program. A thorough updating and reprinting of all merchant education materials is planned and all materials will be sent to known tobacco retailers in the state. In addition, the Tobacco Program Coordinator will work with local tobacco coordinators to provide retailer training on tobacco access and sales to minors, as requested. Continued discussions with Washington's Synar Coordinator will hopefully produce additional program strategies to help drive down the RVR in each state, including the possibility of an online merchant education course that could be offered to retailers at any time. Initial discussions with the State Coordinator from Kentucky have taken place regarding their online system. Oregon continues to consider all options to lower the RVR, and this could be another tool to help lower non-compliance rates.

The Synar List Frame has improved over the past year, and will continue to be updated in a number of ways. These include sharing retailer lists with our Department of Revenue partners and the Attorney General's Office and obtaining updated tobacco retailer lists from local jurisdictions with tobacco retailer licensing. The Synar Coordinator continues to ask local tobacco prevention and education program coordinators for their help in keeping local tobacco retailer outlet lists as accurate as possible, and new retail locations are being included in Oregon's list frame as they are identified through enforcement inspections being conducted by the Oregon State Police.

The 2012 Oregon Legislature passed a piece of legislation which requires the Oregon State Police (OSP) to "establish and administer a program employing retired state police officers who are active reserve officers for the purpose of enforcing laws designed to discourage the use of tobacco products by persons under 18 years of age. That program, which includes citing clerks who sell tobacco to minors, is now in full swing and is being funded with state tobacco tax dollars. The legislation also allows the OSP to accept future funding for tobacco

related enforcement from state and federal sources. We are currently seeing the effectiveness of this increased enforcement, as the Synar RVR has come down considerably from last year. In addition, the violation rates from the enforcement inspections has also come down from their initial inspections a year ago (nearly 26% non-compliance) to rates so far this year that are similar to our Synar RVR (16.6% non-compliance). It is felt that the continued enforcement program will help drive down the violation rate and help improve the Synar RVR over time.

Finally, Oregon is in position to apply for an FDA enforcement contract in early 2014. The Public Health Division will most likely serve as the lead agency in applying for the contract, but the Addictions and Mental Health Division will be a major partner in not only writing the proposal to FDA, but in working to coordinate the enforcement activities between the FDA contract and the Synar Program. Because AMH oversees the Synar Program and provides administrative support to the Oregon State Police Tobacco Retailer Enforcement Program, the addition of FDA inspections will be easily into the mixture to ensure all activities are coordinated well.

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.

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 previously received funding from the Public Health Division to provide a limited number of retailer inspections, but that funding is no longer being provided. AMH has committed some funds to continue a limited enforcement program which will be contracted through the Oregon State Police using state general funds, as we see the importance of continued and consistent enforcement in driving down the RVR.

Limitations on completeness/accuracy of list of tobacco outlets: Oregon continues to 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. AMH conducted a coverage study in 2012 and found that our List Frame is approximately 87.2% accurate. However, it could be better. Unfortunately, we have no way of knowing when new stores open, or when stores close across the state.

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. 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

SSES Table 1 (Synar Survey Estimates and Sample Sizes)

CSAP-SYNAR REPORT

State	Oregon
Federal Fiscal Year (FFY)	2014
Date	12/10/2013 13:50
Data	Synar Results 12-13.xls
Analysis Option	Stratified SRS with FPC

Estimates

Unweighted Retailer Violation Rate	16.3%
Weighted Retailer Violation Rate	16.3%
Standard Error	0.1%
Is SAMHSA Precision Requirement met?	YES
Right-sided 95% Confidence Interval	[0.0%, 16.5%]
Two-sided 95% Confidence Interval	[16.1%, 16.5%]
Design Effect	1.0
Accuracy Rate (unweighted)	87.2%
Accuracy Rate (weighted)	87.2%
Completion Rate (unweighted)	99.3%

Sample Size for Current Year

Effective Sample Size	965
Target (Minimum) Sample Size	965
Original Sample Size	965
Eligible Sample Size	841
Final Sample Size	835
Overall Sampling Rate	99.4%

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

STATE: Oregon

FFY: 2014

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	965	841	N/A	N/A	965	841	835	136	16.3%	
Total		965	841			965	841	835	136	16.3%	0.1%
Over the Counter Outlets											
1	1	965	841	N/A	N/A	965	841	835	136	16.3%	
Total		965	841			965	841	835	136	16.3%	0.1%
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:
 2014

Disposition Code	Description	Count	Subtotal
EC	Eligible and inspection complete outlet	835	
Total (Eligible Completes)			835
N1	In operation but closed at time of visit	5	
N2	Unsafe to access	0	
N3	Presence of police	0	
N4	Youth inspector knows salesperson	1	
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)			6
I1	Out of Business	41	
I2	Does not sell tobacco products	52	
I3	Inaccessible by youth	7	
I4	Private club or private residence	1	
I5	Temporary closure	3	
I6	Can't be located	11	
I7	Wholesale only/Carton sale only	0	
I8	Vending machine broken	0	
I9	Duplicate	8	
I10	Other ineligibility (see below)	1	
Total (Ineligibles)			124
Grand Total			965

Give reasons and counts for other ineligibility:

Reason	Count
Store being rebuilt – not yet open.	1

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

STATE:
Oregon
FFY: 2014

Frequency Distribution

Gender	Age	Number of Inspectors	Attempted Buys	Successful Buys
Male	14	0	0	0
	15	0	0	0
	16	5	474	76
	17	0	0	0
	18	0	0	0
	Subtotal	5	474	76
Female	14	0	0	0
	15	0	0	0
	16	3	361	60
	17	0	0	0
	18	0	0	0
	Subtotal	3	361	60
Other		0	0	0
Grand Total		8	835	136

Buy Rate in Percent by Age and Gender

Age	Male	Female	Total
14	0.0%	0.0%	0.0%
15	0.0%	0.0%	0.0%
16	16.0%	16.6%	16.3%
17	0.0%	0.0%	0.0%
18	0.0%	0.0%	0.0%
Other			0.0%
Total	16.0%	16.6%	16.3%

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: 2014

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	6	The Department of Revenue develops and maintains a list of tobacco retailers for collecting tobacco excise taxes. AMH 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. List is also updated and enhanced by inspectors conducting both Synar and enforcement inspections throughout the year.

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(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.

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.

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: 22.5%

Frame Size: 2973

Input for Target Sample Size:

Design Effect: 1

Inputs for Original Sample Size:

Safety Margin: 50%

Accuracy (Eligibility) Rate: 80.6%

Completion Rate: 100%

- 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:

Not applicable

- 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.

Not applicable

APPENDIX C: SYNAR SURVEY INSPECTION PROTOCOL

State: Oregon

FFY: 2014

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: The Inspection Protocol does not specifically address compensation of youth inspectors. Oregon currently chooses to pay an hourly wage to our youth inspectors.)

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): 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 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.

This is not specified in the Inspection Protocol. However, adult inspectors normally have the youth inspectors request the same brand of cigarette (Marlboro Reds) each time they attempt to purchase. This is the most popular youth cigarette brand and therefore the most likely brand that would be requested.

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

OHA-AMH recruits and trains adult inspectors who, in turn, recruit and train youth inspectors. The attached Synar Protocols details the training for both adult supervisors and youth inspectors..

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.)

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.)

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

a. Legal

Yes No

(If Yes, please describe.)

b. Procedural

Yes No

(If Yes, please describe.)

The 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.

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.)

Both Oregon Revised Statutes (ORS) and Oregon Administrative Rules (OAR) require that inspections be conducted "at times when minors are likely to purchase tobacco products.

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.

Each of these requirements serves to strengthen the inspection protocol.

In addition, Oregon has chosen to utilize only 16-year-old youth inspectors for the past two years.

APPENDIX D: LIST SAMPLING FRAME COVERAGE STUDY

(LIST FRAME ONLY)

State: Oregon

FFY: 2014

1. Calendar year of the coverage study: 2012

2. a. Unweighted percent coverage found: 77.82%
b. Weighted percent coverage found: 80.03%
c. Number of outlets found through canvassing: 595
d. Number of outlets matched on the list frame: 463

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

Eighty five out of 755 (11.3%) census tracts had no known tobacco retail outlets. Census tracts were, therefore, re-grouped into 379 area sampling units such that each area unit had 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.

Seventy (18.47%) of the 379 area sampling units were chosen randomly.

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? 7-10

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 a route; (e) select the starting point; and (f) 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 (P_{cr}) 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 X_i is the ith outlet; n_c is the number of canvassed outlets that matched with master list; n_t is total number of outlets canvassed; and w_i = p_a x p_r x p_e x p'_o.

Where,

P_a = the probability of area unit selection (1/379),

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

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

p'_o = the inverse of the probability of outlet selection (1/p_o).

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.

Trump Marsha

Subject: FW: Oregon ICD-10 Conference Call
Location: Conference Call: 1-866-962-6634; Participant: 75110181

Start: Wed 12/18/2013 12:00 PM
End: Wed 12/18/2013 1:00 PM

Recurrence: (none)

Meeting Status: Accepted

Organizer: Rickenbach Nancy L

Categories: Meetings

-----Original Appointment-----

From: Rickenbach Nancy L
Sent: Monday, November 25, 2013 10:27 AM
To: Rickenbach Nancy L; West Melinda; Marshall, Djuan; Maser, Gloria A.; godwin.odia@cms.hhs.gov; 'West Melinda (melinda.west@state.or.us)'; 'Rickenbach Nancy L (nancy.l.rickenbach@state.or.us)'
Subject: Oregon ICD-10 Conference Call
When: Wednesday, December 18, 2013 12:00 PM-1:00 PM (GMT-08:00) Pacific Time (US & Canada).
Where: Conference Call: 1-866-962-6634; Participant: 75110181

From: MedicaidICD10
Sent: Monday, November 25, 2013 10:26:24 AM (UTC-08:00) Pacific Time (US & Canada)
To: Marshall, Djuan; Maser, Gloria A.; godwin.odia@cms.hhs.gov; 'West Melinda (melinda.west@state.or.us)'; 'Rickenbach Nancy L (nancy.l.rickenbach@state.or.us)'
Subject: Oregon ICD-10 Conference Call
When:
Where: Conference Call: 1-866-962-6634; Participant: 75110181

Thank you for agreeing to discuss your ICD-10 project status with the CMS/Noblis ICD-10 Team on the upcoming scheduled conference call. In addition to understanding your progress, we will also be asking for suggestions on the types of CMS/Noblis technical assistance that would be most helpful to your ICD-10 project efforts at this time.

To facilitate a thoughtful and productive discussion, the following topics will be addressed in detail during the conference call. Please review the topics prior to the call and invite the appropriate members of your staff to attend the meeting. It is particularly important that there is representation from the functional group that manages your payment systems – whether that is State personnel, or your Fiscal Agent or MMIS vendor.

Discussion Topics:

- September 2013 ICD-10 Readiness Assessment Results
- CMS Identified Critical Success Factors: SMAs ability to accept electronic claims, adjudicate claims, pay providers, complete coordination of benefits, and create and send MSIS and/or TMSIS reports.
- Critical Success Factor related Risk Mitigation Plans
- Policy Remediation
- Systems Remediation
- Internal and External Testing/Plans
- Transition Phase Early warning Indicators.

We recommend that you print and have available a copy of your September 2013 Readiness Assessment Results for the call. Please let us know if you or your team has any questions prior to the call. We look forward to speaking with you!

As always, thank you for your continued participation and cooperation.

CMS/Noblis ICD-10 Team