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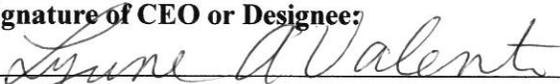
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Footnotes:									

FFY 2017: FUNDING AGREEMENTS/CERTIFICATIONS

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

PUBLIC HEALTH SERVICES ACT AND SYNAR AMENDMENT	
42 U.S.C. 300x-26 requires each state to submit an annual report of its progress in meeting the requirements of the Synar Amendment and its implementing regulation (45 C.F.R. 96.130) to the Secretary of the Department of Health and Human Services. By signing below, the chief executive officer (or an authorized designee) of the applicant organization certifies that the state has complied with these reporting requirements and the certifications as set forth below.	
SYNAR SURVEY SAMPLING METHODOLOGY	
The state certifies that the Synar survey sampling methodology on file with the Center for Substance Abuse Prevention and submitted with the Annual Synar Report for FFY 2017 is up-to-date and approved by the Center for Substance Abuse Prevention.	
SYNAR SURVEY INSPECTION PROTOCOL	
The state certifies that the Synar Survey Inspection Protocol on file with the Center for Substance Abuse Prevention and submitted with the Annual Synar Report for FFY 2017 is up-to-date and approved by the Center for Substance Abuse Prevention.	
State: South Dakota	
Name of Chief Executive Officer or Designee: Lynne A. Valenti	
Signature of CEO or Designee: 	
Title: Secretary, Department of Social Services	Date Signed: 9/27/16
If signed by a designee, a copy of the designation must be attached.	

2016 Tobacco Outlet Coverage Study

Prepared for:
Gib Sudbeck, Prevention Program Manager
Prevention Program
South Dakota Department of Social Services

Prepared by:
Roland Loudenburg, M.P.H., Ed.S.
Laura Smidt

South Dakota Tobacco List Frame Coverage Study

Purpose

The purpose of this study is to determine the accuracy of the Tobacco Outlet List Frame used by the South Dakota Department of Social Services Prevention Program in the monitoring of tobacco outlet sales to minors. The South Dakota Department of Social Services Prevention Program is required to conduct this study by the Center for Substance Abuse Prevention, the federal agency responsible for substance abuse prevention, in order to fulfill the Synar requirements of the Public Health Service Act and the Tobacco Regulation for the SAPT Block Grant.

Each year States are required to survey tobacco outlets in order to determine the level of compliance with state laws and regulations and through the use of an underage 'decoy' determine the "Retailer Violation Rate" for selling of tobacco products to minors. In order to conduct the survey the state relies upon a list of known tobacco retail outlets, the "List Frame", in the state. Therefore, the accuracy and completeness of this list is very important in determine the prevalence of tobacco sales to minors.

The study entailed physically checking and recording the location of tobacco retailers through the use of a canvasser in random selected geographic areas of the state. The study was conducted by Mountain Plains Evaluation, LLC.

Sampling Design and Methodology

The sampling design and methodology was developed based on the "Guidance for a Synar Sampling Frame Coverage Study" provided by the Substance Abuse and Mental Health Services Administration (SAMHSA). In addition, the sampling design and methodology also had to accommodate the unique dispersion of tobacco outlets in South Dakota to provide an accurate assessment of the current tobacco list frame used by the state of South Dakota. South Dakota is diverse geographically and in population density. There are two main population centers, Sioux Falls and Rapid City, located respectively on the east and west side of the state. Minnehaha and Pennington counties (that contain the two cities) combined, account for 31% of the tobacco outlets in the state. The remainder of the counties in the state can be divided based upon the number of tobacco outlets into medium and small groups. The following table provides a frequency distribution of this breakdown.

Table 1: Summary of Tobacco Outlet Distribution by Geographic Size

County Grouping	Grouping Rule	No. Counties (%)	No. Outlets (%)	Average No. Outlets
Large/Metro	> 50 outlets	2 (3.3%)	236 (31.0%)	118
Medium	10 - 50 outlets	18 (29.5%)	310 (40.7%)	17.2
Small	0 – 9 outlets	41 (67.2%)	215 (28.3%)	5.2
Total		61*	761	12.7

*Five counties are encompassed by Indian reservations and the state does not have jurisdiction to conduct surveys within Indian reservations.

The counties were entered into Excel along with the total number of tobacco outlets per county. Each county was assigned a code corresponding with the groupings designated in the table above. The grouping rules were developed based on examination of the frequency distribution of the number of outlets per county along with taking into account the two large counties contained in the Large/Metro category. Note the average number of tobacco outlets for Minnehaha County and Pennington County is 118 tobacco outlets compared to an average of 17.2 tobacco outlets for counties designated to the medium county grouping and an average of 5.2 tobacco outlets for counties designated as a small county.

Based on the data regarding the distribution of outlets by county and geographic region, a decision was made to select six counties from the medium group, and four counties from the small group and to survey in the two Large/Metro counties by census tract to obtain the best geographic representation for the coverage study. The intent was to develop an approach that would sample proportionately from the groups, while retaining a random approach to selection of the sample. The detailed results of counties selected by the randomization selection process are presented in the attached table.

Table 2: Summary of Geographic Areas Included in Study

County Grouping	Selection Rule
Large/Metro	Select census tracts by random order within the county and survey until a total of 30 outlets are documented (see below for more detail).
Medium	Select 6 Counties
Small	Select 4 Counties

Proposed Sampling Approach for Large/Metro Counties (Minnehaha and Pennington counties)

Due to the population and tobacco outlet density in the two Large/Metro counties of Minnehaha (includes Sioux Falls) and Pennington (includes Rapid City), census tracts can be used to conduct the coverage survey. Within Minnehaha and Pennington counties, census tracts were identified and ordered randomly using the Excel random number function (see attachments for each county). The census tracts will be canvassed in the random order until a maximum of thirty total outlets in each county is reached.

Proposed Sampling Approach for Medium and Small Counties

For counties classified as Medium or Small in relation to the number of tobacco outlets, the entire county will be canvassed excluding rural gravel roads.

GIS and Smart Phone Technology

In addition to the canvassing form used to document outlets found during the coverage study, canvassers were also equipped with a smart phone application (EpiCollect see citation below) that allowed for collection of the data related to the outlet, a picture and the GIS coordinates of the outlet. The data was loaded to a central server and used in the analysis. GIS coordinates along with the pictures of the outlets were used in the verification and match analysis process of the outlets. This was particularly useful in the analysis as it allowed for confirmation of outlets by comparison of locations by GIS coordinates and confirmation of location with in geographic areas (census tracts).

Smartphone Application citation: EpiCollect. (2012) Mobile / Web Application for Smartphone data collection (Version 1.4) [Mobile Application Software]. Retrieved from <http://www.epicollect.net>

Results

Canvassing of tobacco outlets began in April and was completed in May of 2016. Canvassing/Surveying instructions are included as an attachment to this document along with the Outlet Information Collection Form.

Table 3, located on the next page, provides a summary of the results of the Coverage Study. The survey sample included 212 outlets from twelve different counties across South Dakota. This represents approximately 28% of the total number of tobacco outlets currently thought to exist in South Dakota.

Of the 212 outlets sampled, 188 were found to match perfectly with the master list for a base match rate of 88.7%. Of the 24 outlets for which a match was not found, a substantial portion were new outlets (in particular, dollar store franchises are expanding across the state). A summary of these issues is provided in Table 4.

Many of the issues related to outlets for which matches were not found can be attributed to natural change and flux in business operations. The vast majority of the issues can be categorized as:

- 1) Business that close and re-open or are seasonal
- 2) Purchase and consolidation of gas/convenience store chains
- 3) Economic development and growth of areas which led to the opening of new outlets, and in particular the expansion of dollar store franchises in the state.

Of the 24 outlets not matched, only a few are longstanding businesses that were not included on the master list. Based on our review of the sampled outlets and comparison with the master list, we conclude that systematic bias for inclusion of outlets was not present in the existing list frame.

Table 3: Summary of Coverage Study Results

County	Designated Sampling Area	(1) Matched Outlets	(2) Outlets with No Match Found	(3) Total Number Outlets Surveyed	(4) Match Rate
Minnehaha	Large	28	2	30	93.33%
Pennington	Large	30	3	33	90.91%
Brown	Medium	23	1	24	95.83%
Codington	Medium	18	0	18	100.00%
Davison	Medium	24	1	25	96.00%
Yankton	Medium	22	2	24	91.67%
Lawrence	Medium	10	2	12	83.33%
Union	Medium	9	4	13	69.23%
Bon Homme	Small	8	4	12	66.67%
Custer	Small	7	2	9	77.78%
Day	Small	5	3	8	62.50%
Jones	Small	4	0	4	100.00%
Total		188	24	212	88.68%
Weighted Match Rate					86.44%

Table Column Definitions:

Matched Outlets: Outlets surveyed during the coverage study that were subsequently matched with outlets listed on the list frame.

Outlets with No Match Found: Outlets surveyed during the coverage study for which no match was found on the list frame.

Total Number of Outlets Surveyed: Number of outlets surveyed in each area and found to be selling tobacco products. This is the total of outlets in columns (1) and (2).

Match Rate: Equal to Column (1) / Column (4)

Table 4: Detail of Outlets Not Found in ListFrame

Outlet Name	County	Notes/Discussion
Family Dollar	Davison	New store opened in old supermarket building.
Eddie's Northside Sinclair	Brown	Marked in database as does not sell tobacco. Appears they started to stock and sell tobacco products again.
Pierpont Service & Supply	Day	Not on list frame and may have been reopened.
Community Oil of Glacier Lake	Day	Marked as age restricted.
Dollar General Store	Day	New
Dollar General Store	Pennington	New
Family Dollar	Pennington	New use of old building that was not a tobacco outlet.
Save Alot Food Store	Pennington	New
Pop's Grocery Store	Custer	New
Family Dollar	Custer	New
Fresh Start	Lawrence	New in last few years
Sonset Station	Lawrence	Was in List Frame database and marked as having been closed at one time and it has reopened under a different business name.
Dollar General	Union	New
Kum & Go	Union	New
A-1 Quik Stop	Union	Location was noted as closed in database and has since reopened.
Coraima's Mexican Store	Yankton	New
Double T Truck Stop	Yankton	New
Get N Go	Minnehaha	New
Andy's	Minnehaha	Noted in database as not selling tobacco products and now sells tobacco products.
Fiesta Foods	Union	New
Schmidt's Service	Bon Homme	Location was noted as closed in database and has since reopened.
Family Dollar	Bon Homme	New
Luke Repair Service Station	Bon Homme	New
Ron's Market	Bon Homme	Noted in database as not selling tobacco products and now sells tobacco products.

Canvassing/Surveying Instructions

The canvasser will physically inspect and document the presents of retail outlets selling tobacco in the prescribed geographic areas included in the survey sample.

The canvasser will drive the prescribed routes on the detailed maps for the designated geographic area. When a potential retail outlet is encountered, the canvasser will verify if the outlet sells tobacco products. If its not readily apparent if the retail outlet sells tobacco products, the canvasser will ask an employee or clerk if the establishment sells tobacco products. If an outlet is determined to sell tobacco products, the canvasser will complete the Coverage Study Outlet Form. The canvasser will also enter the information into the coverage study data collection application on their smart phone including GIS coordinates of all outlets deemed to sell tobacco.

When the canvasser encounters a town, the canvasser should drive all streets included within the town and enter all potential malls or retail outlets to determine and record all tobacco retail outlets.

If a retail outlet employee asks about the survey, the canvasser should hand to the clerk the short description of the study and inform to the employee that the survey is part of a study to verify the accuracy of the tobacco outlet list in the state.

In the event that a question arises as to the county or jurisdiction of the outlet, the canvasser should document the presents of the outlet and note the jurisdiction question.

If a potential tobacco outlet is not open at the time of survey, the canvasser should note that the outlet was not open and that it is a potential tobacco retail outlet on the Coverage Study Outlet Form.

**Coverage Study Information Sheet Provided to Outlets
Who had Question Regarding the Survey**

South Dakota Tobacco List Frame Coverage Study

The purpose of this study is to determine the accuracy of the Tobacco Outlet List used by the South Dakota Department of Social Services Prevention Program in the monitoring of tobacco outlet sales to minors. South Dakota Department of Social Services Prevention is required to conduct this study by the Center for Substance Abuse Prevention, the federal agency responsible for substance abuse prevention.

The study is physically checking and recording the location of tobacco retailers through the use of a canvasser in selected areas of the state. Survey of tobacco retailers in this study has no impact or effect upon when tobacco retailers are monitored for tobacco sales to minors.

The study is being conducted by Mountain Plains Evaluation, LLC. Questions can be directed to:

Roland Loudenburg, M.P.H., Ed.S
Mountain Plains Evaluation, LLC
(605) 425-3305

Or

Gib Sudbeck, Prevention Program Manager
South Dakota Department of Social Services
(605) 773-3123

**Coverage Study Outlet Form
South Dakota Synar Youth Tobacco**

Date: _____/_____/_____

Sampling County
Or Census Tract _____

Outlet Name:

Physical Address:

Mailing Address:

City:

Zip:

County:

Phone #:

Tobacco Sign Present: ___Yes ___No Outlet Sells Alcohol? ___Yes ___No

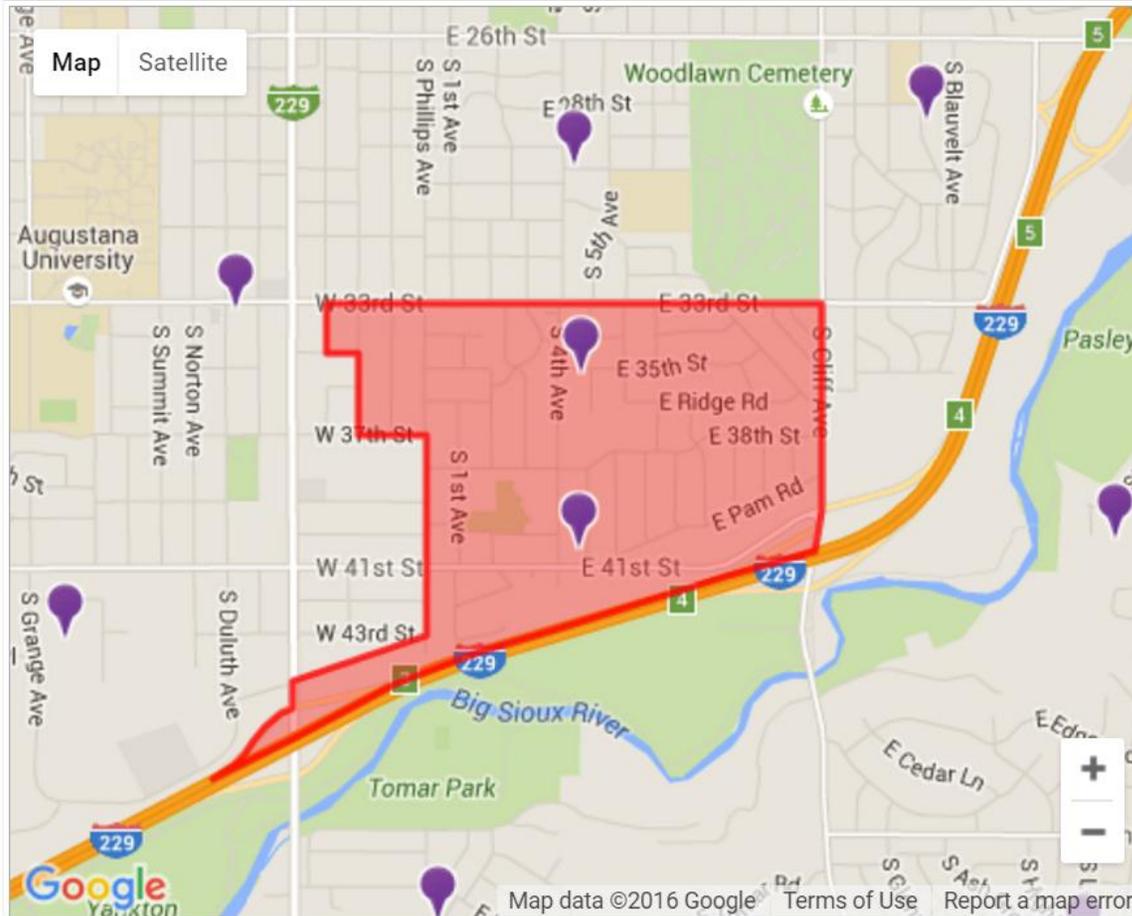
GPS Identification Number _____

Comments/Details of Outlet:

Canvasser Initials: _____

Census Tract 001901 Map, Border, and Nearby Locations

Census Block Groups Map View. Full data. Click icon to show name.



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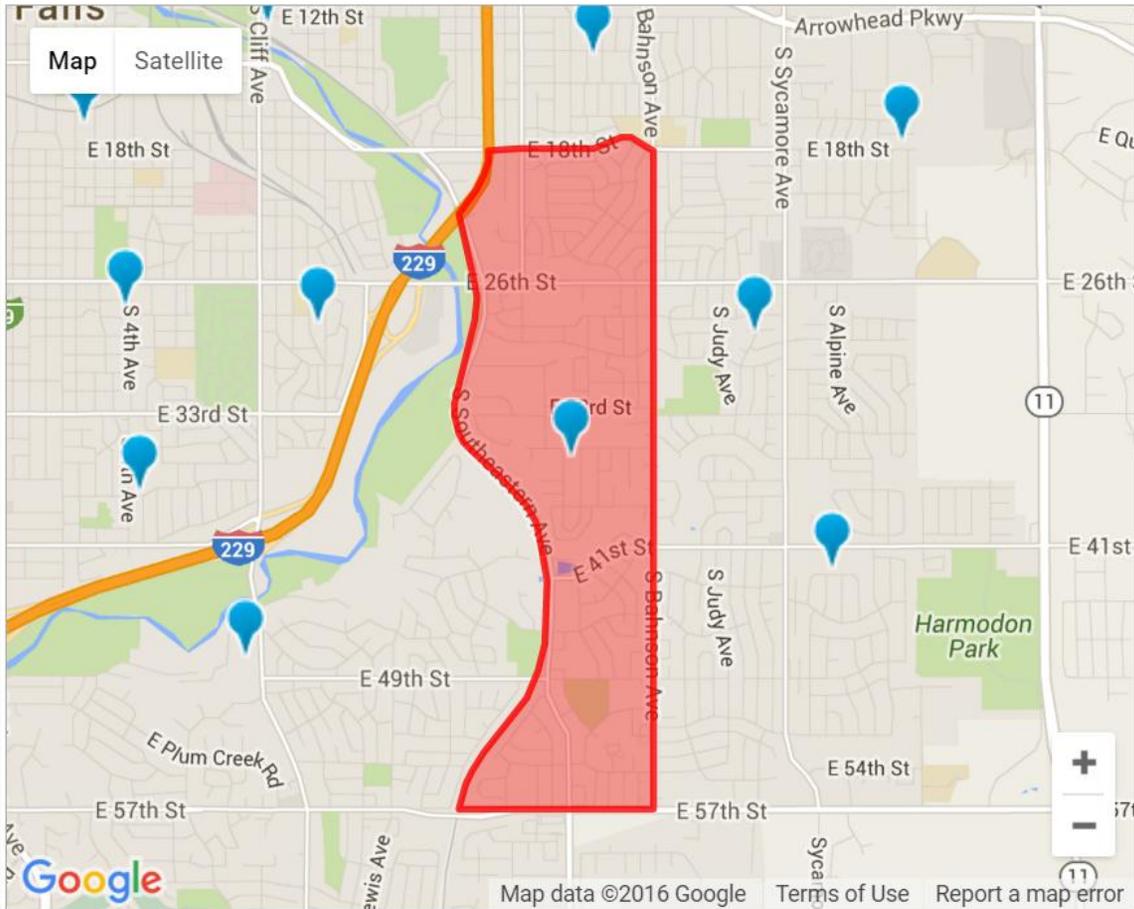
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Census Tract 001801 Map, Border, and Nearby Locations

Census Tracts Map View. Full data. Click icon to show name.



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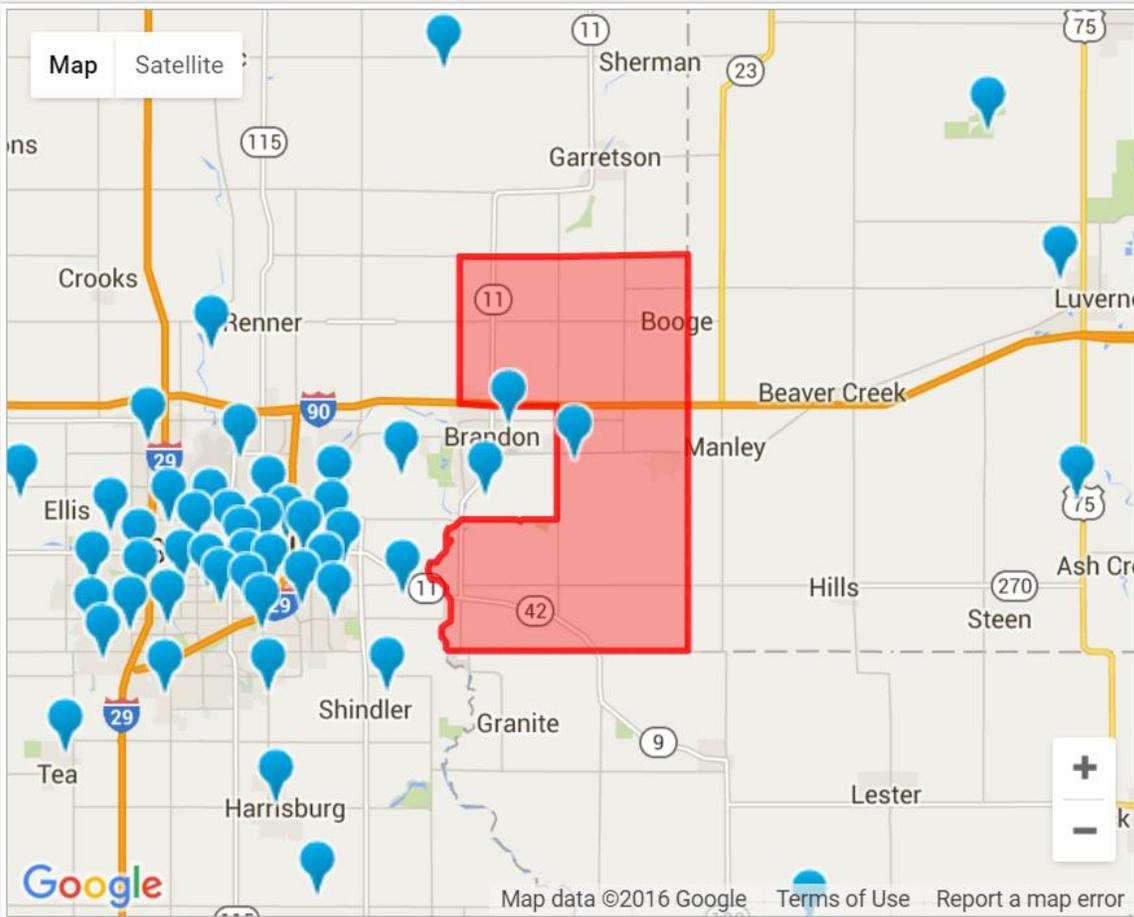
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Census Tract 001801 Block Groups

Census Tract 010402 Map, Border, and Nearby Locations

Census Tracts Map View. Full data. Click icon to show name.



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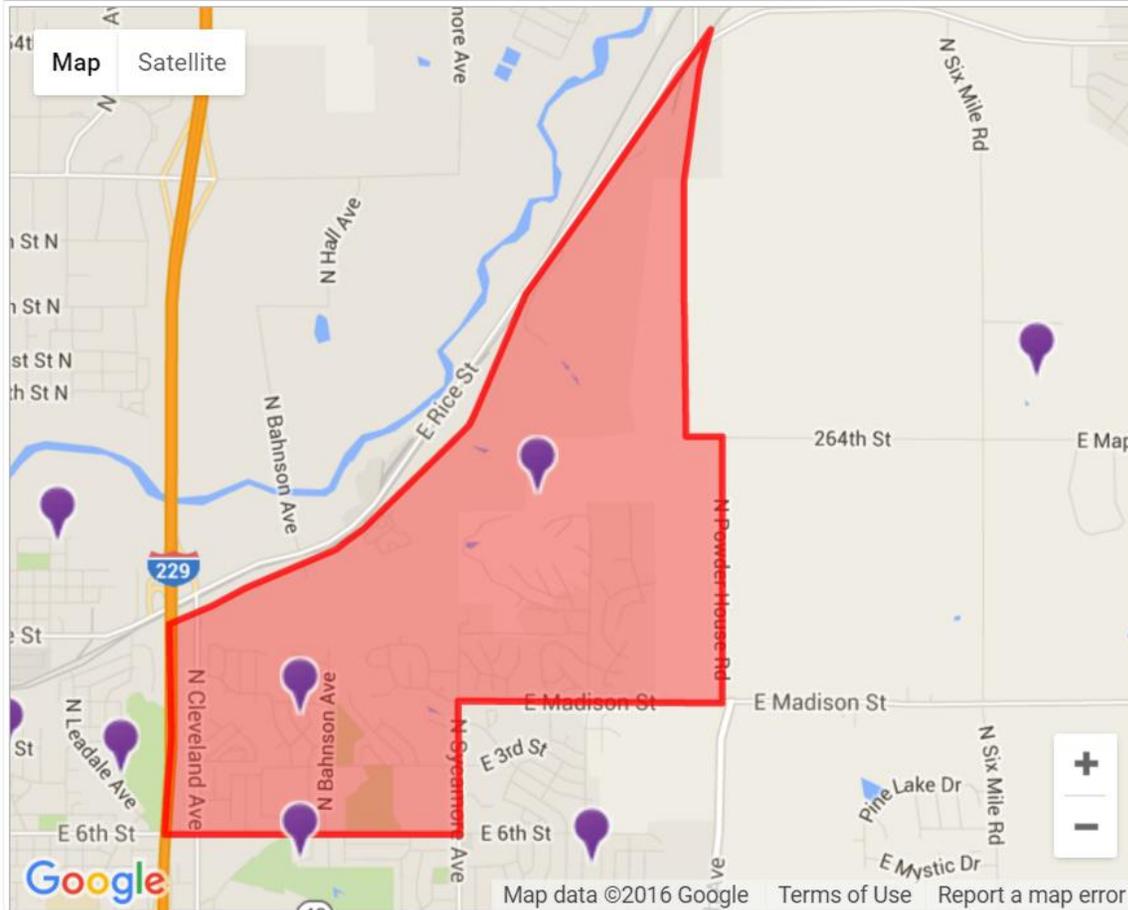
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Census Tract 000408 Map, Border, and Nearby Locations

Census Block Groups Map View. Full data. Click icon to show name.



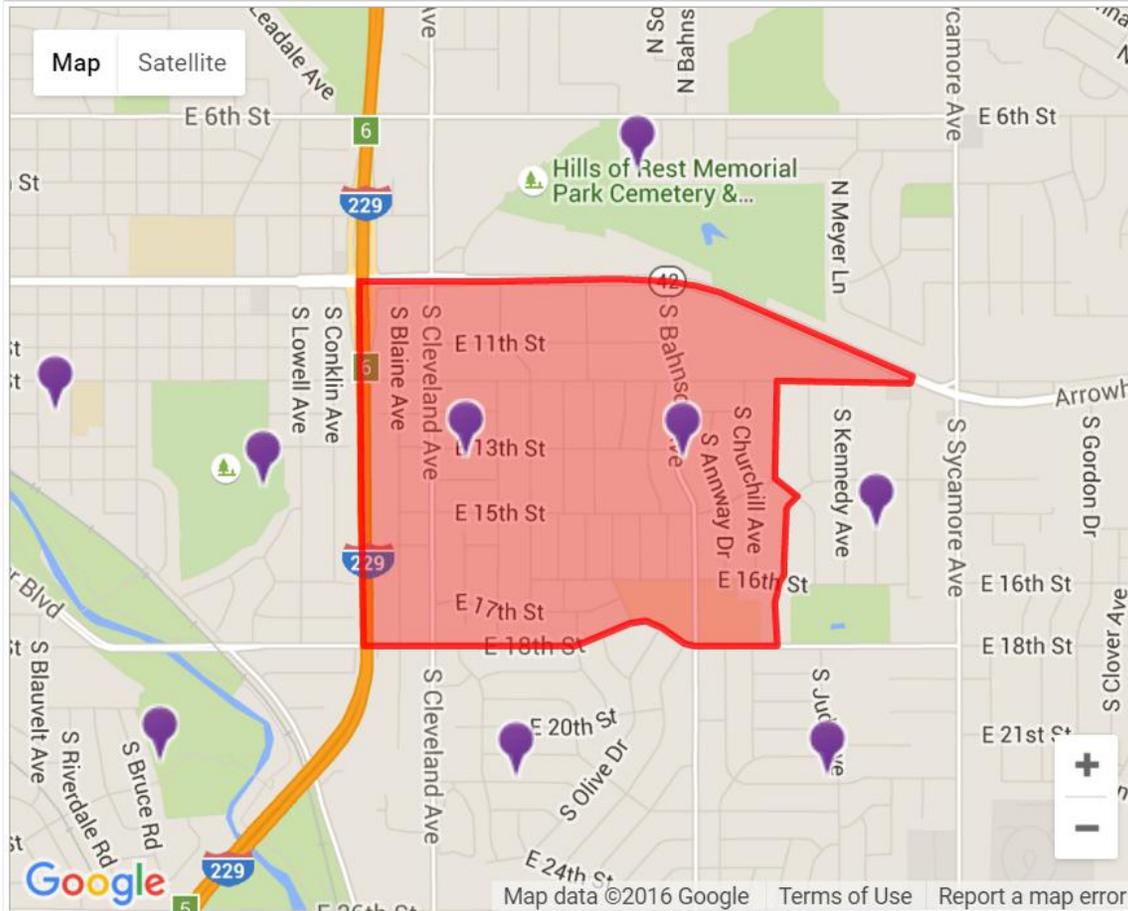
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Census Tract 000406 Map, Border, and Nearby Locations

Census Block Groups Map View. Full data. Click icon to show name.



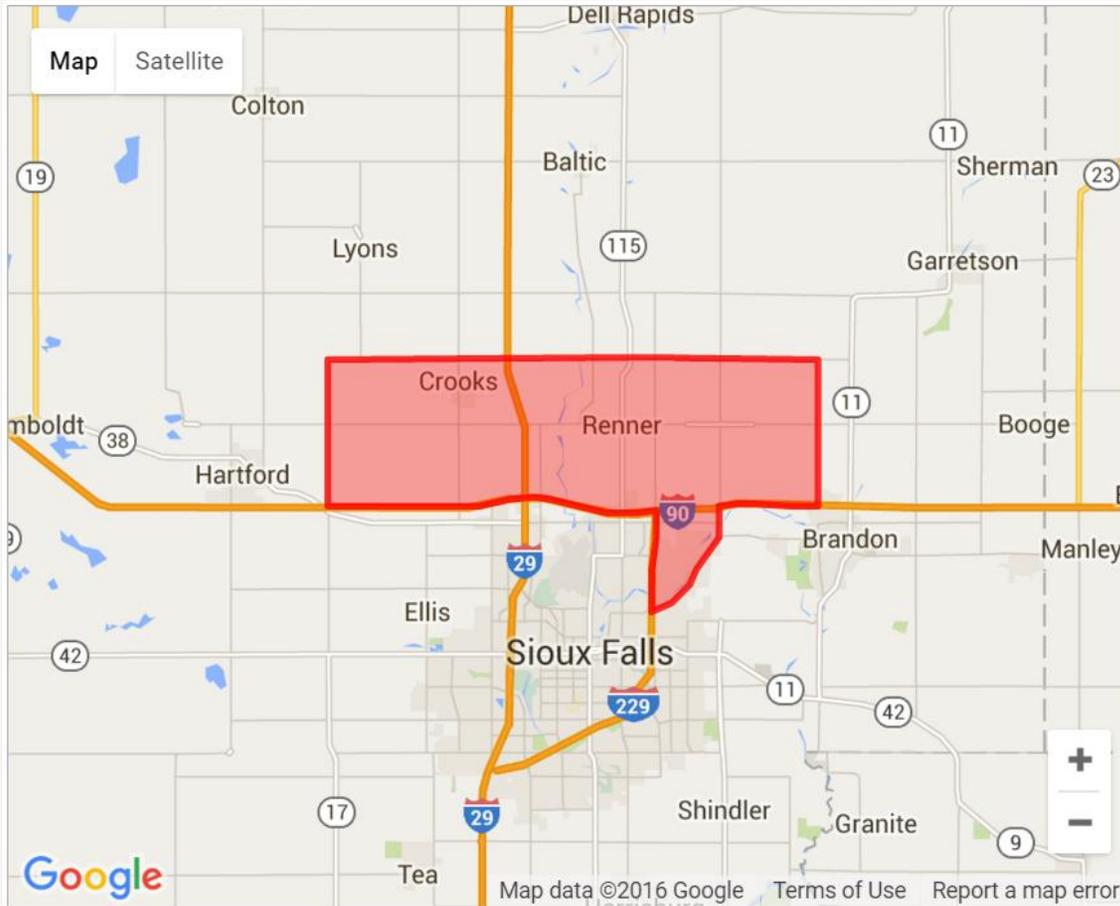
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Census Tract 010404 Map, Border, and Nearby Locations

States Map View. Full data. Click icon to show name.



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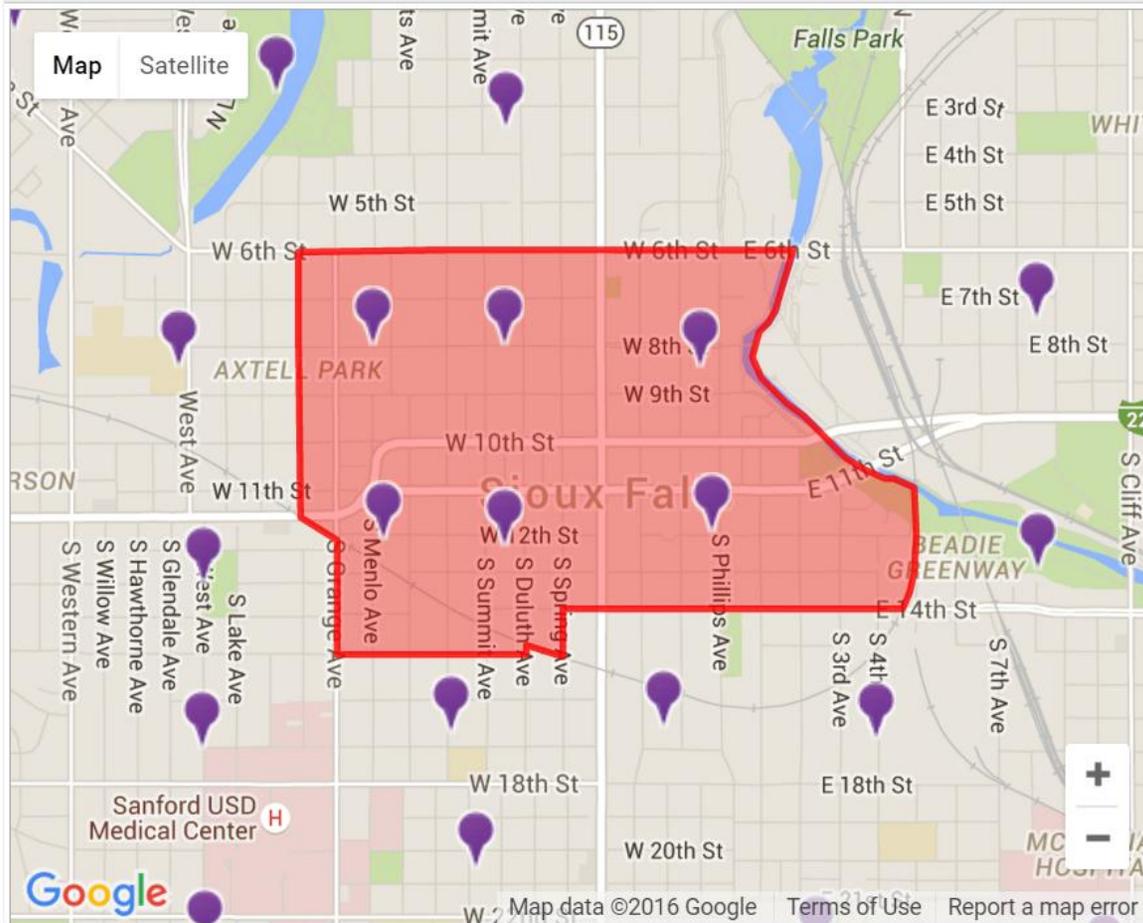
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Census Tract 000700 Map, Border, and Nearby Locations

Census Block Groups Map View. Full data. Click icon to show name.

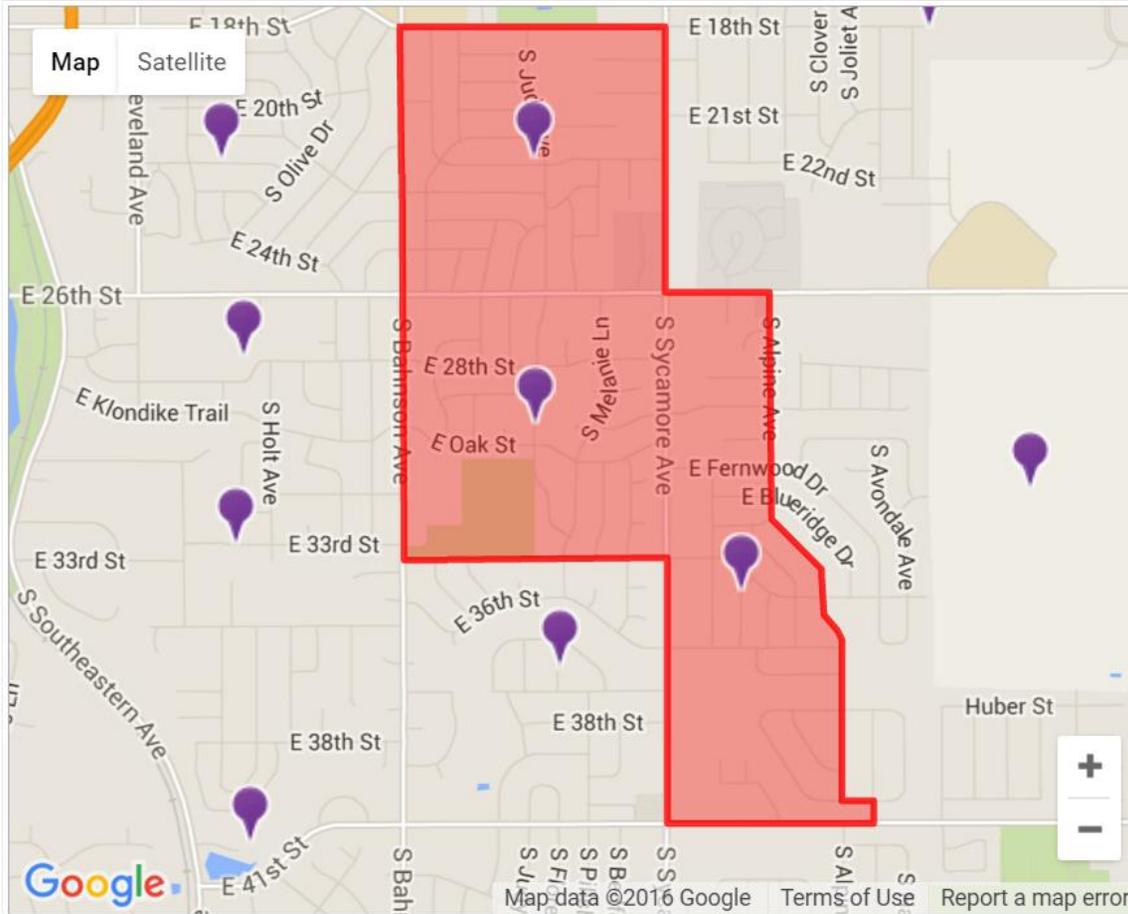


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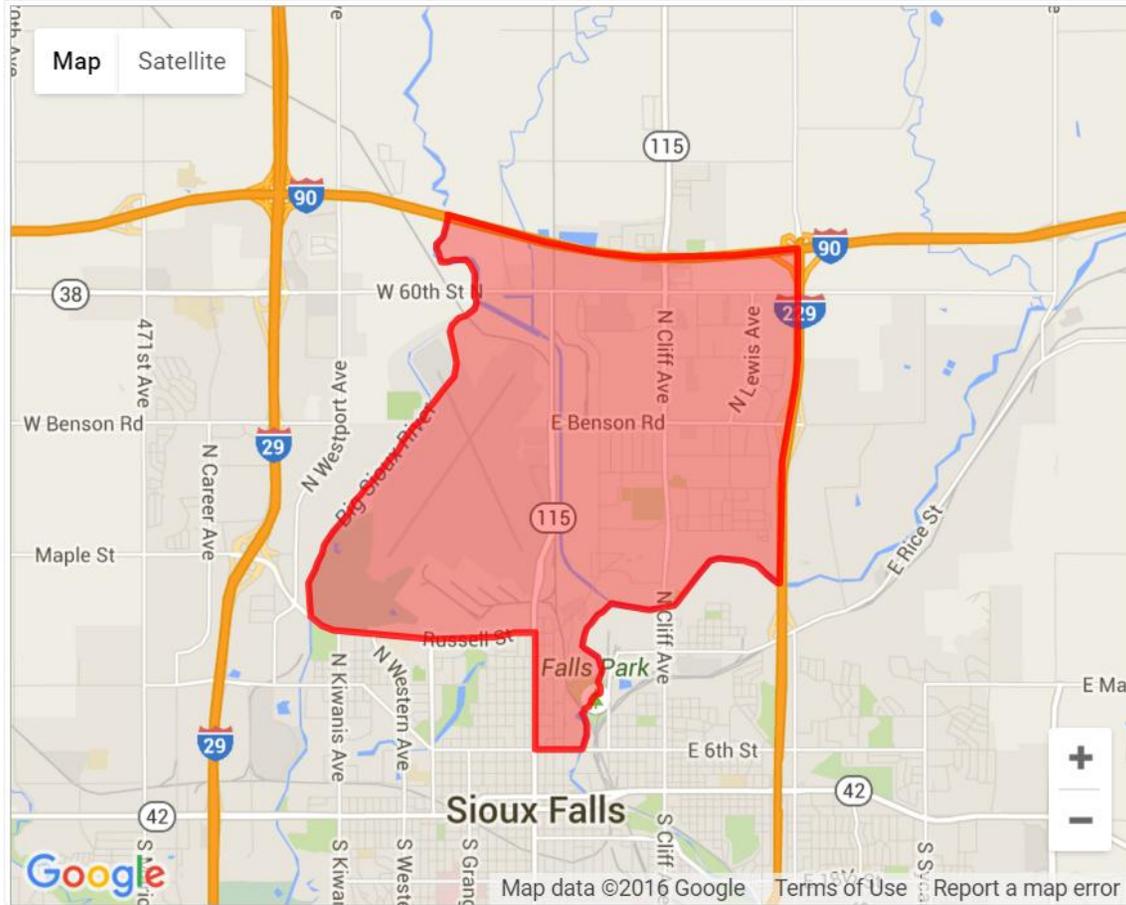
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Census Tract 001804 Block Groups

Census Tract 000100 Map, Border, and Nearby Locations

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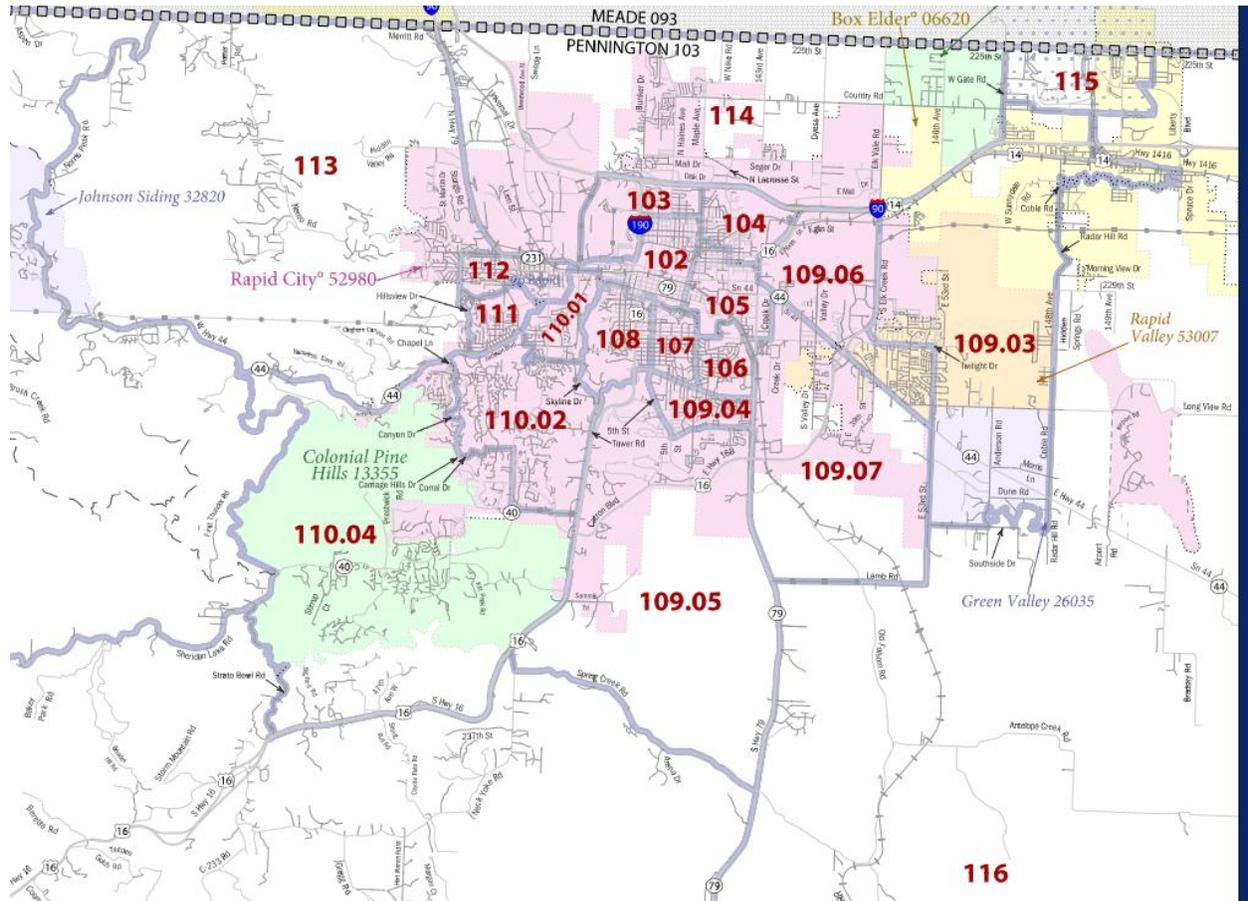


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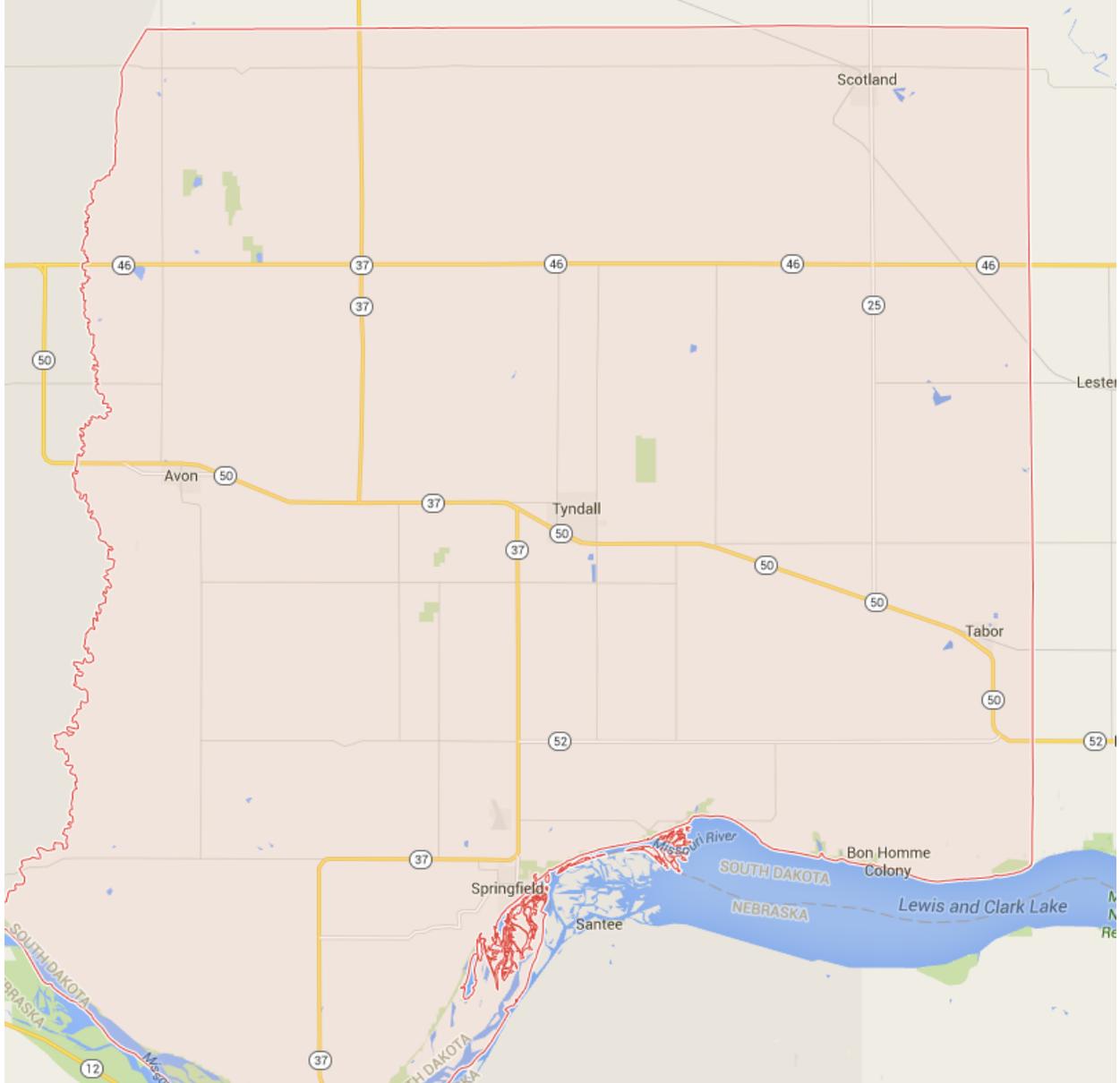
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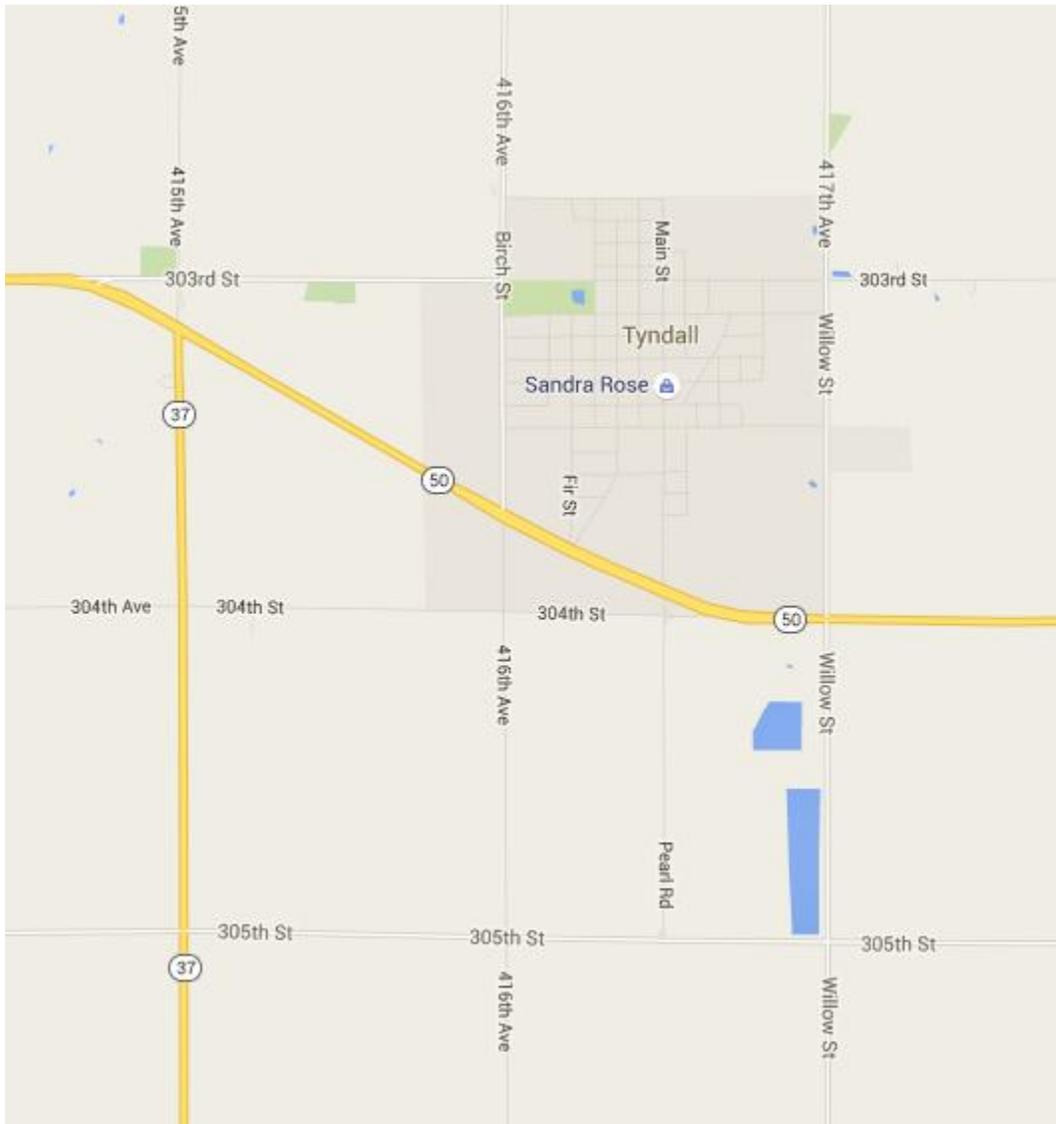
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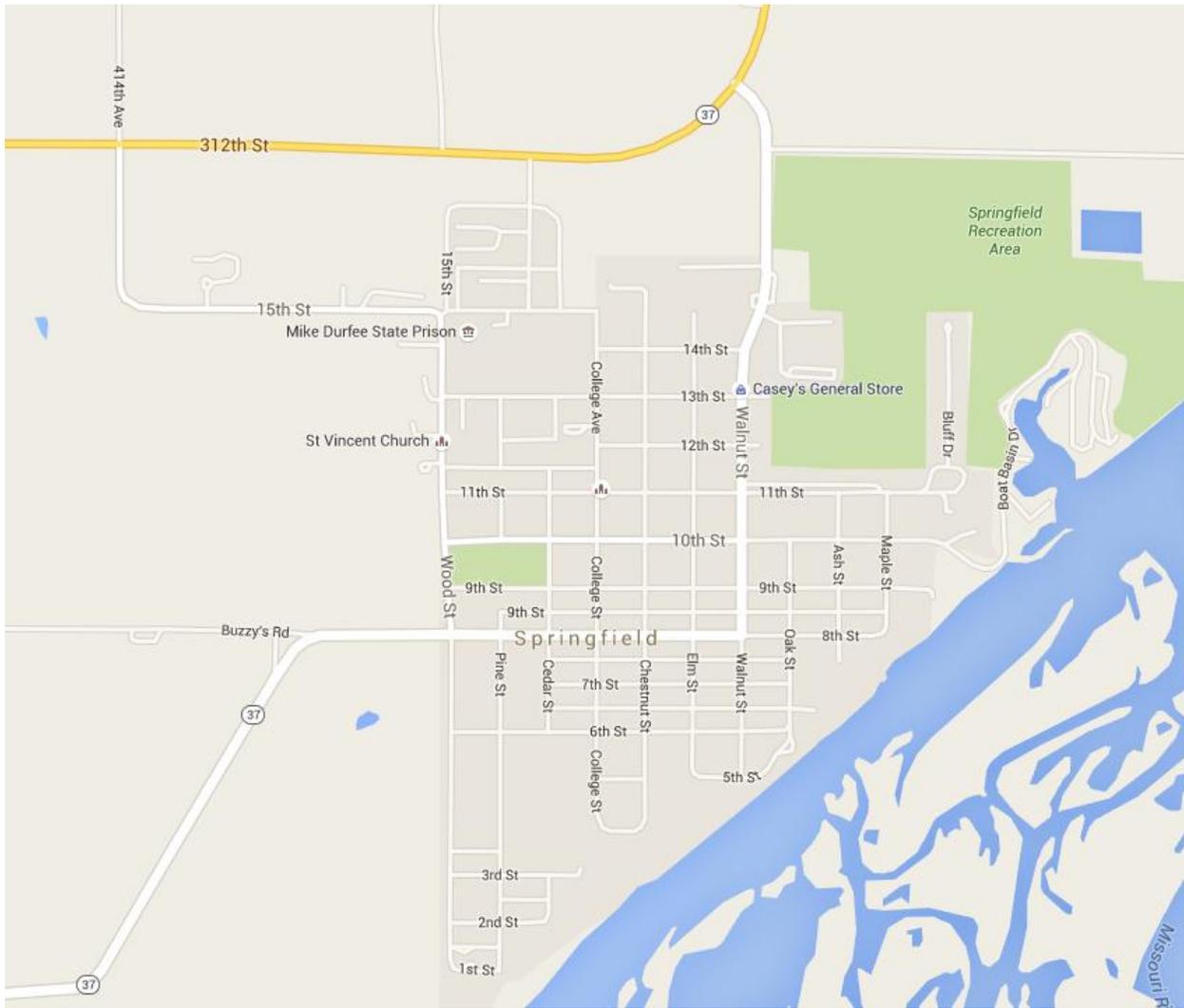
Pennington County Census Tracts

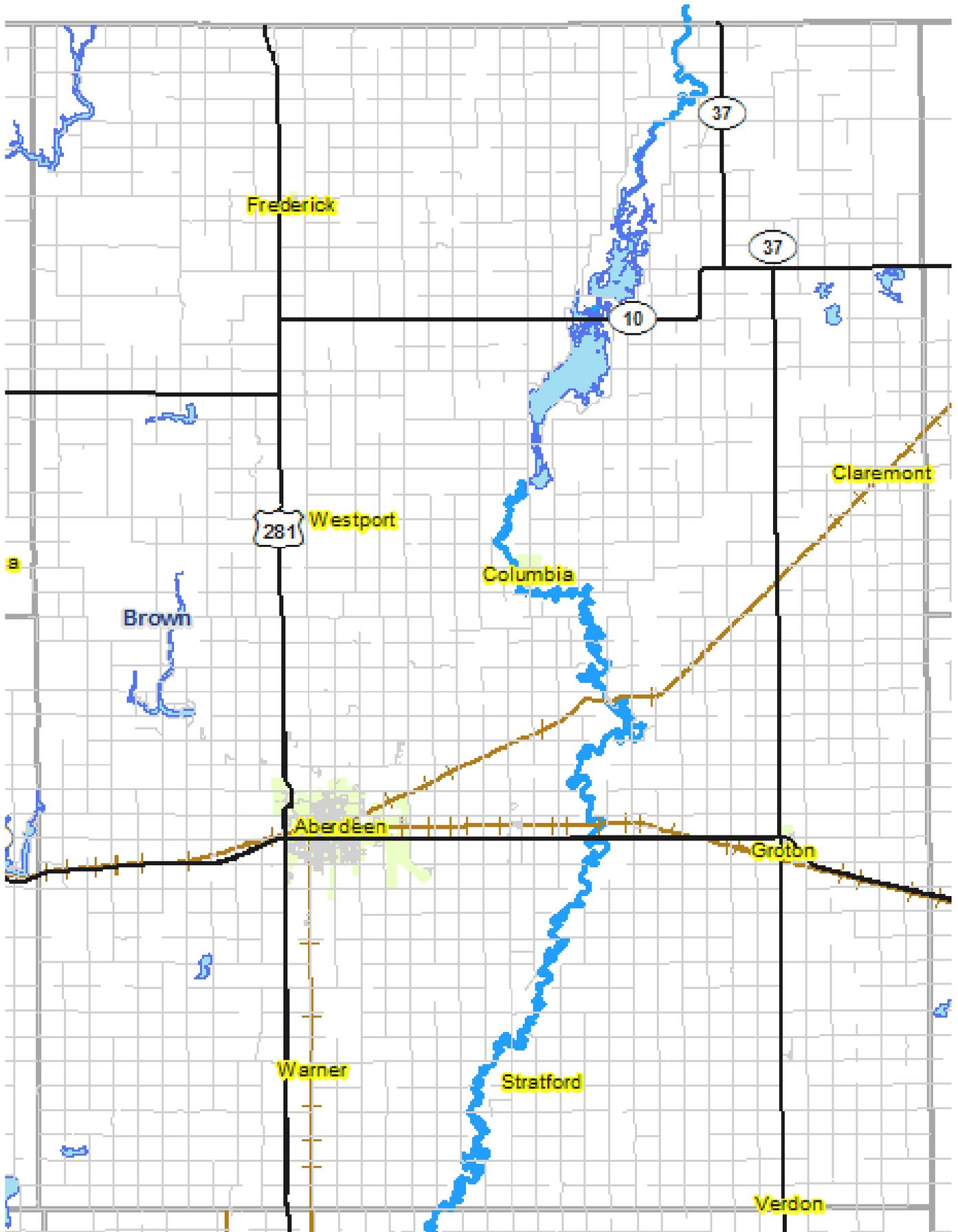


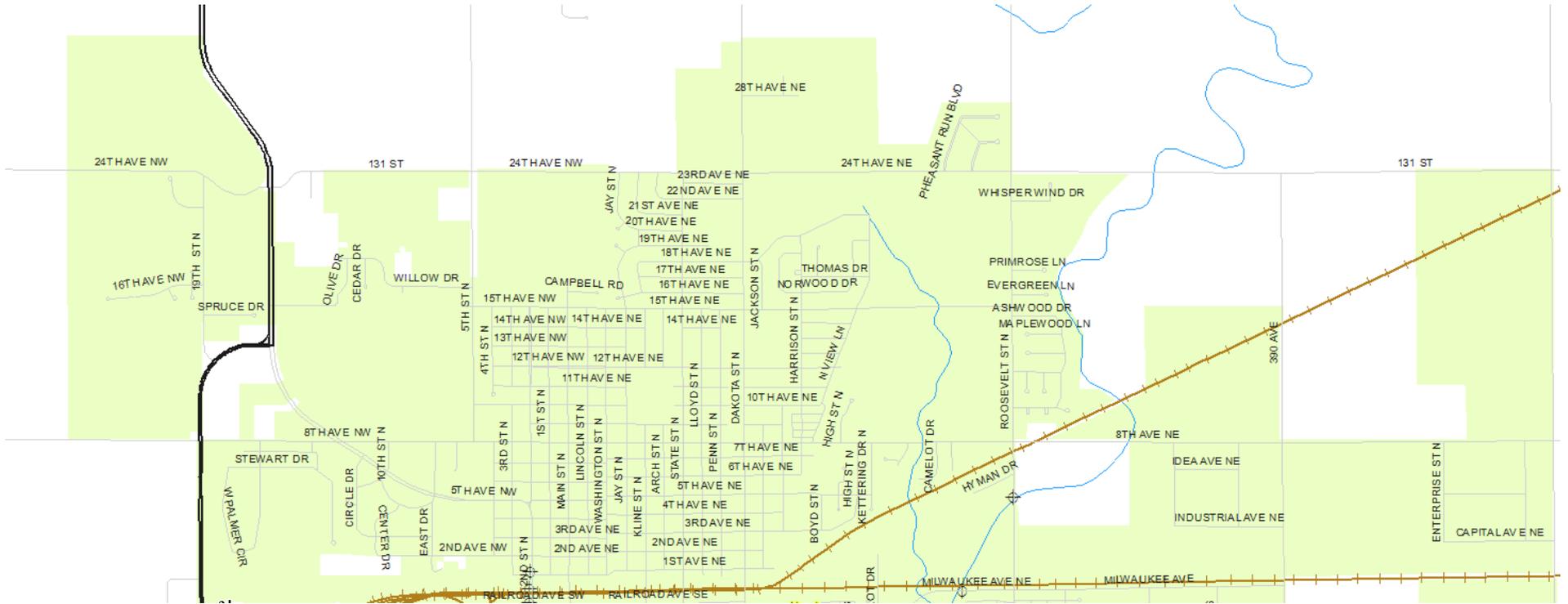
Bon Homme County

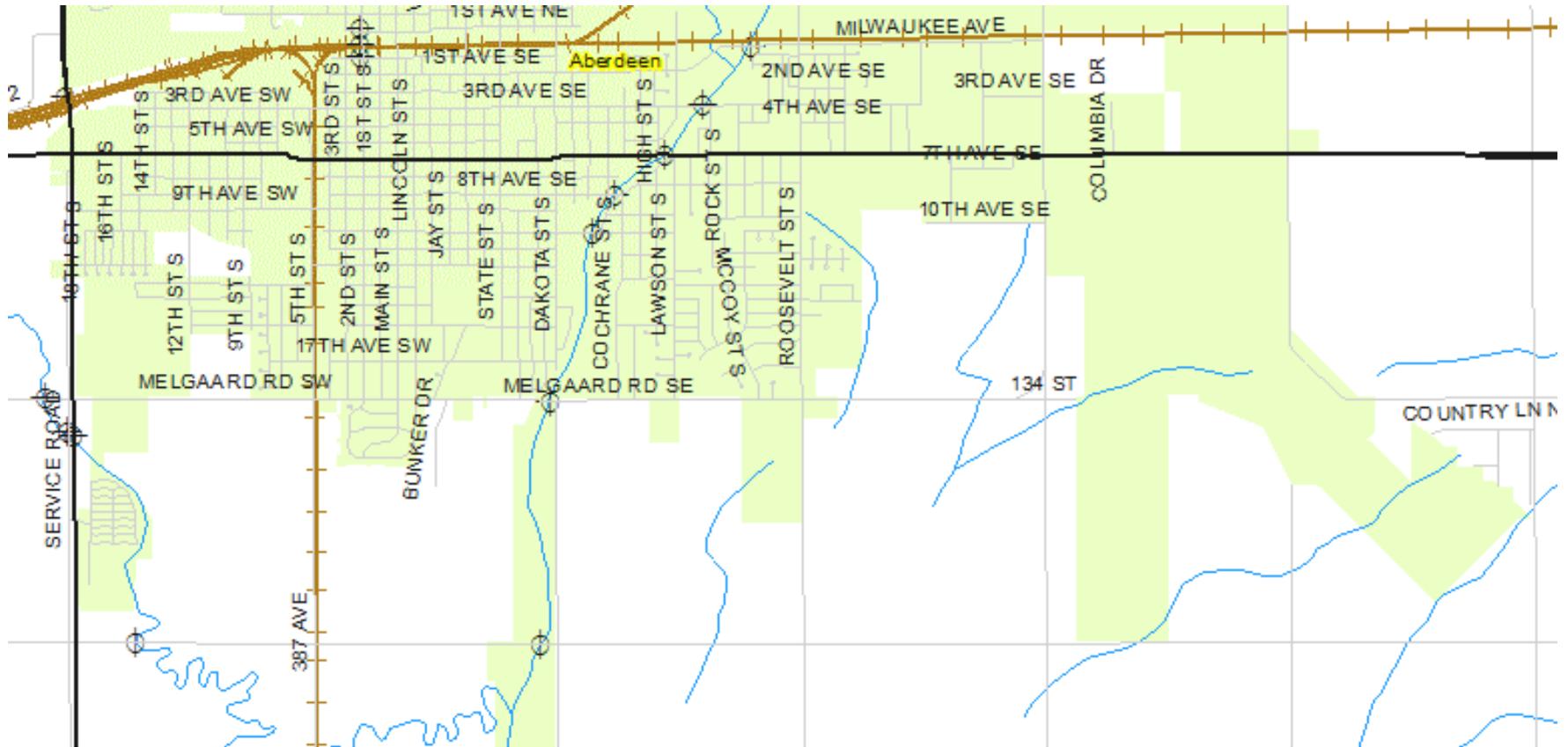


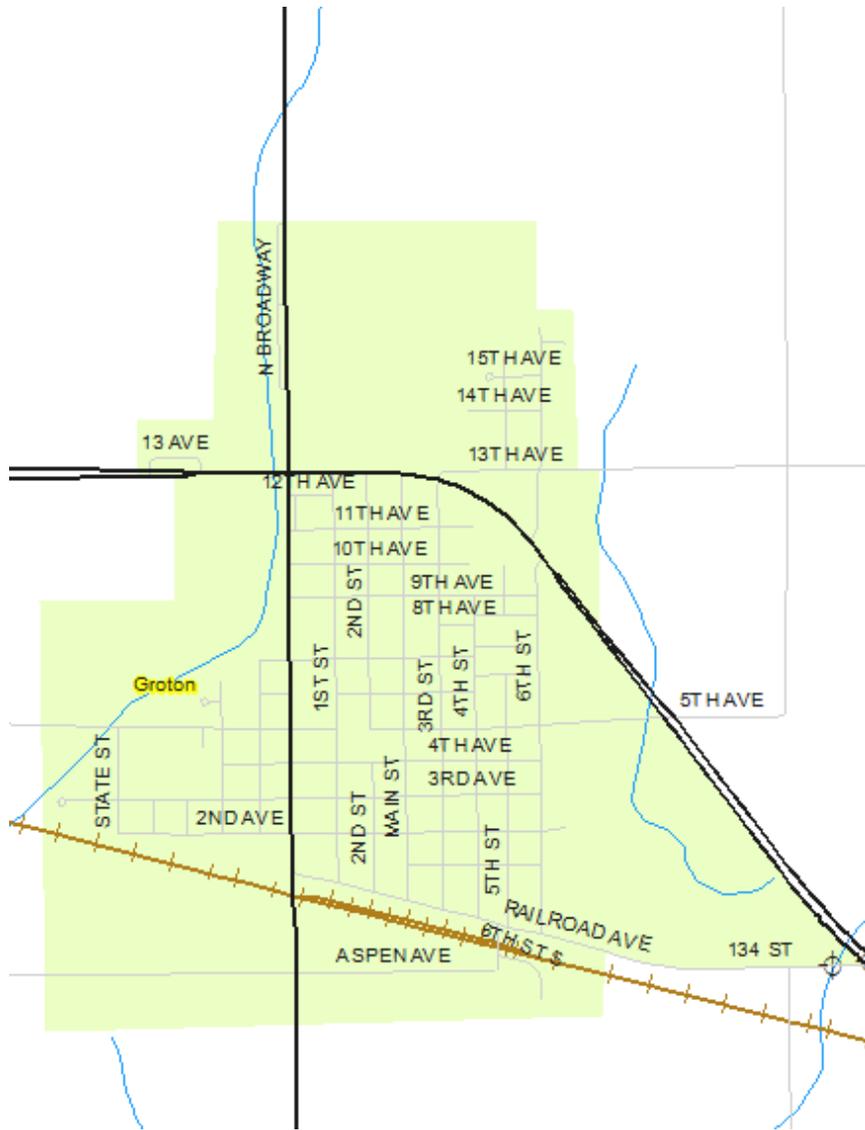


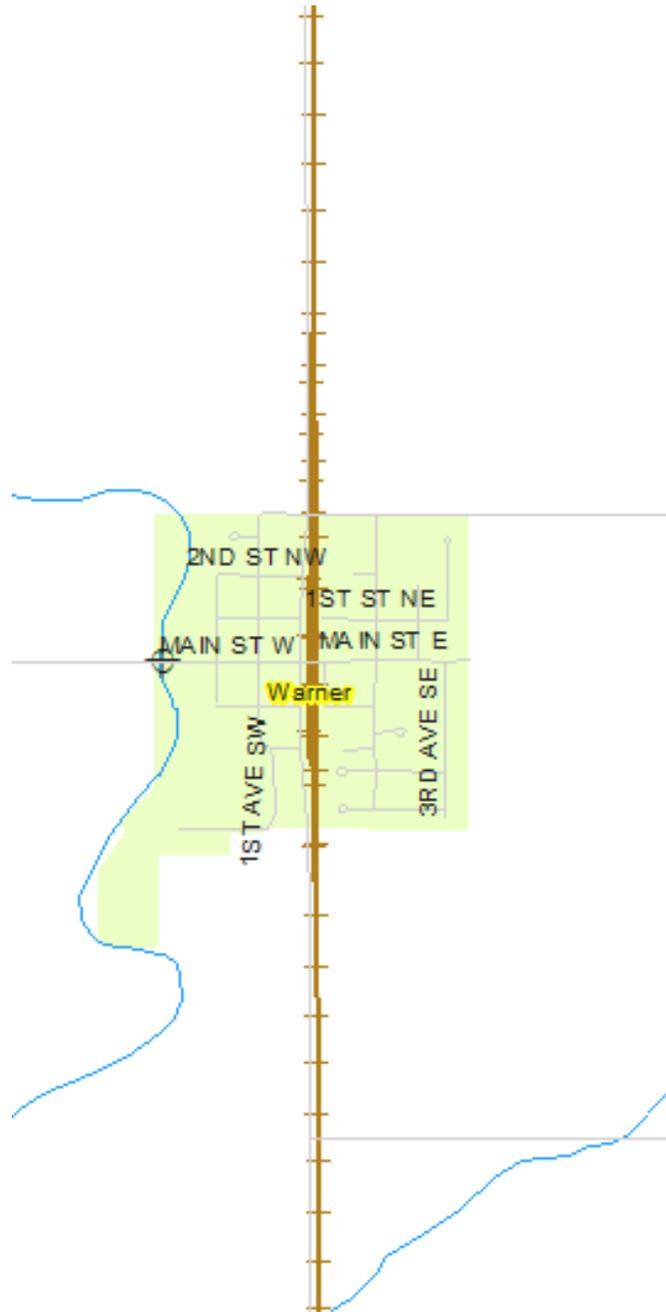


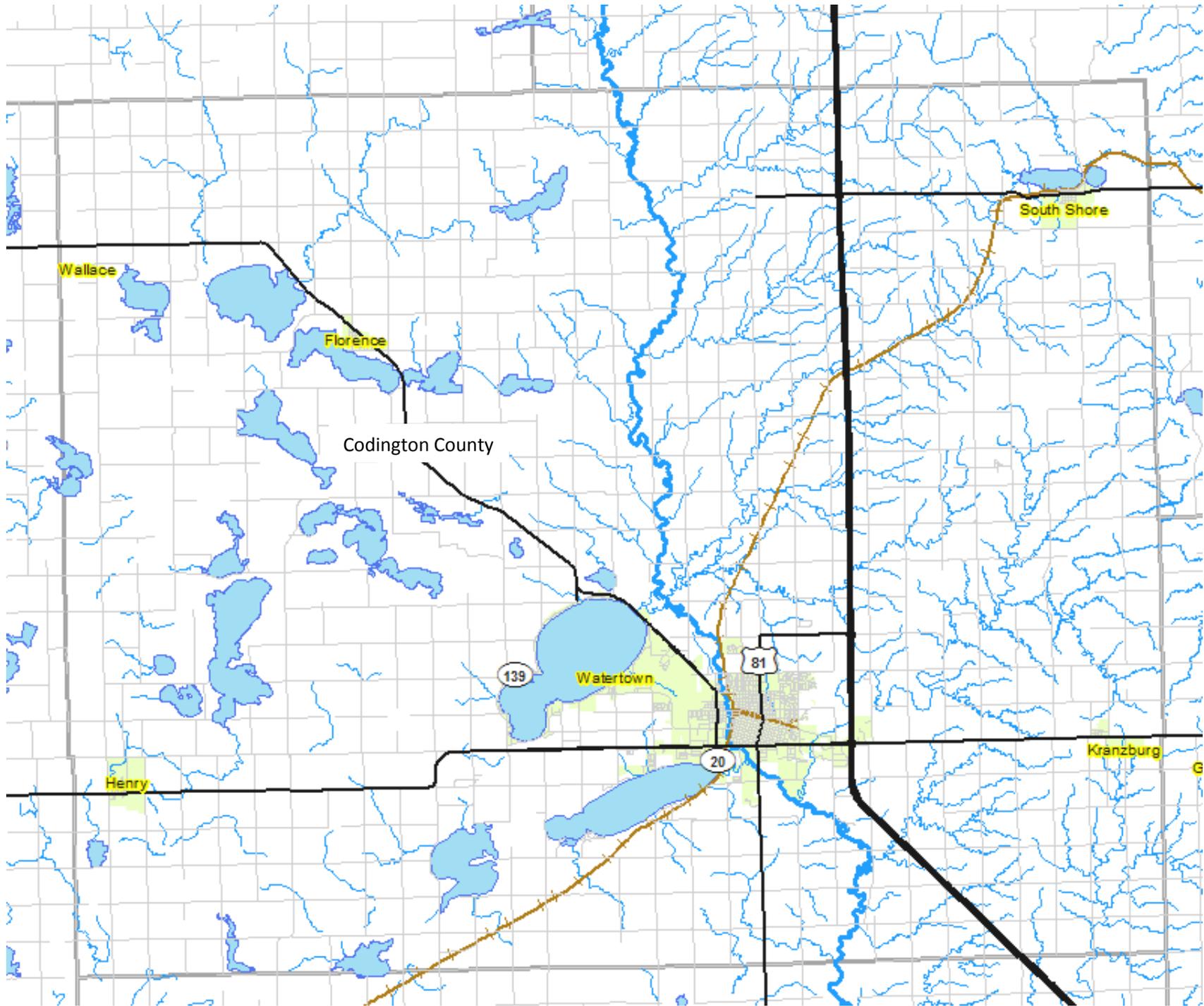




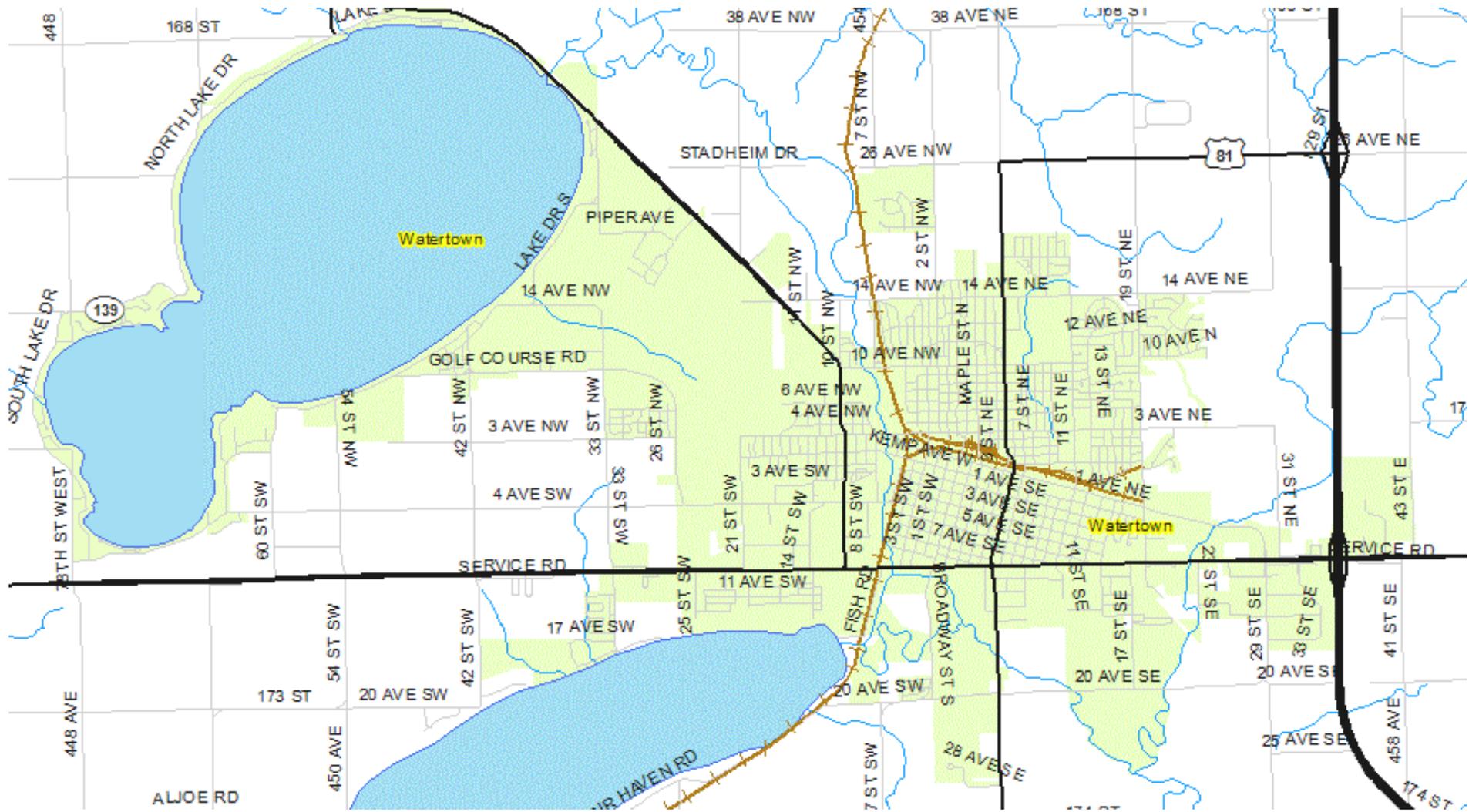


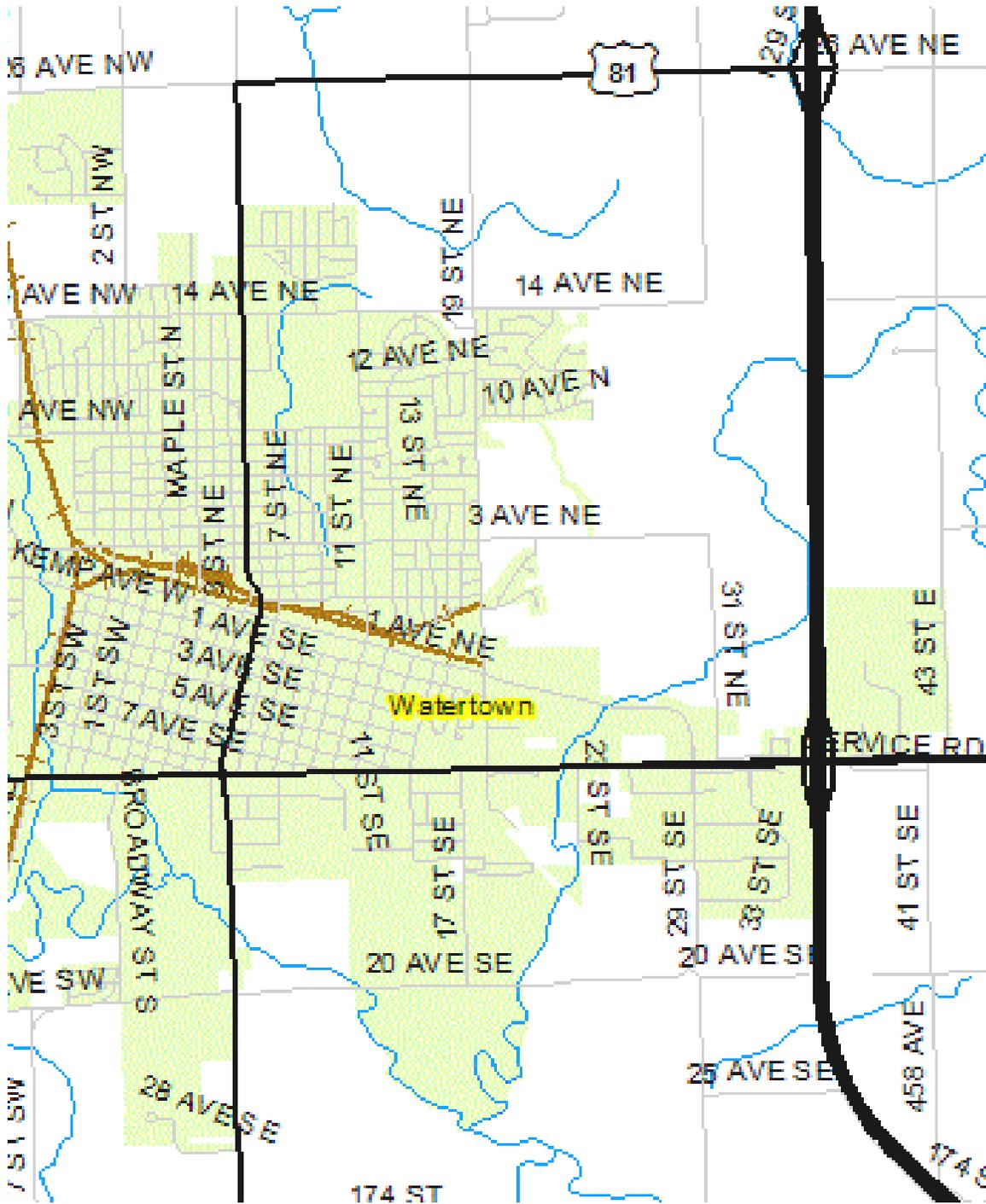






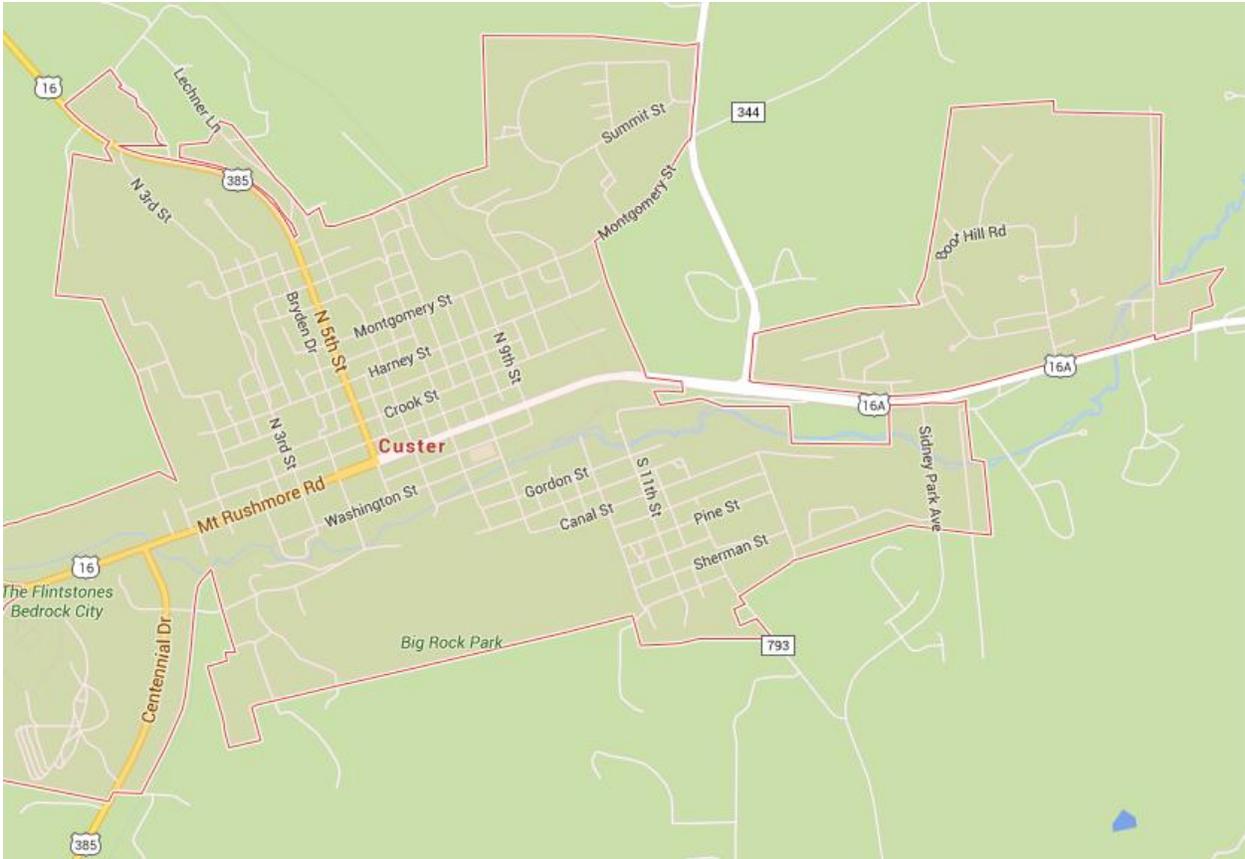
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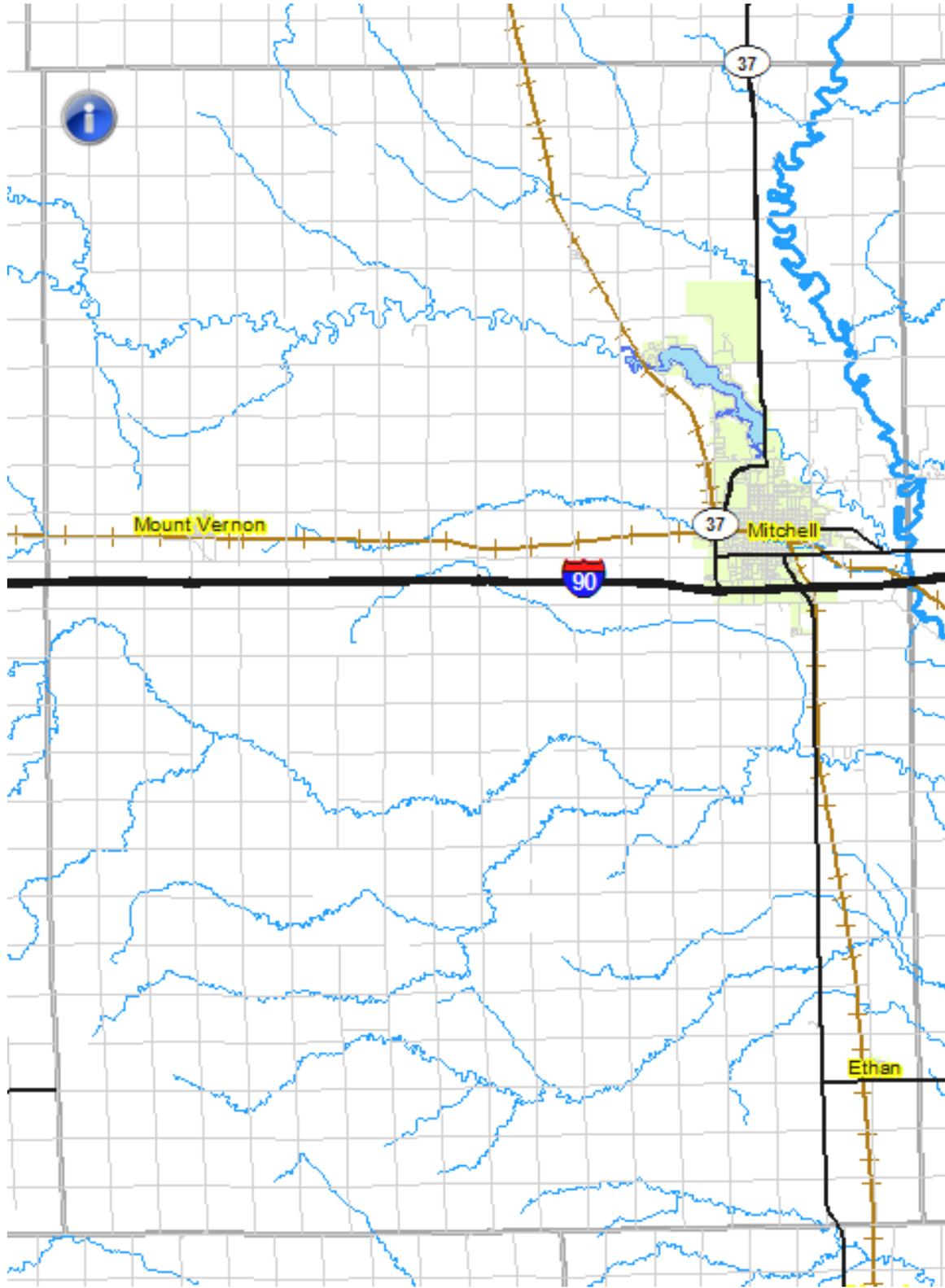


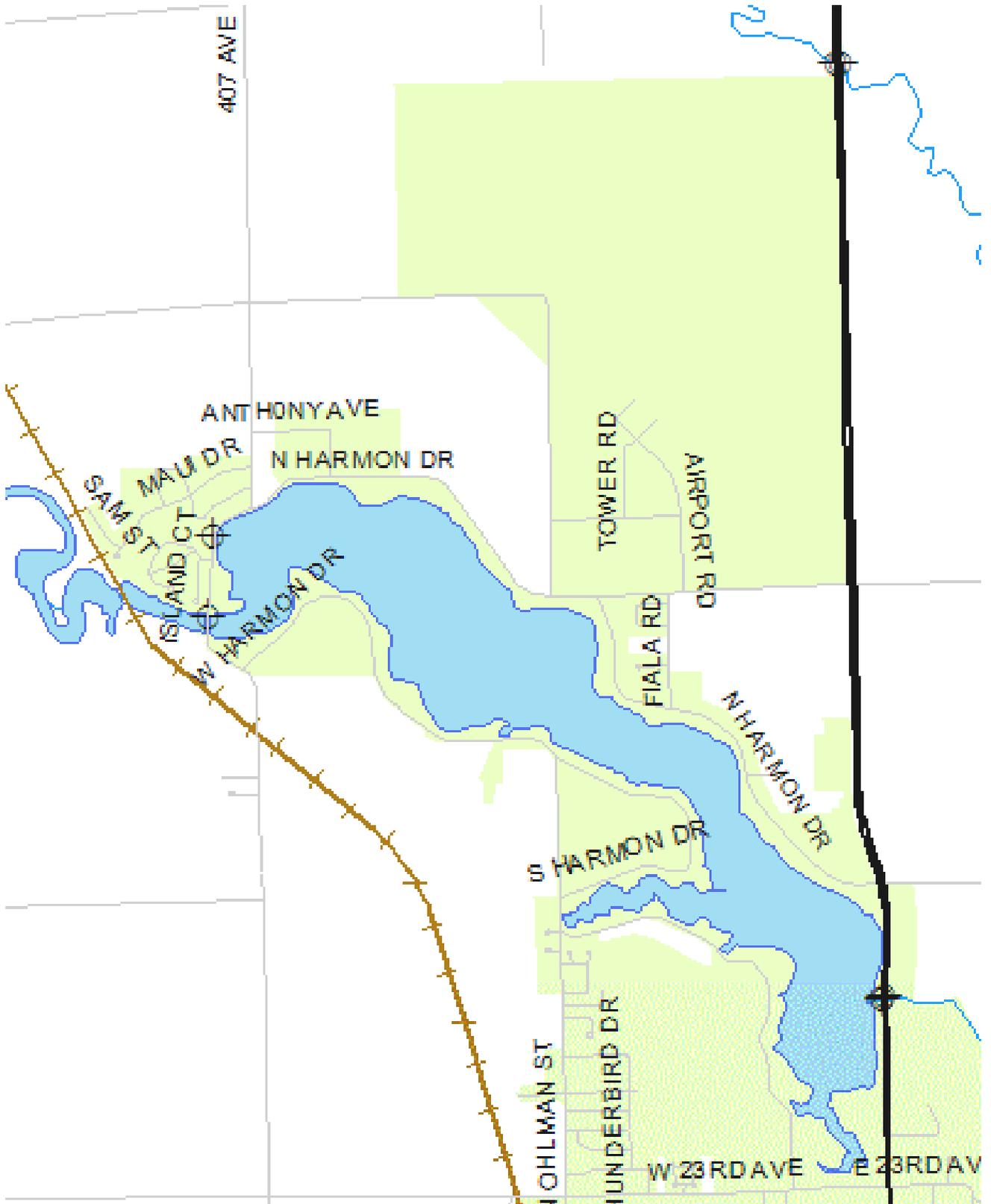
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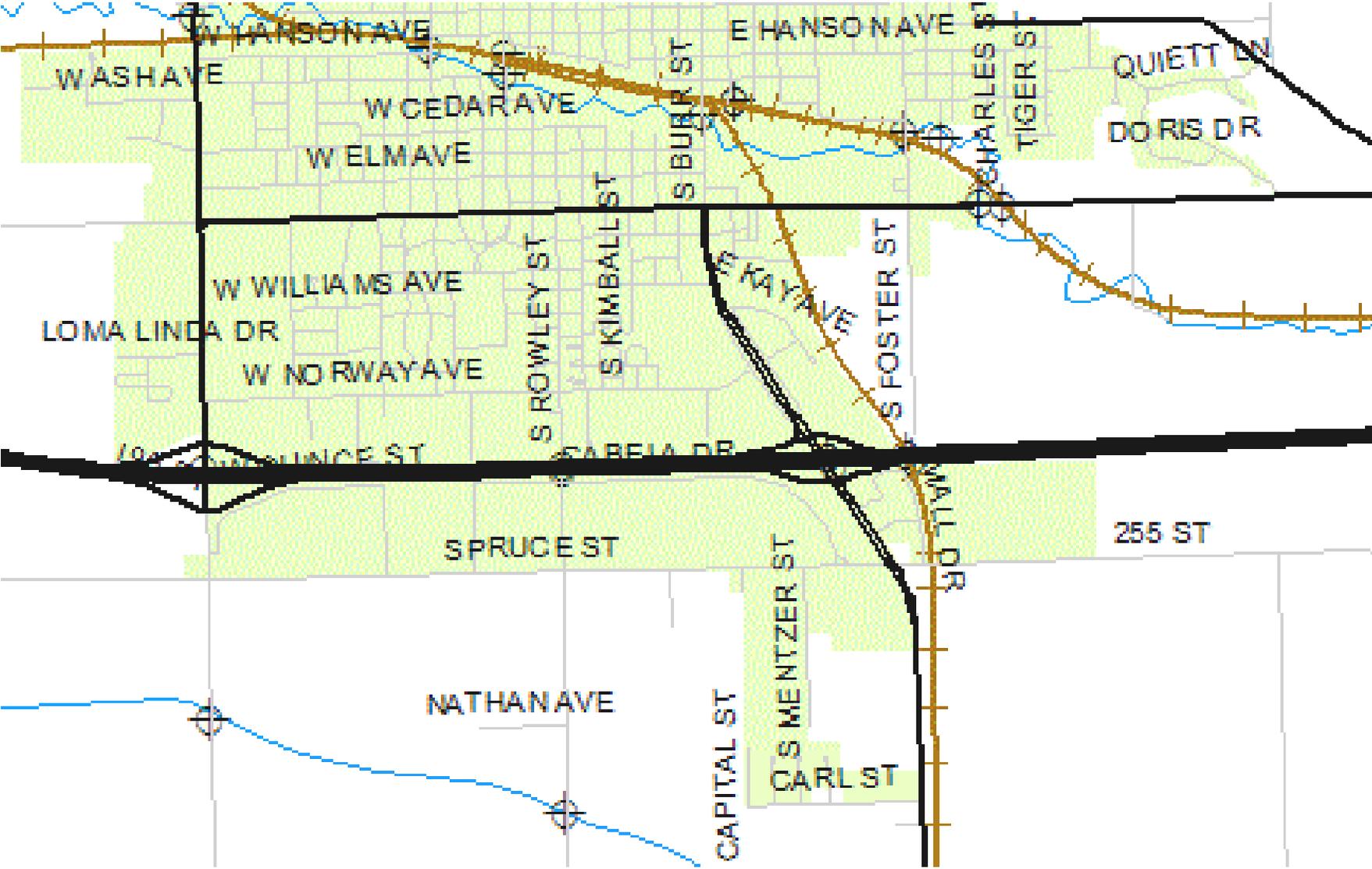


Davison County



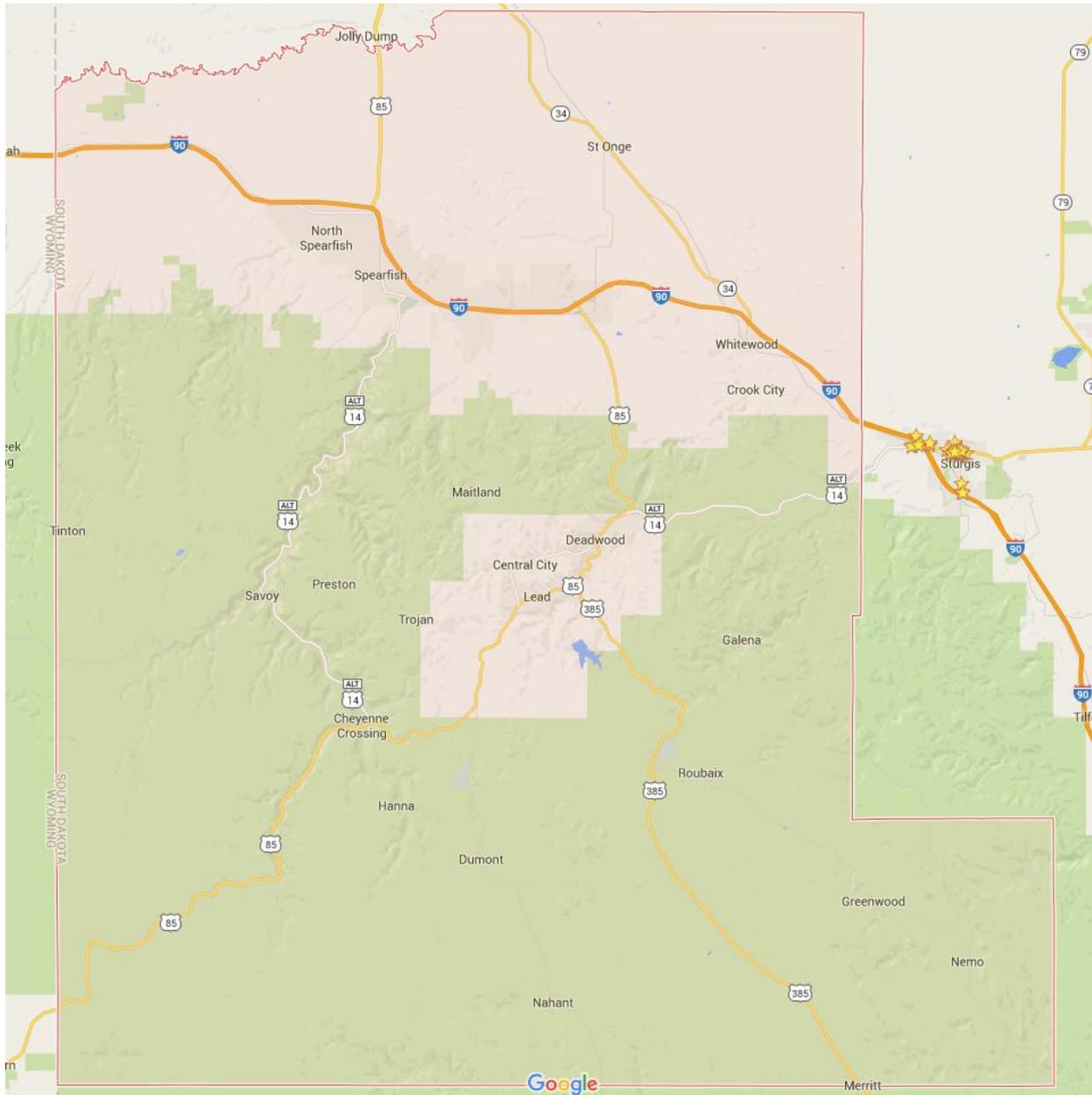


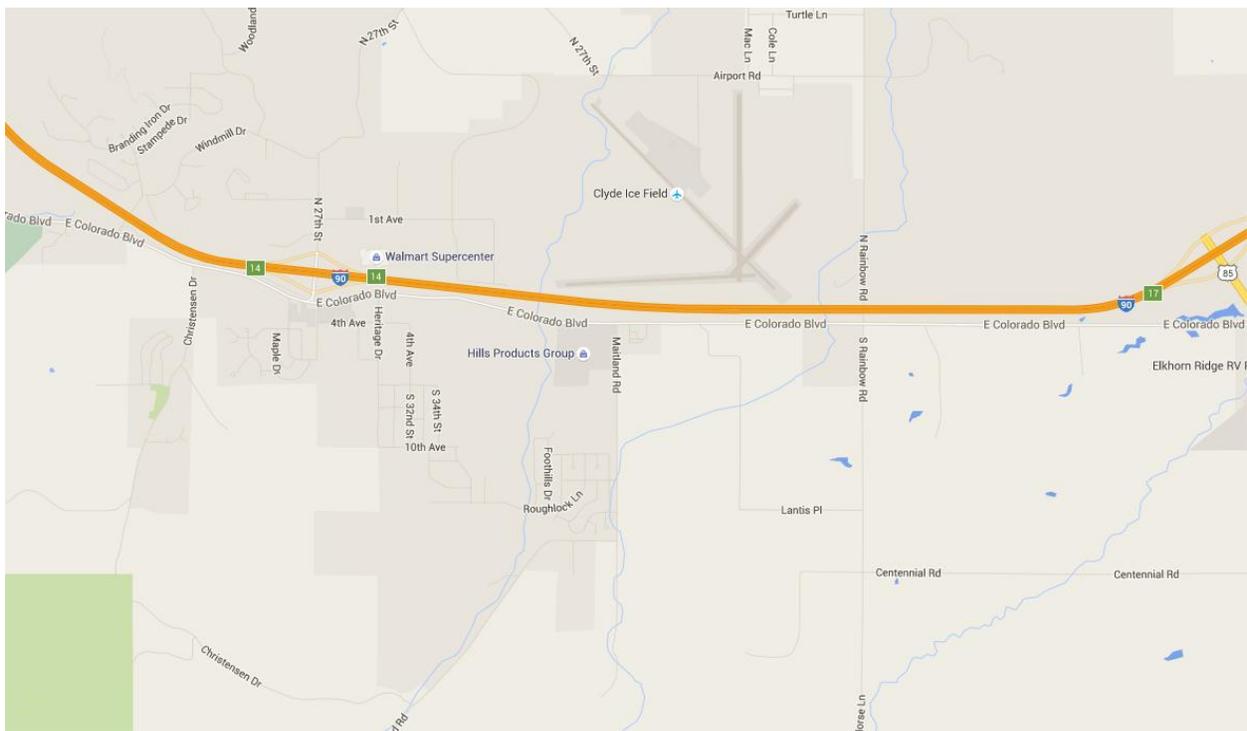
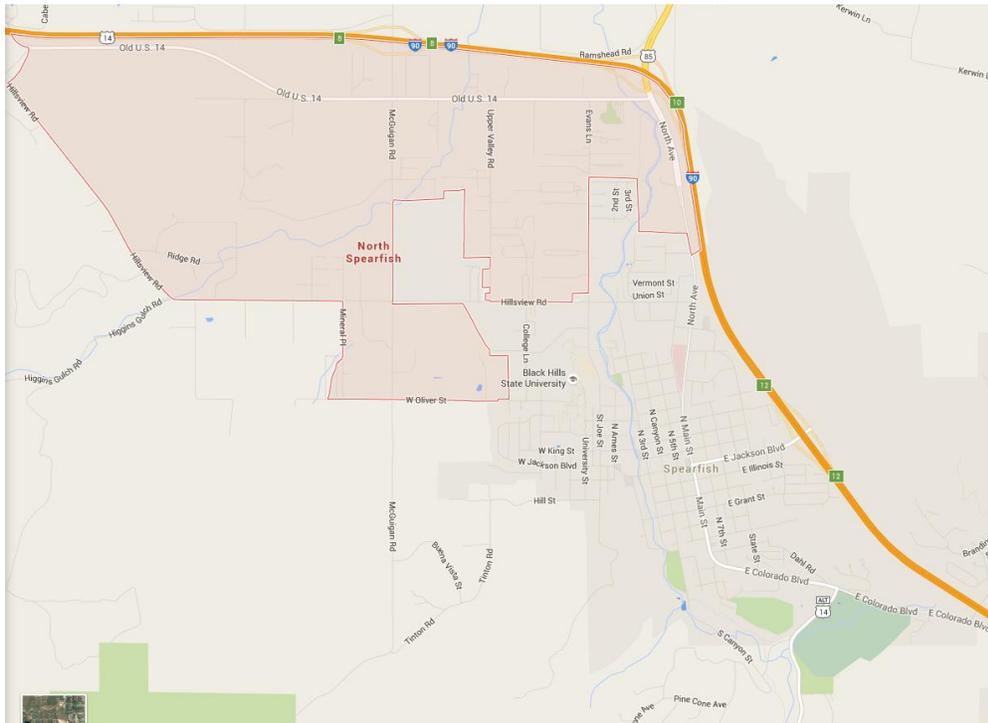


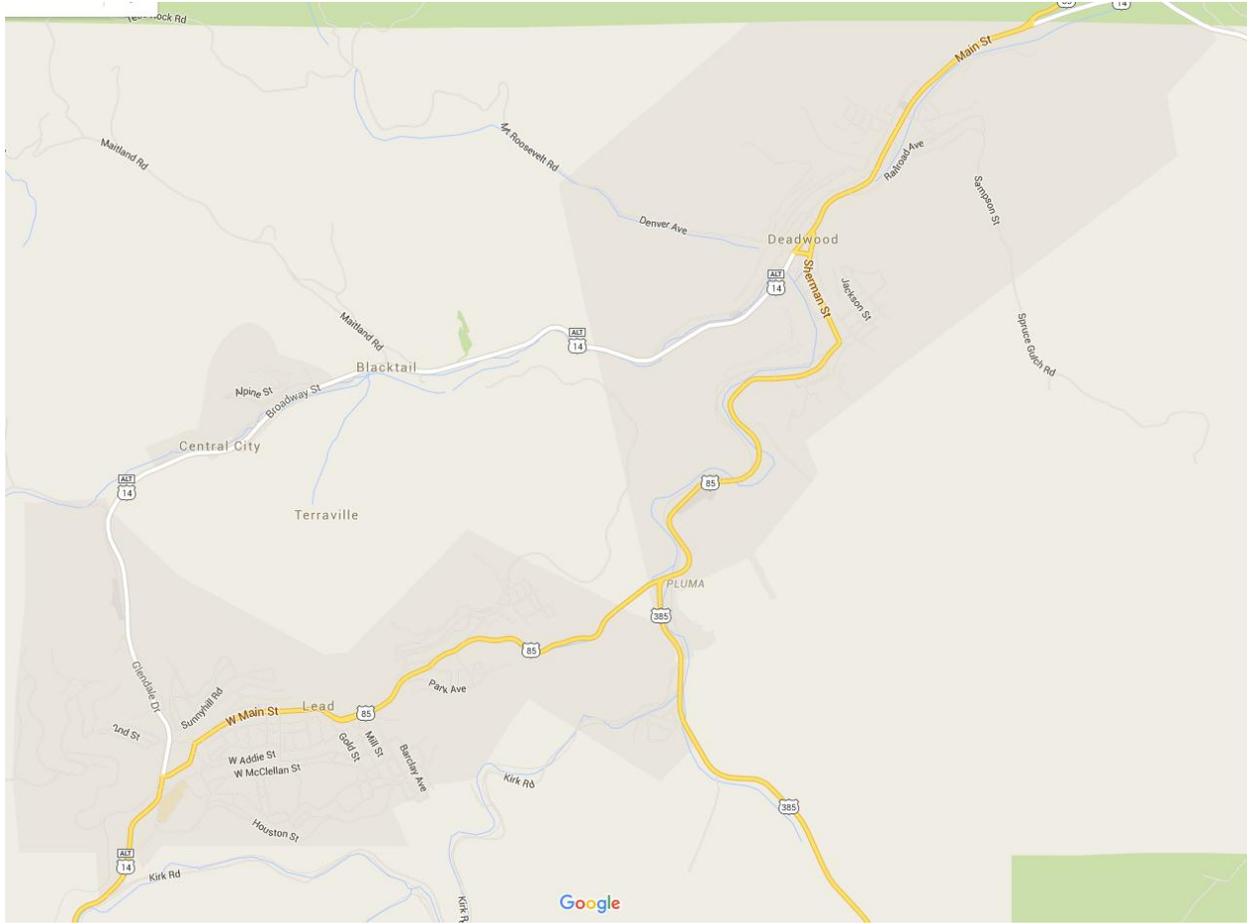




Lawrence County

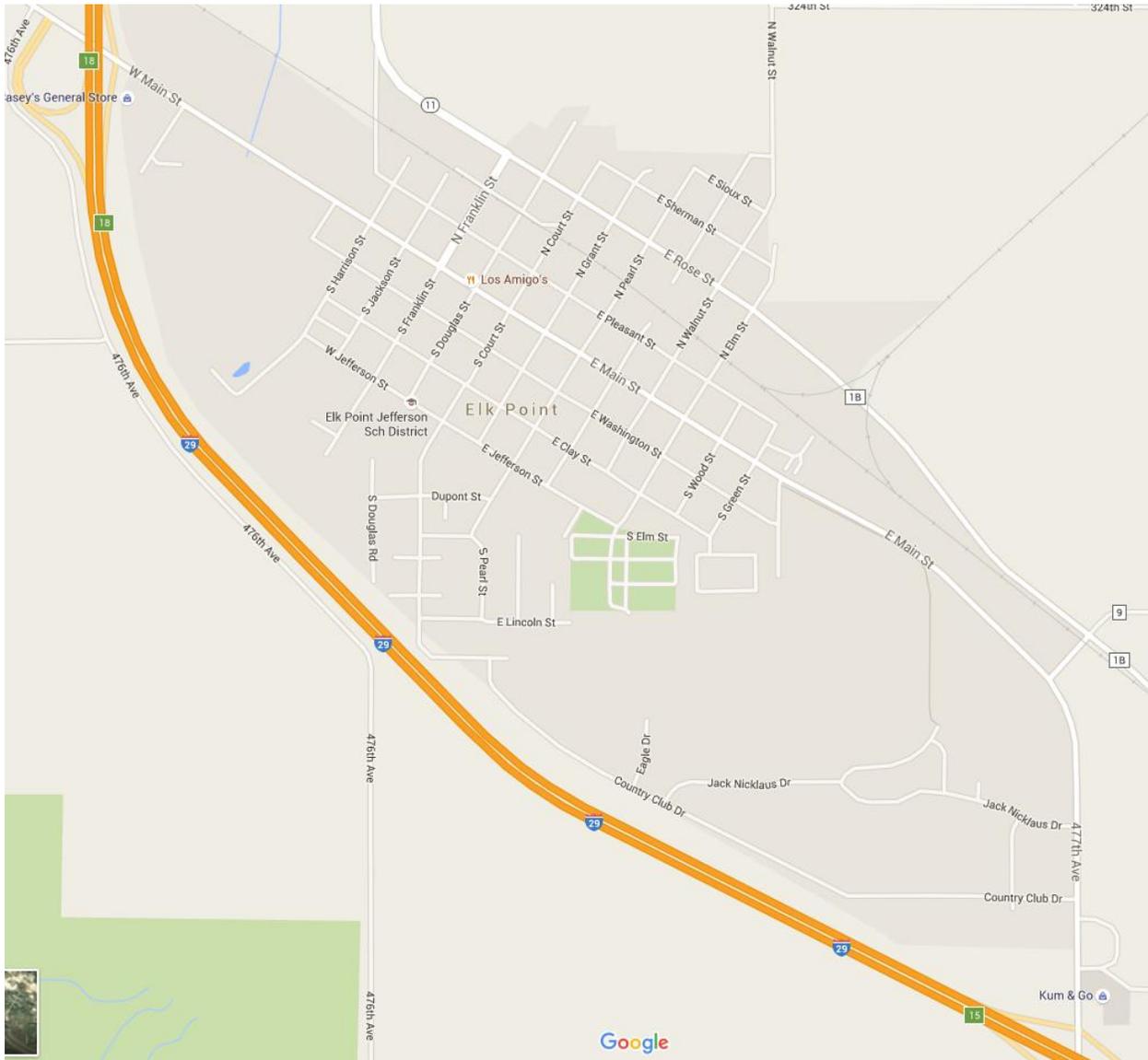


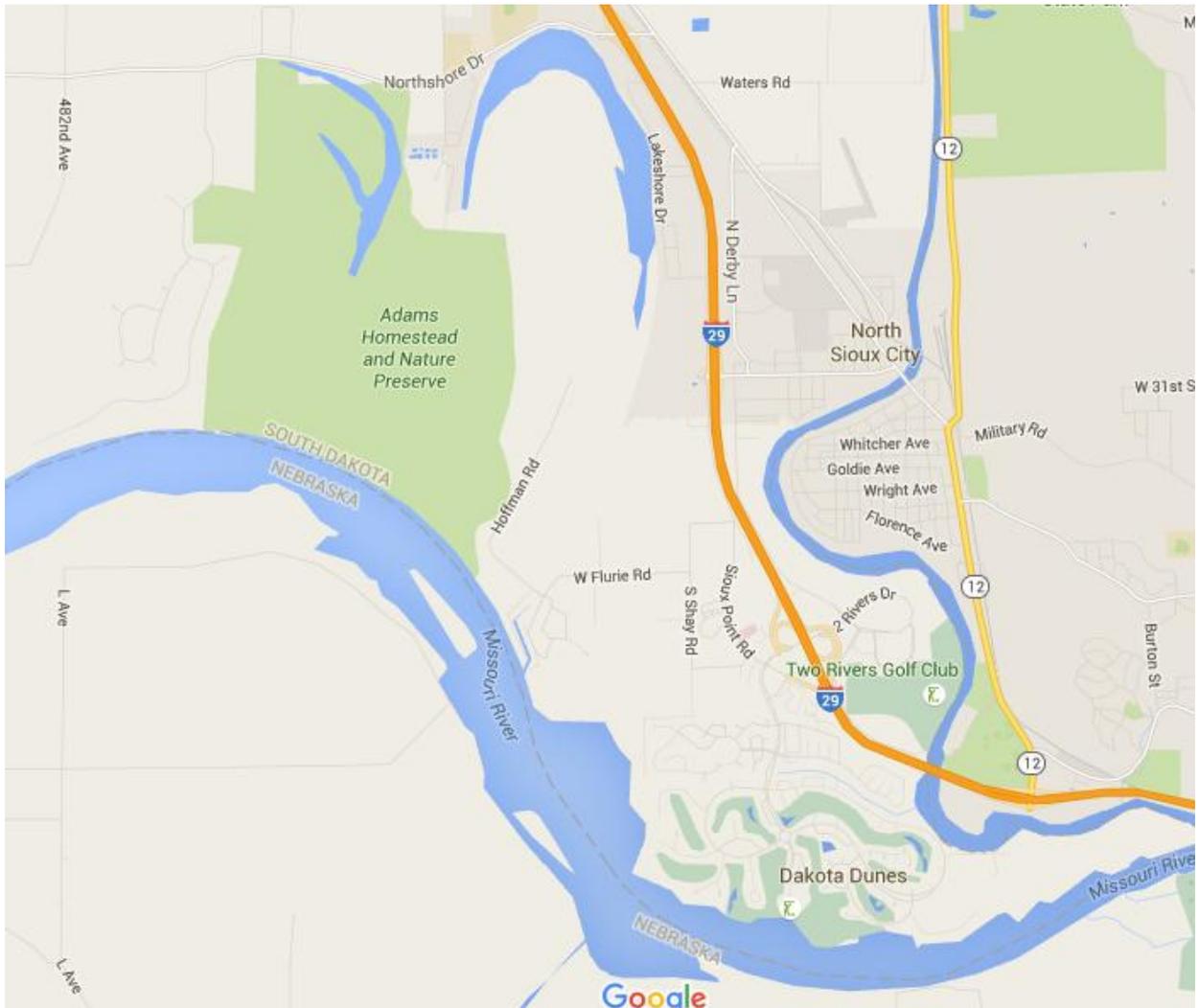


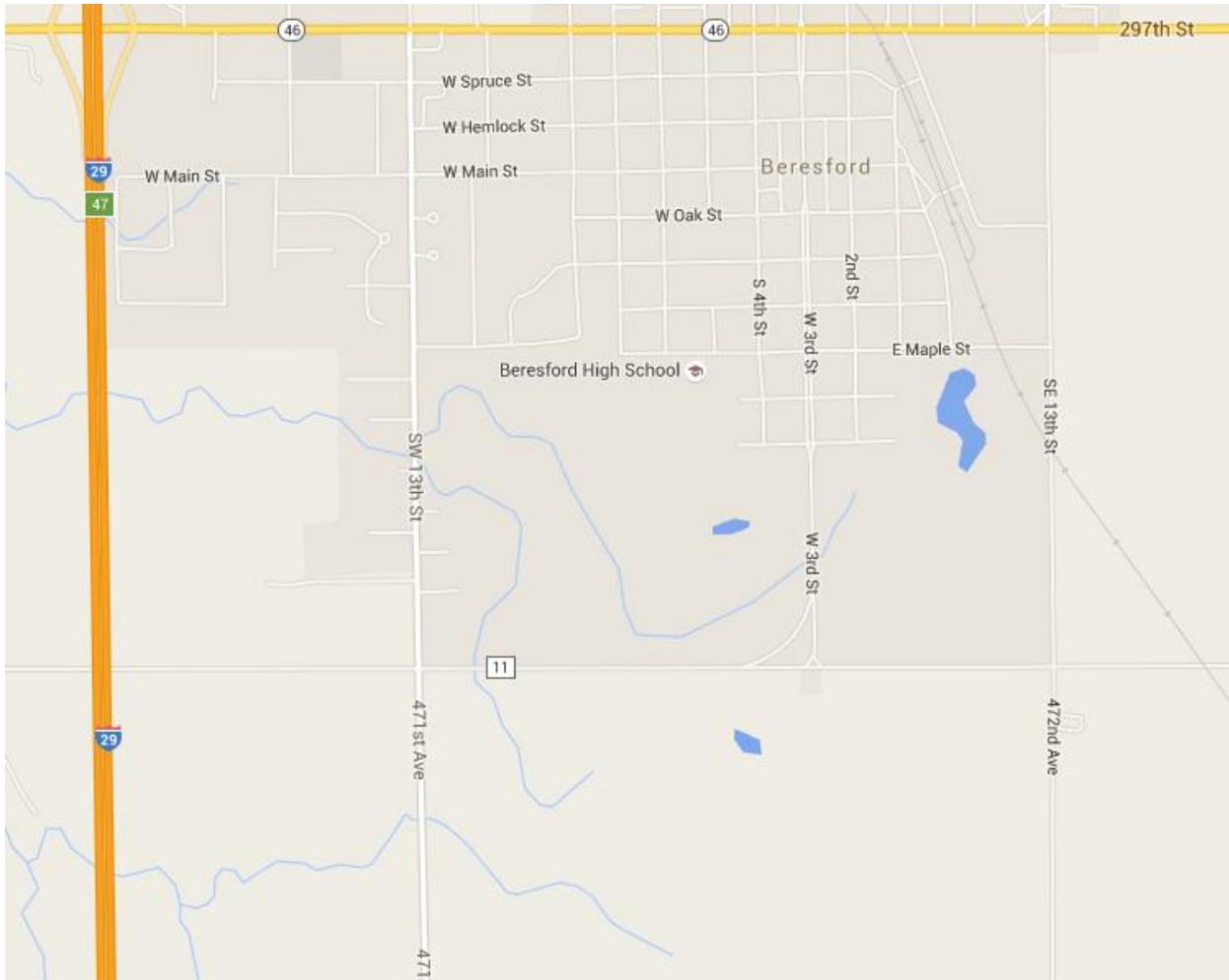


Union County

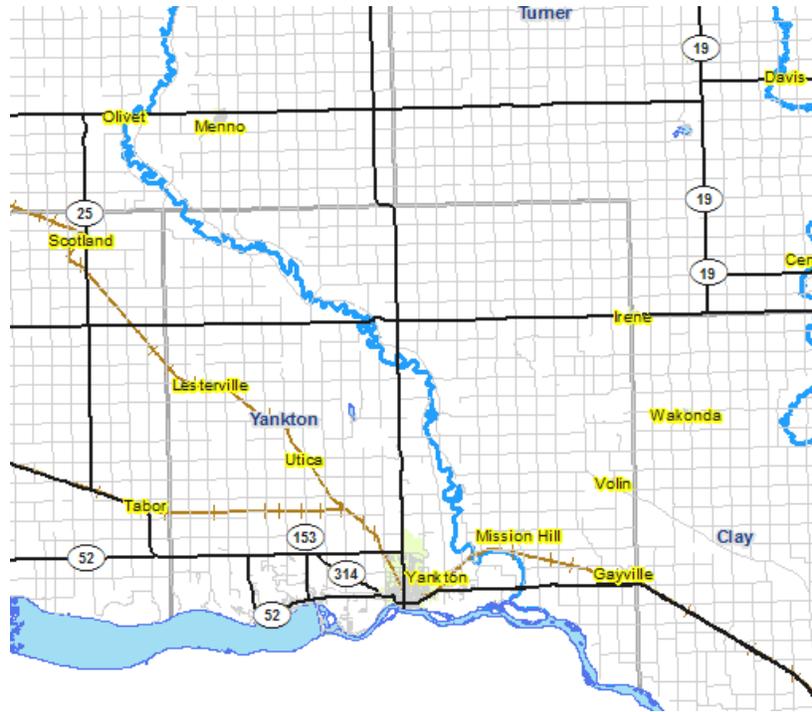


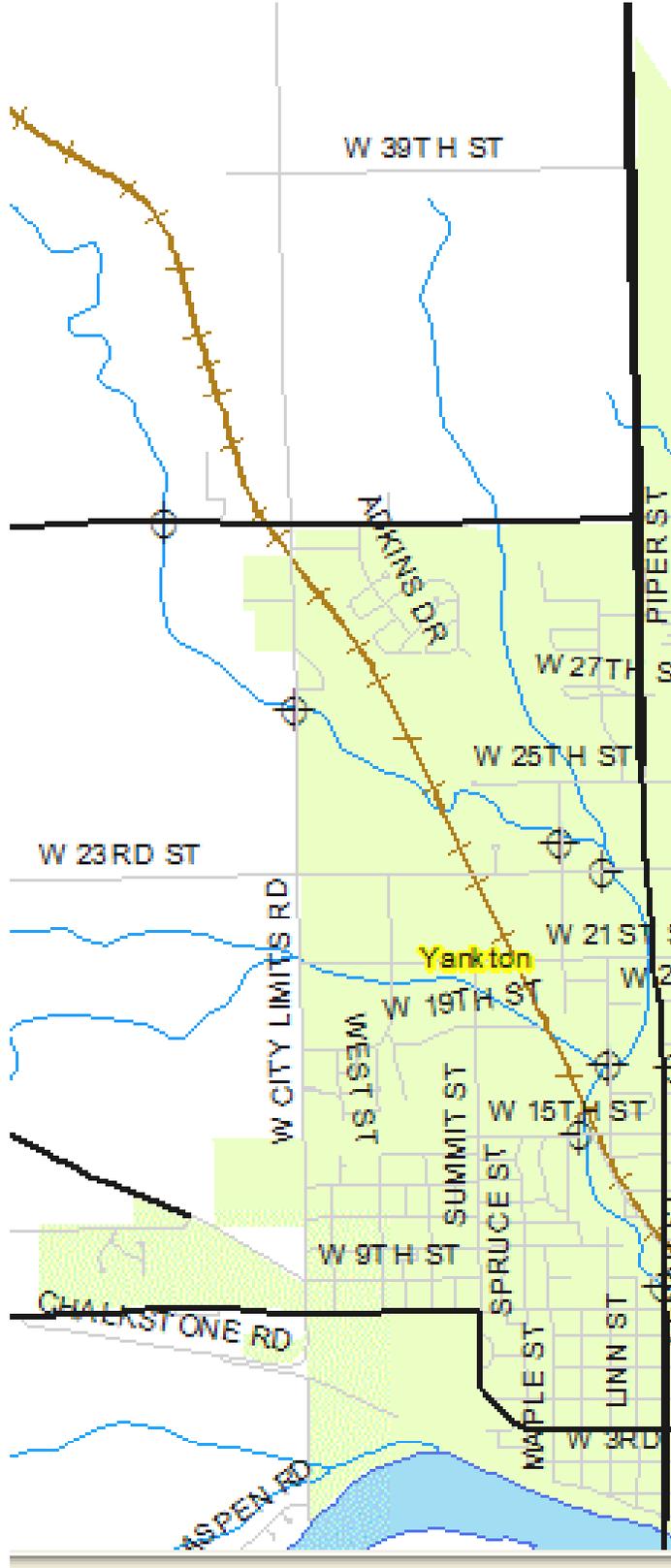


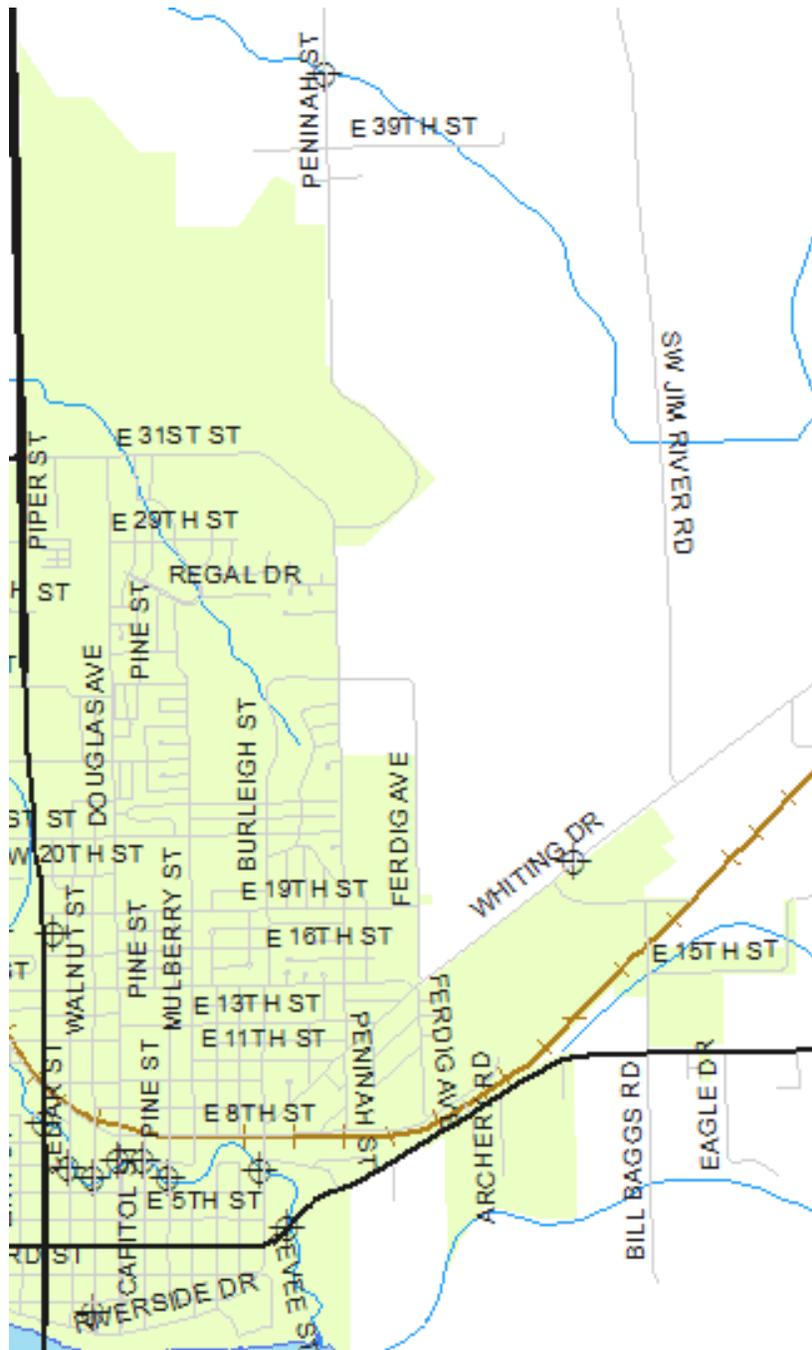




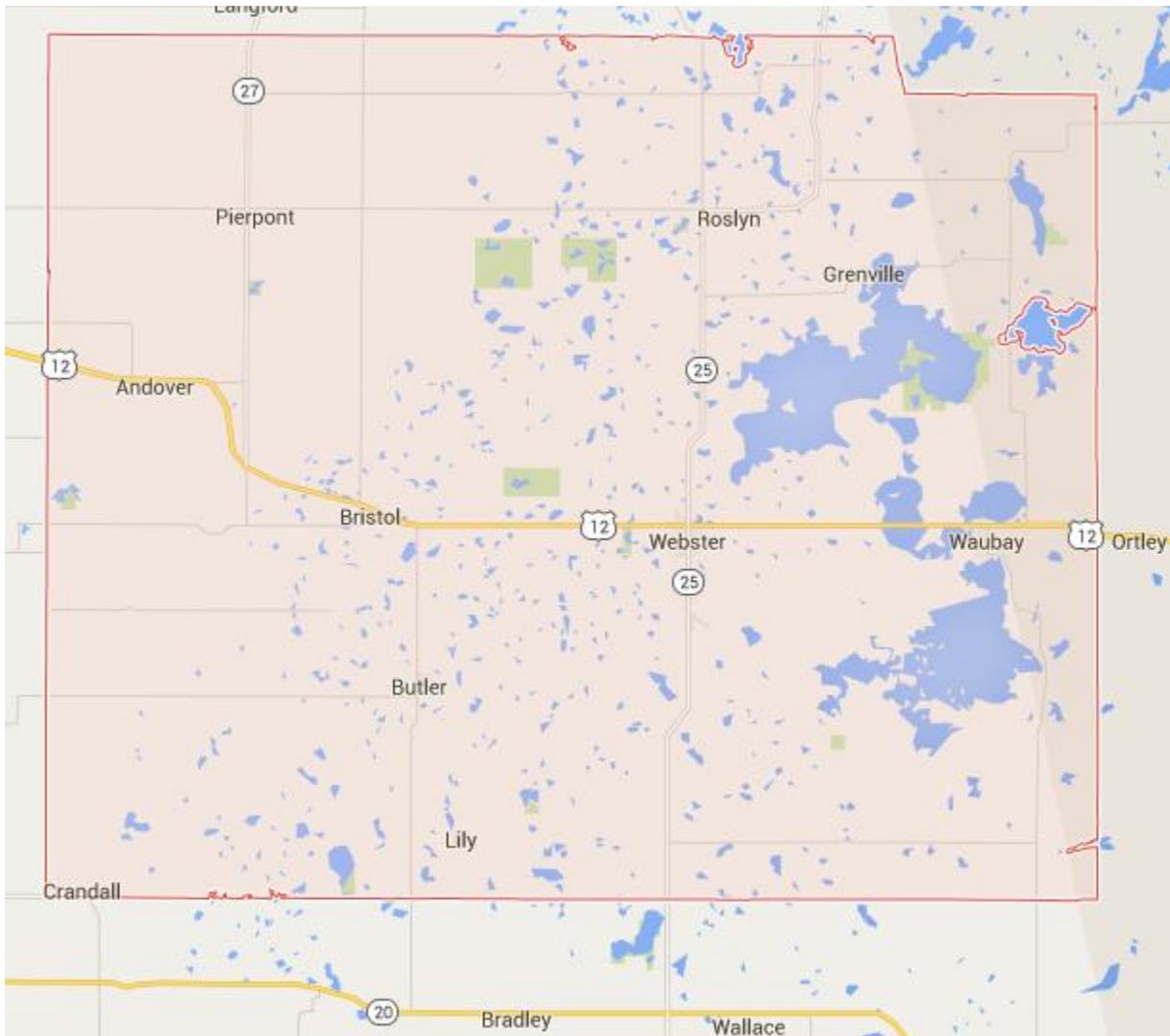
Yankton County







Day County



Jones County



ANNUAL SYNAR REPORT

42 U.S.C. 300x-26

OMB № 0930-0222

FFY 2017

State: SD

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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, 5600 Fisher's Lane, Rockville, MD 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 2016 Compliance Progress) and future plans to ensure compliance with the Synar requirements to reduce youth tobacco access rates (FFY 2017 Intended Use Plan). These data are required by 42 U.S.C. 300x-26 and will be used by the Secretary to evaluate state compliance with the statute. Part of the mission of the Center for Substance Abuse Prevention (CSAP) is to assist states¹ by supporting Synar activities and providing technical assistance helpful in determining the type of enforcement measures and control strategies that are most effective. This information is helpful to CSAP in improving technical assistance resources and expertise on enforcement efforts and tobacco control program support activities, including state Synar program support services, through an enhanced technical assistance program involving conferences and workshops, development of training materials and guidance documents, and onsite technical assistance consultation.

How the Synar report can help states

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

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

Getting assistance in completing the Synar report

If you have questions about programmatic issues, you may call CSAP's Division of State Programs at (240) 276-2550 and ask for your respective State Project Officer, or contact your State Project Officer directly by telephone or email. If you have questions about fiscal or grants management issues, you may call the Grants Management Officer, Office of Financial Resources, Division of Grants Management, at (240) 276-1422.

Where and when to submit the Synar report

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

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

- FFY 2017 Synar Survey Results: States that use the Synar Survey Estimation System (SSES) must upload one copy of SSES Tables 1–5 (in Excel) to WebBGAS. States that do not use SSES must upload one copy of ASR Forms 1, 4, and 5, and Forms 2 and 3, if applicable, (in Excel), as well as a database with the raw inspection data to WebBGAS.
- Synar Inspection Form: States must upload one blank copy of the inspection form used to record the result of each Synar inspection.
- Synar Inspection Protocol: States must upload a copy of the protocol used to train inspection teams on conducting and reporting the results of the Synar inspections. This document should be different than the Appendix C attached to the Annual Synar Report
- A scanned copy of the signed Funding Agreements/Certifications

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

FFY 2017: FUNDING AGREEMENTS/CERTIFICATIONS

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

PUBLIC HEALTH SERVICES ACT AND SYNAR AMENDMENT	
42 U.S.C. 300x-26 requires each state to submit an annual report of its progress in meeting the requirements of the Synar Amendment and its implementing regulation (45 C.F.R. 96.130) to the Secretary of the Department of Health and Human Services. By signing below, the chief executive officer (or an authorized designee) of the applicant organization certifies that the state has complied with these reporting requirements and the certifications as set forth below.	
SYNAR SURVEY SAMPLING METHODOLOGY	
The state certifies that the Synar survey sampling methodology on file with the Center for Substance Abuse Prevention and submitted with the Annual Synar Report for FFY 2017 is up-to-date and approved by the Center for Substance Abuse Prevention.	
SYNAR SURVEY INSPECTION PROTOCOL	
The state certifies that the Synar Survey Inspection Protocol on file with the Center for Substance Abuse Prevention and submitted with the Annual Synar Report for FFY 2017 is up-to-date and approved by the Center for Substance Abuse Prevention.	
State: South Dakota	
Name of Chief Executive Officer or Designee: Lynne A. Valenti	
Signature of CEO or Designee:	
Title: Secretary, Department of Social Services	Date Signed:
If signed by a designee, a copy of the designation must be attached.	

SECTION I: FFY 2016 (Compliance Progress)

YOUTH ACCESS LAWS, ACTIVITIES, AND ENFORCEMENT

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

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

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

Yes No

If Yes, current minimum age: 19 20 21

b. Have there been any changes in state law that impact the state’s protocol for conducting Synar inspections?

Yes No

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

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

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

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

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

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

Web address: <http://dss.sd.gov/behavioralhealth/community/reports.aspx>

Date published: November 1, 2016.

- Notice published in a newspaper or newsletter
- Public hearing

- Announced in a news release, a press conference, or discussed in a media interview
- Distributed for review as part of the SABG application process
- Distributed through the public library system
- Published in an annual register
- Other *(Please describe.)* Shared with the Statewide Alcohol & Drug Advisory Council, the State Epidemiological Outcomes Workgroup, & the network of prevention providers.

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:**

Department of Social Services

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

- Yes No

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

Department of Social Services

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):**

Individual County State Attorneys

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).**

Department of Health and Department of Social Services

- 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 Department of Social Services Community Behavioral Health has worked with the Department of Health and the State Prevention Coordinator participated in the DOH strategic planning process. DOH provides the funding for the SYNAR inspections

No relationship

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

Yes No (if no, go to Question 5)

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

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

Yes No

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

- Are the same
- Have a formal written memorandum of agreement
- Have an informal partnership
- Conduct joint planning activities
- Combine resources
- Have other collaborative arrangement(s) *(Please describe.)* _____
- No relationship

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

Yes No

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

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

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

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

PENALTY	OWNERS	CLERKS	TOTAL
Number of <u>citations issued</u>	N/A	14	14
Number of <u>finer assessed</u>	N/A	N/A	N/A
Number of <u>permits/licenses suspended</u>	N/A		N/A
Number of <u>permits/licenses revoked</u>	N/A		N/A
Other (Please describe.) <i>This reflects the statewide number of citations for possession/consumption of individuals under the age of 18.</i>	N/A	N/A	196

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

Yes No

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

Formal reports documenting sales are provided to States Attorneys. Further action is at the discretion of States Attorneys

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

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

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

Yes No

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

Merchant education and/or training

The retailers group provides training and education with a "We Card" program. Community education on tobacco is also provided by the 3 Prevention Resource Centers and other Prevention Providers in the State to local Retailers.

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

The retailers group provides training and education with a "We Card" program. Community education is provided via the community-based prevention coalitions to Retailors in the 66 counties in South Dakota upon request.

Media use to publicize compliance inspection results

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

Prevention providers in the State have contracts with DOH to provide tobacco prevention activities to youth and young adults in the State.

Other activities (*Please list.*) _____

SYNAR SURVEY METHODS AND RESULTS

The following questions pertain to the survey methodology and results of the Synar survey used by the state to meet the requirements of the Synar Regulation in FFY 2016 (see 42 U.S.C. 300x-26 and 45 C.F.R. 96.130).

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

Yes No

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

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

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

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

Yes No

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

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

Unweighted RVR _____

Weighted RVR _____

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

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

RVR Estimate + (1.645 ×) =
 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 Sampling frame coverage study: 2016

b. Percent coverage from the latest Sampling frame coverage study: 86.4% Weighted

c. Was a new study conducted in this reporting period?

Yes No

If Yes, please complete Appendix D (List Sampling Frame Coverage Study) and submit it with the Annual Synar Report.

d. The calendar year of the next coverage study planned: 2019

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

Yes No

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

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

b. Provide the inspection period: From 06-20-16 to 8-19-16
MM/DD/YY MM/DD/YY

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

10

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

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

SECTION II: FFY 2017 (Intended Use):

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

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

Synar sampling methodology Yes No

Synar inspection protocol Yes No

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

2. Please describe the state's plans to maintain and/or reduce the target rate for Synar inspections to be completed in FFY 2017. Include a brief description of plans for law enforcement efforts to enforce youth tobacco access laws, activities that support law enforcement efforts to enforce youth tobacco access laws, and any anticipated changes in youth tobacco access legislation or regulation in the state.

The Department of Social Services Prevention Program will continue to monitor compliance in accordance with the regulations and will explore opportunities to work with law enforcement and States Attorney's offices to provide greater consistency with penalties, fines, etc. The Department of Social Services Prevention Program will also work to increase education to community-based coalitions regarding environmental strategies to impact tobacco access issues.

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

Limited resources for law enforcement of youth access laws

Local law enforcement has limited funds to support compliance checks outside of the SYNAR inspections. The Division has a positive working relationship with the Attorney General's office and local law enforcement, but has struggled to get agreements to conduct tobacco inspections in those counties that include Indian Reservations.

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

The Division continues to pursue collaborative efforts to enhance funding for enforcement of tobacco access laws. This reporting period additional funding was obtained from DOH to conduct inspections related to e-cigarettes outside of the SYNAR inspections.

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 balance of inspections conducted by youth inspectors age 15 and under

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

- Geographic, demographic, and logistical considerations in conducting inspections

The geographic structure of the State can be challenging, as there are many miles to cover. There is a shortage of resources associated with law enforcement and funding. However, even with the challenges, South Dakota's rates have remained within guidelines, and the State will continue to explore opportunities to further reduce the rate.

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

- Issues regarding sources of tobacco under tribal jurisdiction

South Dakota has nine sovereign tribes that the State does not have the authority over for tobacco compliance enforcement.

- Other challenges (*Please list.*)_____

APPENDIX A: FORMS 1–5

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

Complete Form 1 to report sampling frame and sample information and to calculate the unweighted retailer violation rate (RVR) using results from the current year’s Synar survey inspections.

Instructions for Completing Form 1: In the top right-hand corner of the form, provide the state name and reporting federal fiscal year (FFY 2017). Provide the remaining information by stratum if stratification was used. Make copies of the form if additional rows are needed to list all the strata.

Column 1: *If stratification was used:*

1(a) Sequentially number each row.

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

If no stratification was used:

1(a) Leave blank.

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

FORM 2 (Optional)

Appropriate for stratified simple or systematic random sampling designs.

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

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

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

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

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

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

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

Column 1: Sequentially number each row.

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

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

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

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

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

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

Summary of Clusters Created and Sampled				
State: <u>SD</u>				
FFY: <u>2017</u>				
(1) Row #	(2) Stratum Name	(3) Number of PSUs Created	(4) Number of PSUs Selected	(5) Number of PSUs in the Final Sample
Total				

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

Complete Form 4 to provide detailed tallies of ineligible sample outlets by reasons for ineligibility and detailed tallies of eligible sample outlets with noncomplete inspections by reasons for noncompletion.

Instructions for Completing Form 4: In the top right-hand corner of the form, provide the state name and reporting federal fiscal year (FFY 2017).

Column 1(a): Enter the number of sample outlets found ineligible for inspection by reason for ineligibility. Provide the total number of ineligible outlets in the row marked "Total."

Column 2(a): Enter the number of eligible sample outlets with noncomplete inspections by reason for noncompletion. Provide the total number of eligible outlets with noncomplete inspections in the row marked "Total."

Inspection Tallies by Reason of Ineligibility or Noncompletion			
		State: SD	
		FFY: 2017	
(1) INELIGIBLE		(2) ELIGIBLE	
Reason for Ineligibility	(a) Counts	Reason for Noncompletion	(a) Counts
Out of business		In operation but closed at time of visit	
Does not sell tobacco products		Unsafe to access	
Inaccessible by youth		Presence of police	
Private club or private residence		Youth inspector knows salesperson	
Temporary closure		Moved to new location	
Unlocatable		Drive-thru only/youth inspector has no driver's license	
Wholesale only/Carton sale only		Tobacco out of stock	
Vending machine broken		Ran out of time	
Duplicate		Other noncompletion reason(s) (<i>Describe.</i>)	
Other ineligibility reason(s) (<i>Describe.</i>)			
Total		Total	

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

Complete Form 5 to show the distribution of outlet inspection results by age and gender of the youth inspectors.

Instructions for Completing Form 5: In the top right-hand corner of the form, provide the state name and reporting federal fiscal year (FFY 2017).

Column 1: Enter the number of attempted buys by youth inspector age and gender.

Column 2: Enter the number of successful buys by youth inspector age and gender.

If the inspectors are age eligible but the gender of the inspector is unknown, include those inspections in the “Other” row. Calculate subtotals for males and females in rows marked “Male Subtotal” and “Female Subtotal.” Sum subtotals for Male, Female, and Other and record in the bottom row marked “Total.” Verify that the total of attempted buys and successful buys equals the total for Column 4(c) and Column 5(c), respectively, on Form 1. If the totals do not match, please explain any discrepancies.

Synar Survey Inspector Characteristics		
		State: <u>SD</u>
		FFY: <u>2017</u>
	(1) Attempted Buys	(2) Successful Buys
Male		
15 years		
16 years		
17 years		
18 years		
Male Subtotal		
Female		
15 years		
16 years		
17 years		
18 years		
Female Subtotal		
Other		
Total		

APPENDIXES B & C: FORMS

Instructions

Appendix B (Sampling Design) and Appendix C (Inspection Protocol) are to reflect the state's CSAP-approved sampling design and inspection protocol. These appendixes, therefore, should generally describe the design and protocol and, with the exception of Question #10 of Appendix B, are not to be modified with year-specific information. Please note that any changes to either appendix must receive CSAP's advance, written approval. To facilitate the state's completion of this section, simply cut and paste the previously approved sampling design (Appendix B) and inspection protocol (Appendix C).

APPENDIX B: SYNAR SURVEY SAMPLING METHODOLOGY

State: SD
 FFY: 2017

1. What type of sampling frame is used?

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

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

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

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

Name of Frame Source	Type of Source	Description	Updating Method and Cycle
Business Listings	1	The list frame was developed from a commercial business list and refined over the years of surveying outlets.	This list frame is updated annually based on information from outlet inspections, a verification process for larger communities in which outlet changes have occurred, and integration of the coverage study information. In addition, the list frame is reviewed annually and the existence of suspect outlets is verified and updated.

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

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

- Yes No

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

_____ %

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

Yes No

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

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

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

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

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

Census (STOP HERE: Appendix B is complete.)

Unstratified statewide sample:

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

Stratified sample:

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

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

7. Provide the following information about stratification.

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

South Dakota's strata are based on the seven (7) Unified Judicial Districts in the state. This aids in working with the South Dakota Unified Judicial system and county State's Attorneys. The counties included in each strata are summarized below.

Strata 1 (Region 1): Aurora, Brule, Bon Homme, Buffalo, Charles Mix, Clay, Davison, Douglas, Hanson, Hutchinson, McCook, Turner, Union, and Yankton

Strata 2 (Region 2): Minnehaha, Lincoln

Strata 3 (Region 3): Beadle, Brookings, Clark, Codington, Deuel, Grant, Hamlin, Hand, Jerauld, Kingsbury, Lake, Miner, Moody, and Sanborn

Strata 4 (Region 4): Butte, Corson, Dewey, Harding, Lawrence, Meade, Perkins, and Ziebach

Strata 5 (Region 5): Brown, Campbell, Day, Edmunds, Faulk, Marshall, McPherson, Roberts, Spink, and Walworth

Strata 6 (Region 6): Bennett, Gregory, Haakon, Hughes, Hyde, Jackson, Jones, Lyman, Mellette, Potter, Stanley, Sully, Tripp, Todd

Strata 7 (Region 7): Custer, Fall River, Pennington, Shannon

South Dakota will also select a random reserve sample. The purpose of the reserve sample is to provide an additional pool of outlets to inspect when an ineligible outlet is encountered during the inspection process in order to attain an appropriate sample size as planned in each stratum. The reserve sample will be selected using the same sampling methods as for the original sample list. Simple random sampling (SRS) is applied again to select outlets for the reserve list from the remaining outlets (after taking out the original sample list) in each stratum. The sample size for the reserve list will be about one-half of the sample size of the original sample outlet. For example, if the original sample size for Stratum 1 is planned to be 100. After randomly selecting 100 outlets for the sample list, an additional 50 outlets are randomly selected for the reserve sample for Stratum 1. Depending on the size of the stratum, it is possible that all of the remaining outlets may be selected for the reserve list. All of the sampling procedures will be performed using statistical software. Inspectors encountering an ineligible outlet during the inspection process are instructed to select the first outlet from the reserve sample as a replacement and so on for the next ineligible outlet encountered

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.

South Dakota used the SSES software in FY2017 for sample size calculations.

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: 2.26%

Frame Size: 780

Input for Target Sample Size:

Design Effect: 1

Inputs for Original Sample Size:

Safety Margin: 30.0%

Accuracy (Eligibility) Rate: 94.51%

Completion Rate: 100.0%

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:

<u>Stratum ID:</u>	<u>Stratum Size:</u>
1:	157 outlets
2:	167 outlets
3:	129 outlets
4:	60 outlets
5:	82 outlets
6:	72 outlets
7:	113 outlets

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

APPENDIX C: SYNAR SURVEY INSPECTION PROTOCOL SUMMARY

State: SD

FFY: 2017

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

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

a. Consummated buy attempts?

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

b. Youth inspectors to carry ID?

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

c. Adult inspectors to enter the outlet?

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

d. Youth inspectors to be compensated?

- Required
 Permitted under specified circumstances (Describe: _____)
 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): Mountain Plains Evaluation, LLC

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

Always Usually Sometimes Rarely Never

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

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

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

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

We ask our prevention personnel across the State for the common brands of cigarettes and smokeless tobacco products most commonly used by youth.

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

Adult inspectors are recruited based on substantial experience in working with youth and law enforcement.

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

Youth are selected through recommendations from teachers, prevention professionals and law enforcement professionals. Youth are then interviewed to determine if they are interested in participating in the inspections and if they are a good match for the inspection work. Youth's parents are also consulted and consent forms and specific training materials regarding the requirements are reviewed with both parents and youth.

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.)

A letter provided by the South Dakota Attorney General provides immunity for the youth conducting the inspections.

b. Procedural

Yes No

(If Yes, please describe.)

South Dakota only uses 16 year old youth as youth inspectors. The youth may not miss any school and inspections are conducted between 8:00 am and 10:00 pm. In addition, youth are not used in their home town, unless their home town is quite large and the chance of the youth being identified is minimal.

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.)

Immunity is provided by the Attorney General

b. Procedural

Yes No

(If Yes, please describe.)

There is extensive interviewing and training conducted with the youth and their family. The youth is always in the company of an adult inspector. Procedures are fully explained and reviewed prior to inspections for potential situations should a youth feel unsafe at any time.

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

a. Legal

Yes No

(If Yes, please describe.)

b. Procedural

Yes No

(If Yes, please describe.)

APPENDIX D: LIST SAMPLING FRAME COVERAGE STUDY

(LIST FRAME ONLY)

State: SD
FFY: 2017

1. Calendar year of the coverage study: 2016

2. a. Unweighted percent coverage found: 88.6%
b. Weighted percent coverage found: 86.4 %
c. Number of outlets found through canvassing: 212
d. Number of outlets matched on the list frame: 188

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

The sampling design and methodology was developed based on the “Guidance for a Synar Sampling Frame Coverage Study” provided by the Substance Abuse and Mental Health Services Administration (SAMHSA). In addition, the sampling design and methodology also had to accommodate the unique dispersion of tobacco outlets in South Dakota to provide an accurate assessment of the current tobacco list frame used by the state of South Dakota. South Dakota is diverse both geographically and in population density. There are two main population centers, Sioux Falls and Rapid City, located respectively on the east and west side of the state. Minnehaha and Pennington counties (that contain the two cities) combined account for approximately 30% of the tobacco outlets contained on the current list sampling frame. The remainder of the counties in the state can be divided based upon the number of tobacco outlets into medium and small groups.

b. Were any areas of the state excluded from sampling?

Yes No

If Yes, please explain.

Five counties are completely within Indian reservations and the state does not have jurisdiction to conduct surveys with in Indian reservations or on Native lands.

4. Please answer the following questions about the selection of canvassing areas.

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

Census (Go to Question 6.)

Unstratified statewide sample:

- Simple random sample (*Respond to Part b.*)
- Systematic random sample (*Respond to Part b.*)
- Single-stage cluster sample (*Respond to Parts b and d.*)
- Multistage cluster sample (*Respond to Parts b and d.*)

Stratified sample:

- Simple random sample (*Respond to Parts b and c.*)
- Systematic random sample (*Respond to Parts b and c.*)
- Single-stage cluster sample (*Respond to Parts b, c, and d.*)
- Multistage cluster sample (*Respond to Parts b, c, and d.*)
- Other** (*Please describe and respond to Part b.*) _____

b. Describe the sampling methods.

The sampling design and methodology was developed based on the “Guidance for a Synar Sampling Frame Coverage Study” provided by the Substance Abuse and Mental Health Services Administration (SAMHSA). In addition, the sampling design and methodology also had to accommodate the unique dispersion of tobacco outlets in South Dakota to provide an accurate assessment of the current tobacco list frame used by the state of South Dakota. South Dakota is diverse both geographically and in population density. There are two main population centers, Sioux Falls and Rapid City, located respectively on the east and west side of the state. Minnehaha and Pennington counties (that contain the two cities) combined account for approximately 30% of the tobacco outlets contained on the current list sampling frame. The remainder of the counties in the state can be divided based upon the number of tobacco outlets into medium and small groups.

The counties were entered into Excel along with the total number of tobacco outlets per county. Each county was assigned a code corresponding with the groupings designated as Small, Medium, or Large. The grouping rules were developed based on examination of the frequency distribution of the number of outlets per county along with taking into account the two large counties contained in the Large/Metro category. Note the average number of tobacco outlets for Minnehaha County and Pennington County is 118 tobacco outlets compared to an average of 17.2 tobacco outlets for counties designated to the medium county grouping and an average of 5.2 tobacco outlets for counties designated as a small county.

Based on the data regarding the distribution of outlets by county and geographic region, a decision was made to select six counties from the medium group, and four counties from the small group and to survey in the two Large/Metro counties by census tract to obtain the best geographic representation for the coverage study. The intent was to develop an approach that would sample proportionately from the groups, while retaining a random approach to selection of the sample. The selected counties and census tracts were selected based on a random selection within each county grouping.

Proposed Sampling Approach for Large/Metro Counties (Minnehaha and Pennington counties)

Due to the population and tobacco outlet density in the two Large/Metro counties of Minnehaha (includes Sioux Falls) and Pennington (includes Rapid City), census tracts can be used to conduct the coverage survey. Within Minnehaha and Pennington counties, census tracts were identified and ordered randomly using the Excel random number function. The census tracts were canvassed in the random order until a maximum of thirty total outlets in each county was reached.

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

See description above.

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.

Field observers were instructed to travel all roadways and enter any business likely to be selling tobacco and is accessible to youth

9. If a full canvassing was not conducted:

- a. How many predetermined outlets were to be observed in each area? _____
- b. What were the starting points for each area? _____
- c. Were these starting points randomly chosen?
 Yes No
- d. Describe the selection of the starting points.

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

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

Field observers would enter the business and look for tobacco products for sale. If none were visible, the field observers would ask if they sold tobacco.

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 is determined by business name, physical address, and GPS coordinates.

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

<u>Strata</u>	<u>N outlets (population)</u>	<u>prop matched from sample</u>
1 (Minnehaha)	150	0.9333 (28 of 30)
2 (Pennington)	86	0.9091 (30 of 33)
3 (Medium)	310	0.9138 (106 of 116)
4 (Small)	215	0.7273 (24 of 33)

Unweighted proportion matched 0.8868 (188 of 212)

Weighted proportion matched 0.8644 using N Outlets in the strata as the weights, i.e. $(150*0.9333 + 86*0.9091 + 310*0.9138 + 215*0.7273) / (150 + 86 + 310 + 215)$

SSES Table 1 (Synar Survey Estimates and Sample Sizes)

CSAP-SYNAR REPORT

State	SD
Federal Fiscal Year (FFY)	2017
Date	9/19/2016 10:25
Data	60_2016_Synar_spreadsheet_SSES input FEDS tier1 n86.xlsx
Analysis Option	Stratified SRS with FPC

Estimates

Unweighted Retailer Violation Rate	6.3%
Weighted Retailer Violation Rate	6.2%
Standard Error	2.6%
Is SAMHSA Precision Requirement met?	NO
Right-sided 95% Confidence Interval	[0.0%, 10.4%]
Two-sided 95% Confidence Interval	[1.1%, 11.3%]
Design Effect	1.0
Accuracy Rate (unweighted)	93.0%
Accuracy Rate (weighted)	93.1%
Completion Rate (unweighted)	98.8%

Sample Size for Current Year

Effective Sample Size	62
Target (Minimum) Sample Size	86
Original Sample Size	86
Eligible Sample Size	80
Final Sample Size	79
Overall Sampling Rate	10.9%

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

STATE: SD
FFY: 2017

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	157	148	N/A	N/A	17	16	16	2	12.5%	
2	2	167	167	N/A	N/A	18	18	18	0	0.0%	
3	3	129	129	N/A	N/A	14	14	14	1	7.1%	
4	4	61	61	N/A	N/A	7	7	7	1	14.3%	
5	5	82	64	N/A	N/A	9	7	7	0	0.0%	
6	6	72	63	N/A	N/A	8	7	6	0	0.0%	
7	7	113	96	N/A	N/A	13	11	11	1	9.1%	
Total		781	728			86	80	79	5	6.2%	2.6%
Over the Counter Outlets											
1	1	157	148	N/A	N/A	16	16	16	2	12.5%	
2	2	167	167	N/A	N/A	18	18	18	0	0.0%	
3	3	129	129	N/A	N/A	14	14	14	1	7.1%	
4	4	61	61	N/A	N/A	7	7	7	1	14.3%	
5	5	82	64	N/A	N/A	7	7	7	0	0.0%	
6	6	72	63	N/A	N/A	6	6	6	0	0.0%	
7	7	113	96	N/A	N/A	11	11	11	1	9.1%	
Total		781	728			79	79	79	5	6.2%	2.6%
Vending Machines											
1	1	0	0	N/A	N/A	0	0	0	0	0.0%	
2	2	0	0	N/A	N/A	0	0	0	0	0.0%	
3	3	0	0	N/A	N/A	0	0	0	0	0.0%	
4	4	0	0	N/A	N/A	0	0	0	0	0.0%	
5	5	0	0	N/A	N/A	0	0	0	0	0.0%	
6	6	0	0	N/A	N/A	0	0	0	0	0.0%	
7	7	0	0	N/A	N/A	0	0	0	0	0.0%	
Total		0	0			0	0	0	0	0.0%	0.0%

Note: There are some records with unknown outlet type. Therefore the overall counts may not equal the sum of OTC and VM counts.

SSES Table 3 (Synar Survey Sample Tally Summary)

STATE: SD
 FFY: 2017

Disposition Cod	Description	Count	Subtotal
EC	Eligible and inspection complete outlet	79	
Total (Eligible Completes)			79
N1	In operation but closed at time of visit	0	
N2	Unsafe to access	0	
N3	Presence of police	1	
N4	Youth inspector knows salesperson	0	
N5	Moved to new location but not inspected	0	
N6	Drive thru only/youth inspector has no driver	0	
N7	Tobacco out of stock	0	
N8	Run out of time	0	
N9	Other noncompletion	0	
Total (Eligible Noncompletes)			1
I1	Out of Business	3	
I2	Does not sell tobacco products	1	
I3	Inaccessible by youth	0	
I4	Private club or private residence	0	
I5	Temporary closure	0	
I6	Can't be located	1	
I7	Wholesale only/Carton sale only	0	
I8	Vending machine broken	0	
I9	Duplicate	1	
I10	Other ineligibility	0	
Total (Ineligibles)			6
Grand Total			86

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

STATE: SD
FFY: 2017

Frequency Distribution

Gender	Age	Number of Inspectors	Attempted Buys	Successful Buys
Male	14	0	0	0
	15	0	0	0
	16	4	40	1
	17	0	0	0
	18	0	0	0
	Subtotal		4	40
Female	14	0	0	0
	15	0	0	0
	16	6	39	4
	17	0	0	0
	18	0	0	0
	Subtotal		6	39
Other		0	0	0
Grand Total		10	79	5

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	2.5%	10.3%	6.3%
17	0.0%	0.0%	0.0%
18	0.0%	0.0%	0.0%
Other			0.0%
Total	2.5%	10.3%	6.3%

A	B	C	D	E	F	G	H	I	J
6796	1	157	1	157	EC		OTC	4	M
7469	1	157	1	157	I1		UNK	6	F
8457	1	157	1	157	EC		OTC	6	F
6914	1	157	1	157	EC		OTC	2	M
8590	1	157	1	157	EC		OTC	9	F
8207	1	157	1	157	EC		OTC	9	F
6911	1	157	1	157	EC		OTC	2	M
7009	1	157	1	157	EC	1	OTC	9	F
6935	1	157	1	157	EC		OTC	6	F
7222	1	157	1	157	EC	1	OTC	2	M
6941	1	157	1	157	EC		OTC	2	M
7473	1	157	1	157	EC		OTC	3	M
8265	1	157	1	157	EC		OTC	4	M
8234	1	157	1	157	EC		OTC	9	F
6938	1	157	1	157	EC		OTC	6	F
8232	1	157	1	157	EC		OTC	4	M
8218	1	157	1	157	EC		OTC	4	M
8403	2	167	2	167	EC		OTC	9	F
7392	2	167	2	167	EC		OTC	9	F
8504	2	167	2	167	EC		OTC	9	F
7396	2	167	2	167	EC		OTC	9	F
8505	2	167	2	167	EC		OTC	3	M
8572	2	167	2	167	EC		OTC	4	M
7414	2	167	2	167	EC		OTC	9	F
7746	2	167	2	167	EC		OTC	4	M
7834	2	167	2	167	EC		OTC	3	M
7789	2	167	2	167	EC		OTC	8	F
7763	2	167	2	167	EC		OTC	3	M
7657	2	167	2	167	EC		OTC	9	F
8428	2	167	2	167	EC		OTC	4	M
8513	2	167	2	167	EC		OTC	9	F
7699	2	167	2	167	EC		OTC	8	F
7742	2	167	2	167	EC		OTC	1	M
7723	2	167	2	167	EC		OTC	3	M
7793	2	167	2	167	EC		OTC	3	M
8353	3	129	3	129	EC		OTC	1	M
6592	3	129	3	129	EC		OTC	6	F
7292	3	129	3	129	EC		OTC	6	F
6557	3	129	3	129	EC		OTC	6	F
6564	3	129	3	129	EC		OTC	6	F
7866	3	129	3	129	EC		OTC	7	F
6767	3	129	3	129	EC		OTC	2	M
6848	3	129	3	129	EC		OTC	1	M
6571	3	129	3	129	EC		OTC	1	M
7262	3	129	3	129	EC	1	OTC	5	F
8123	3	129	3	129	EC		OTC	2	M
7858	3	129	3	129	EC		OTC	3	M
7863	3	129	3	129	EC		OTC	3	M
8396	3	129	3	129	EC		OTC	5	F
7512	4	61	4	61	EC		OTC	5	F
7340	4	61	4	61	EC		OTC	1	M
8527	4	61	4	61	EC		OTC	5	F
7526	4	61	4	61	EC		OTC	1	M
7510	4	61	4	61	EC		OTC	5	F
7378	4	61	4	61	EC	1	OTC	5	F
6711	4	61	4	61	EC		OTC	1	M
8133	5	82	5	82	EC		OTC	2	M
8100	5	82	5	82	EC		OTC	7	F
8592	5	82	5	82	EC		OTC	2	M
8134	5	82	5	82	EC		OTC	5	F
7456	5	82	5	82	I6		UNK	9	F
6643	5	82	5	82	EC		OTC	5	F
7491	5	82	5	82	EC		OTC	3	M

6617	5	82	5	82	I9		UNK	2	M
8278	5	82	5	82	EC		OTC	3	M
8462	6	72	6	72	EC		OTC	6	F
7178	6	72	6	72	N3		UNK	4	M
8169	6	72	6	72	EC		OTC	6	F
7175	6	72	6	72	EC		OTC	6	F
7432	6	72	6	72	EC		OTC	1	M
7426	6	72	6	72	EC		OTC	9	F
7103	6	72	6	72	EC		OTC	1	M
7231	6	72	6	72	I2		UNK	4	M
7906	7	113	7	113	EC		OTC	5	F
8617	7	113	7	113	EC		OTC	5	F
8419	7	113	7	113	EC		OTC	2	M
7875	7	113	7	113	EC	1	OTC	5	F
7910	7	113	7	113	I1		UNK	2	M
8568	7	113	7	113	I1		UNK	10	F
7889	7	113	7	113	EC		OTC	2	M
8614	7	113	7	113	EC		OTC	2	M
7973	7	113	7	113	EC		OTC	10	F
8048	7	113	7	113	EC		OTC	2	M
8616	7	113	7	113	EC		OTC	2	M
8343	7	113	7	113	EC		OTC	5	F
8418	7	113	7	113	EC		OTC	2	M

16	1
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STATE OF SOUTH DAKOTA
DENNIS DAUGAARD, GOVERNOR

March 14, 2014

Division of Grants Management
Office of Program Services
Substance Abuse and Mental Health Services Administration
1 Choke Cherry Road, Room 7-1091
Rockville, MD 20857

To Whom It May Concern:

Please be advised the South Dakota Department of Social Services is designated to be administratively responsible for the Substance Abuse Prevention and Treatment (SAPT) Block Grant and the Community Mental Health Services (CMHS) Block Grant. State Secretary of the Department of Social Services, Lynne A. Valenti, is authorized to certify compliance with the requirements of 42 U.S.C. 300x et seq.

The Department of Social Services has been designated to be the recipient of both the SAPT and CMHS Block Grants. Secretary Valenti is authorized to certify, on my behalf, compliance with the requirements of 42 U.S.C. 300x et seq., or to make such other certification(s) as may be necessary to obtain and properly administer either the SAPT or CMHS Block Grants.

Sincerely,

Handwritten signature of Dennis Daugaard in black ink.
Dennis Daugaard

DD:nn

Circuit #: _____ Inspection Date: ____/____/____ Inspection Time: _____
 Tier : _____
 Outlet ID #: _____ GPS Coordinate Lat: _____ Long: _____

South Dakota Synar Youth Tobacco Access Survey 2016 Inspection Report

Inspection Completed:	___ No-Sale	___ Sale
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Eligible Non-Completes: <input type="checkbox"/> N1 In operation but closed at time of visit <input type="checkbox"/> N2 Unsafe to access <input type="checkbox"/> N3 Presence of police <input type="checkbox"/> N4 Youth inspector knows salesperson <input type="checkbox"/> N5 Moved to new location but not inspected <input type="checkbox"/> N6 Drive thru only / youth inspector has no driver's license <input type="checkbox"/> N7 Tobacco out of stock <input type="checkbox"/> N8 Run out of time <input type="checkbox"/> N9 Other non-completion (see below)	Ineligibles: <input type="checkbox"/> I1 Out of Business <input type="checkbox"/> I2 Does not sell tobacco products <input type="checkbox"/> I3 Inaccessible by youth <input type="checkbox"/> I4 Private club or private residence <input type="checkbox"/> I5 Temporary closure <input type="checkbox"/> I6 Unlocatable <input type="checkbox"/> I7 Wholesale only / Carton sale only <input type="checkbox"/> I8 Vending machine broken <input type="checkbox"/> I9 Duplicate <input type="checkbox"/> I10 Other ineligibility
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Outlet Name: _____

Physical Address: _____

Mailing Address: _____

City: _____ Zip: _____ County _____

Clerk Information:

Sex: M F		
Date of Birth: _____		
Clerk's name:	Address:	Clerk SSN:
		Drivers Lic #:

Tobacco Product Purchase Attempted/Purchased:

Cigarettes (pack): _____	Cigarettes (carton): _____	Single Cigarette: _____
Brand (for pack and carton): _____		
Cigars: _____	Pipe Tobacco: _____	Smokeless Tobacco: _____
Cost of Purchased Tobacco Product including Tax.: _____		

Tobacco Sign Present: ___ Yes ___ No

Outlet Sells Alcohol? ___ Yes ___ No

Comments/Details of Inspection:

Youth's Initials: _____

Inspector's Initials: _____

SOUTH DAKOTA
Department of Social Services
Division of Community Behavioral Health
Prevention Program

YOUTH TOBACCO OUTLET INSPECTION PROTOCOL
(SYNAR Protocol)

2016

Preliminaries

Once the recruitment process for Youth Inspectors has been completed and a youth is chosen for the position a “program explanation” meeting with youth and parents will be completed. The purpose of the Youth Tobacco Outlet Inspection Program and activities in which the youth will be engaged will be reviewed and explained carefully with parents. At that time all appropriate forms will be reviewed with the parent and signed. The youth along with the adult inspector will complete training provided under the direction and supervision of Mountain Plains Evaluation personnel. Upon completion the youth inspector will be notified of date and times of inspections.

The adult inspector will review the list of randomly assigned tobacco outlets selected for inspection and determine/select a set of outlets for inspection that day. The adult inspector will then arrange the inspection schedule, departure and return times with youth and parents. The adult inspector will pickup youth at their home or an arranged meeting location.

A. Process Prior to Inspection

Before starting, the adult inspector will check to assure that the youth does not have any false IDs and that youth does not have tobacco products in their possession. If the youth has a driver's license, the youth should bring it for identification purposes, but leave it in the vehicle.

Youth will be given money at the start of inspections for the purchase of a tobacco product. The money used for purchase of tobacco products should be kept separate from the youth’s personal money. If the youth runs low on money, the youth should ask the inspector for more money. Youth

will be asked to return the left-over money to the adult inspector at the end of the day. The team will proceed to tobacco outlets for inspection. While traveling the adult inspector will review the inspection process with youth.

B. Starting Inspections

Upon arrival at the prearranged tobacco outlet the adult inspector will park the vehicle in an inconspicuous location. The adult inspector will confirm that the outlet name and address match the outlet on the inspection list drawn randomly from the list frame for inspection and that the GPS coordinates match with the outlet ID. The adult inspector and youth will discuss outlet entry process for the outlet to be inspected. Youth and adult inspector will enter the outlet separately.

The adult inspector after entering the store should assess the safety of the environment for proceeding with the inspection. If the adult inspector determines there is a safety risk the adult inspector should immediately connect with the youth and leave the outlet. If the adult inspector deems the environment safe for proceeding with the inspection the adult inspector should pose as a customer looking for something, but position themselves in a position to observe and overhear the youth's interactions with the clerk during the tobacco purchase attempt.

After entering the store, youth should discretely observe the location of the adult inspector and determine if the adult inspector is providing any sign that the inspection will be aborted. If the adult inspector is posing as a customer and does not provide any indication to abort the inspection the youth should proceed. The youth should first look for self-service tobacco, i.e. single cigarettes that youth can reach for themselves. If self-service tobacco is present, the youth will place the tobacco on the counter along

with money to pay for the tobacco. If only cigars or only smokeless tobacco or only cartons of cigarettes are available, the youth should attempt to purchase one of these products.

If there are no single cigarettes, or self-service tobacco, the youth should go up to the clerk and ask for a single pack of cigarettes or smokeless tobacco. The youth should pick out a popular youth brand, e.g. Marlboro, Camels, or Newport. The youth should specify some exact type, e.g. "Marlboro Red Box," or "Marlboro Light 100s". When the clerk asks for money the youth should simply pay for the cigarettes and leave. If the store only sells cartons, try to buy a carton. However, do look around carefully for any less expensive type of tobacco.

For a small percentage of outlets the adult inspector we will ask the youth to purchase smokeless tobacco (male youths only). The youth should ask for a common brand such as "Skoal Wintergreen."

If the clerk asks for an ID, the youth should state that they left it at home. If the clerk asks the youth's age, the youth should respond to the clerk by providing their actual age. It is important that youth never misrepresent or lie about their age. In no case should the youth get into an argument with the clerk. If the clerk threatens to have the youth arrested, then and only then should youth tell the clerk that the youth is with the state inspection program. If the clerk won't allow the youth to leave, do as the clerk requests and do not resist the clerk and the adult inspector will intervene.

The youth should be on the alert and observe certain details. The most important things to remember are the following:

- the youth should be able to describe the clerk, including remembering the clerk's name if the clerk is wearing name tag

- the presence and location of “We Card” signs or similar signs;
and
- if there is a sale of a tobacco product the youth should remember the price paid for the tobacco, including the tax.

Sub-Part – Youth Alone Inspection

During some inspections it may be necessary for the youth to attempt the purchase of tobacco without the adult inspector being inside of the facility. This may occur because the outlet is very small and it would not be possible for the youth and adult inspector to enter the outlet without being identified as being together.

In these rare instances the youth should proceed as above, accept that the youth should observe if there is a risk to their safety prior to proceeding with attempting to purchase a tobacco product. If the youth feels uncomfortable or feels they are in an unsafe environment the youth should return to the car immediately and inform the inspector of the concern. When this type of inspection is completed, the adult inspector will remain near close proximity of the facility being inspected so assistance to the youth can be provided if necessary.

After the youth returns to the car, the inspector will then enter the outlet and inform the clerk and/or manger(s) of the inspection and proceed based on the results of the tobacco purchase attempt.

C. Process Following a “No Sale Inspection”

If youth are turned down in their attempt to purchase a tobacco product, the youth should not tell the clerk that they are part of the state inspection program or congratulate the clerk in an excited manner. Youth

can say something mildly supportive, e.g. "I know you have to check. You're doing the right thing" or say nothing at all.

After the youth has left the store, the inspector will approach the clerk and inform the clerk that the youth who just attempted to purchase tobacco was part of the youth tobacco monitoring process. The adult inspector should congratulate the clerk for not selling tobacco to the underage youth. At that time, the inspector will record the name of the clerk to help the owner identify who refused to sell you tobacco. The inspector will inform the clerk that a copy of the inspection report, a certificate indicating they have passed the inspection and a survey will be mailed to the owner several days after the inspection. Owners typically congratulate clerks who have refused a sale and clerks feel very good about passing the inspection. The inspector should also verify contact and mailing information for the outlet at that time if possible. In some instance when the manger or store owner is present or available at the time of the inspection, the inspector is encouraged to visit with them along with the clerk. This is not always possible in larger stores. The inspector will than return to the vehicle and with the youth's assistance complete the Inspection Report. This report will be submitted to Mountain Plains Evaluation personnel upon completion of the inspection trip.

D. Process Following a "Sale Inspection"

Upon a sale of a tobacco product to a youth inspector, the youth will leave the outlet with the tobacco product and return to the vehicle. If a sale is made, but the clerk calls after the youth as they leave the store, please return and answer any questions and return the tobacco if necessary. Only after the

youth has handed the tobacco to the adult inspector is the purchase considered completed.

After observing a sale of a tobacco product to a youth inspector, the adult inspector will also leave the outlet and return to the vehicle. Once in the vehicle, the youth will hand the tobacco product to the inspector and the sale will be considered a completed tobacco purchase and deemed a violation. At that time, tobacco products purchased by youth as part of an inspection will be tagged as soon as both the adult inspector and youth return to the vehicle. A sticker will be placed on the tobacco purchased. On the sticker will be recorded the name of the store, the date, and the inspection report number. The youth will also initial the sticker. The tobacco product will be placed in a plastic zip-lock bag and an identical sticker placed across the seal of the bag. This is done to preserve the chain of evidence and will be submitted to the local States Attorney in this condition. The adult inspector will then request that the youth complete their written report documenting the details of the tobacco sale.

The adult inspector will re-enter the outlet and approach the clerk who sold that tobacco product and identify themselves. The inspector will explain that a youth tobacco inspection just occurred and that there was a violation and that it will be necessary to obtain information from the clerk. The adult inspector should ask the clerk if they would like to have the manager present during that process. If the clerk would like to have a manager present then the adult inspector should ask the clerk to contact the manager. When report has been completed the inspector will advise the clerk (and manager if present) that the tobacco product and report will be forwarded to the States Attorney, who has jurisdiction in the county of outlet location, and it will be the States Attorney's decision of how prosecution

will proceed. The adult inspector will advise the clerk (and manager if present) that an inspection report and survey will be forwarded to the outlet regarding the inspection. The inspector will then return to vehicle and review the report, evidence label, and youth's report assuring that all information has been obtained and completed properly before leaving the outlet.

E. Inspection Reporting Process

Daily upon completion of the tobacco outlet inspections the adult inspector and the youth should review all the completed reports and paperwork for outlets inspected during the day to assure all information is complete. Youth may be asked to help the adult inspector package up the tobacco and the inspection reports at the end of the day for submission to Mountain Plains Evaluation personnel. The tobacco product and reports will be forwarded to the States Attorney with jurisdiction of outlet location. This is done to provide a "chain of evidence" so that the youth could testify if necessary.

F. Other Details Related to Conducting Inspections

There are a lot of details to remember in conducting the inspections. After the first several locations the inspection process will become easier. We want youth to look for signs that say that the store cannot sell to minors or must ID everyone under age 26 or 27. Such signs can be placed on the door, above the counter, on the counter, or behind the counter. Some signs are actually calendars for the clerk to tear off each day. They have many appearances. Some may be handmade signs, cash register stickers, or

industry produced signs. Some say "We ID for age restricted products." A sign that says only that they ID for alcohol does not count.

The youth's meals will be purchased by the adult inspector for them so the youth does not have to pay for any food consumed. Meals and breaks will be taken as agreed upon by the adult inspector and the youth following approximately a normal meal schedule.

The youth should never attempt to purchase from a friend or someone that knows the youth or at a store where a member of the youth's family works. To avoid this issue, youth will not be asked to attempt a purchase in their home town or in a community in which they visit often. If youth note that they know a clerk or someone in the store they should leave the store prior to attempting to purchase tobacco and inform the adult inspector.

While youth cannot beg for tobacco, youth can use little tricks that underage smokers would use in attempting to purchase. These include acting confident, making eye contact, striking up conversations about other topics like the weather, asking to buy an exact type of cigarettes in an assertive statement, e.g. "one pack of Marlboro Red Box, please," rather than vague questions like "Can I buy some cigarettes?" or "Can I buy some Marlboros?" Don't worry about trying to buy just a pack of cigarettes without buying something else. Actually, in real life this occurs often enough that this won't seem at all unusual.

Should anything about the inspection process trouble the youth, youth are encouraged to contact Roland Loudenburg, Mountain Plains Evaluation, LLC (605) 425-3305 or Barbara Shoup Anderson or Gib Sudbeck at the Division of Community Behavioral Health at (605) 773-3123.