

# **ANNUAL SYNAR REPORT**

**42 U.S.C. 300x-26**

**OMB No 0930-0222**

**FFY 2020**

**State: MN**

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## **INTRODUCTION**

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

### **How the Synar report helps the Center for Substance Abuse Prevention**

In accordance with the tobacco regulations, states are required to provide detailed information on progress made in enforcing youth tobacco access laws (FFY 2019 Compliance Progress) and future plans to ensure compliance with the Synar requirements to reduce youth tobacco access rates (FFY 2020 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. The information to be reported is public (45 CFR 96.130 (f)) and is not confidential. Part of the mission of the Center for Substance Abuse Prevention (CSAP) is to assist states<sup>1</sup> 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.

### **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

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<sup>1</sup>The 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).

(240) 276-1422.

#### Where and when to submit the Synar report

The ASR must be received by SAMHSA no later than December 31, 2019 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 2020 Synar Survey Results: States that use the Synar Survey Estimation System (SSES) must upload one copy of *SSES Tables 1–8* (in Excel) to WebBGAS. **Please note that, beginning with the FFY 2019 ASR, SSES will generate Tables 6, 7, and 8, which are based on the optional microdata on product type, retail outlet type, and whether identification was requested. If your state does not submit these optional data, Tables 6, 7, and 8 will be blank. Tables 6, 7, and 8 are generated for the convenience of the state, and states are not required to submit completed versions of Tables 6, 7, or 8.** 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 2020: 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.

<b>PUBLIC HEALTH SERVICES ACT AND SYNAR AMENDMENT</b>
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.
<b>SYNAR SURVEY SAMPLING METHODOLOGY</b>
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 2020 is up-to-date and approved by the Center for Substance Abuse Prevention.
<b>SYNAR SURVEY INSPECTION PROTOCOL</b>
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 2020 is up-to-date and approved by the Center for Substance Abuse Prevention.
<b>State:</b> MN
<b>Name of Chief Executive Officer or Designee:</b> Jodi Harpstead
<b>Signature of CEO or Designee:</b>
<b>Title:</b> Commissioner, MN Department of Human Services <b>Date Signed:</b> _____
<b>If signed by a designee, a copy of the designation must be attached.</b>

**SECTION I: FFY 2019 (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 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  Other (Please specify.)

\_\_\_\_\_

**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 product

categories to youth access law  Yes  No

**2. Describe how the Annual Synar Report (see 45 C.F.R. 96.130(e)) was 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 2020 ASR was posted to this Web address.)  
*Web address: <https://mn.gov/dhs/partners-and-providers/news-initiatives-reports-workgroups/alcohol-drug-other-addictions/>*  
*Date published: 12/18/19*
- Notice published in a newspaper or newsletter
- Public hearing
- Announced in a news release, a press conference, or discussed in a media interview
- Distributed for review as part of the SABG application process
- Distributed through the public library system
- Published in an annual register
- Other (Please describe.) \_\_\_\_\_

**3. Identify the following agency or agencies (see 42 U.S.C. 300x-26 and 45 C.F.R. 96.130).**

**a. The state agency(ies) designated by the Governor for oversight of the Synar requirements:**

Minnesota Department of Human Services- Behavioral Health Division

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

Yes  No

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

Minnesota Department of Human Services- Behavioral Health Division

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):**

Municipal Police Departments and County Sheriff's Departments

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).  
Minnesota Department of Health
- 
- 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 Minnesota Department of Health and Human Services have conducted state tobacco prevention and control meetings between the two departments for the purpose of information sharing and potential collaborations.
- 
- 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)).  
Minnesota Department of Human Services-Behavioral Health Division
- 
- 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 2019 (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>	102	147	249
Number of <u>finest assessed</u>	138	116	254
Number of <u>permits/licenses suspended</u>	3	NA	3
Number of <u>permits/licenses revoked</u>	1	NA	1
Other <i>(Please describe.)</i> Minors cited/fined: 1,154/555 Minors warned in writing: 62 *Table includes responses from 190 agencies (50% of those surveyed)	NA	NA	1,771(for minors)

**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:

**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

MN. Statute 461.12, subd. 5 states; “A licensing authority shall conduct unannounced compliance checks at least once each calendar year at each location where tobacco is sold to test compliance with section 609.685.” However, Over 80 percent of respondents (136) who answered the question indicated they checked every retailer. Out of the 29 respondents who answered “no,” 10 said their agencies were not responsible for conducting the checks. Seven respondents cited a lack of resources or available staff and time to perform checks.

**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 Minnesota Department of Human Services facilitated the tobacco merchant education program Congratulate and Educate. The program goals are to implement tobacco merchant education and increase the number of tobacco compliance checks across the state of Minnesota. In 2019, out of the 87 counties in the state of Minnesota, 48 participated. Overall, 70 agencies from police departments, sheriff’s offices and public health departments participated in the initiative, conducting 1,472 educational tobacco compliance checks. The number of counties participating increased by one this year but the number of checks went down slightly. DHS also has prevention grantees which have a multi-area focus including tobacco prevention. DHS also funds the Waybinagay Program which is a culturally specific smoking prevention and cessation program for Native American youth and young adults.

The Association for Non Smokers-Minnesota, with assistance from the Public Health Law Center and support from the Minnesota Department of Health, developed an online merchant education and training program, which was implemented two years ago. It is a

free comprehensive, online training that covers state & federal laws regulating the sale of tobacco, electronic cigarettes and tobacco-related devices. This training template allows ANSR to observe and interact with the merchants who have completed the training. Postcards highlighting this new online training tool were created and made available to all tobacco merchants in the state.

The Minnesota Department of Health has Statewide Health Improvement Partnership (SHIP) grantees who are working throughout the state to create healthier communities by striving to reduce the harms from tobacco. One initiative is to work with merchants on Point of Sale education. They also promote the DHS Congratulate & Educate program while interacting with tobacco merchants.

- Incentives for merchants who are in compliance (e.g., non-enforcement compliance checks in which compliant retailers are given positive reinforcement and noncompliant retailers are warned about youth access laws)

Through the DHS Congratulate & Educate Program the retailers or clerks receive a certificate and positive reinforcement if they pass the compliance check. Through the DOH online merchant education and training program participants receive a certificate of completion.

- Community education regarding youth access laws

Both the Minnesota Department of Human Services tobacco merchant education program, Congratulate & Educate, and the Minnesota Department of Health's online merchant education and training program, educate both clerks and owners on Minnesota and Federal youth access laws.

- Media use to publicize compliance inspection results

Many local communities report their annual tobacco compliance check results in public meetings and/or in the local news. Local public health & state partners educate the community about youth access to tobacco and local compliance check results on their websites.

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

The Minnesota Department of Human Services communicates with Police Chiefs and County Sheriffs emphasizing the importance of enforcement of state and local tobacco access laws through the Synar Tobacco Enforcement survey. Minnesota Department of Human Services partners with Police, Sheriff and Public Health departments to conduct the Congratulate and Educate tobacco merchant education project.

- 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 2019 (*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, upload a copy of SSES tables 1–8 (in Excel) to WebBGAS. Then go to Question 8. If No, continue to Question 7b.*

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

Unweighted RVR \_\_\_\_\_

Weighted RVR \_\_\_\_\_

Standard error (s.e.) of the (weighted) RVR \_\_\_\_\_

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

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

plus (1.645 times Standard Error) equals Right Limit

Accuracy rate \_\_\_\_\_

Completion rate \_\_\_\_\_

c. **Fill out Form 1 (See Appendix A: Forms 1–5 Templates).** *(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) (See Appendix A: Forms 1–5 Templates) *(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 (See Appendix A: Forms 1–5 Templates), 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
<b>Effective sample size</b> (sample size needed to meet the SAMHSA precision requirement assuming simple random sampling)	
<b>Target sample size</b> (the product of the effective sample size and the design effect)	
<b>Original sample size</b> (inflated sample size of the target sample to counter the sample attrition due to ineligibility and noncompletion)	
<b>Eligible sample size</b> (number of outlets found to be eligible in the sample)	
<b>Final sample size</b> (number of eligible outlets in the sample for which an inspection was completed)	

h. **Fill out Form 4 (See Appendix A: Forms 1–5 Templates).**

**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: 2019

b. Percent coverage from the latest Sampling frame coverage study: 83.3%

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: 2022

**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 10/01/18 to 9/30/19**  
MM/DD/YY MM/DD/YY

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

11

NOTE: If the state uses SSES, please ensure that the number reported in 9c 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 2020 (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 2020. 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.

MN passed the Freedom to Breathe Act, implemented 10/01/07, restricting smoking in public places.  
Continued compliance checks in counties and municipalities as per state law.  
Continued Department of Human Services Synar tobacco compliance checks using FDA inspectors.  
Continued Department of Human Services FDA undercover buy compliance checks.  
Continued survey of enforcement agencies to access tobacco violation activity.  
Distribute the FFY20 Annual Synar Report to the State Tobacco Prevention & Control Workgroup, Regional Prevention Coordinators (website), Minnesota Prevention Resource Center (website), Minnesota Department of Health (website) and the Minnesota Citizen's Advisory council.  
Conduct the "Congratulate & Educate" educational compliance check program where local law enforcement and/or public health agencies are incentivized to conduct educational tobacco compliance checks and tobacco merchant education.  
No changes in youth access legislation are anticipated.

### 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.)

a. Limited resources for law enforcement of youth access laws

Some law enforcement departments stated they are lacking the financial resources and manpower to conduct tobacco compliance checks.

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

- c. Limitations in the state youth tobacco access laws
- d. Limited public support for enforcement of youth tobacco access laws
- e. Limitations on completeness/accuracy of list of tobacco outlets
- f. Limited expertise in survey methodology
- g. Laws/regulations limiting the use of minors in tobacco inspections
- h. Difficulties recruiting youth inspectors
- i. Issues regarding the balance of inspections conducted by youth inspectors age 15 and under
- j. Issues regarding the balance of inspections conducted by one gender of youth inspectors
- k. Geographic, demographic, and logistical considerations in conducting inspections
- l. Cultural factors (e.g., language barriers, young people purchasing for their elders)
- m. Issues regarding sources of tobacco under tribal jurisdiction
- n. Other challenges (*Please list.*)



## APPENDIX A: FORMS 1–5 TEMPLATES

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

Complete Form 1 in Excel 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 Excel form, provide the state name and reporting federal fiscal year (FFY 2020). 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 in Excel 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 Excel form, provide the state name and reporting federal fiscal year (FFY 2020).

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

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

Calculation of Weighted Retailer Violation Rate										
										State: _____
										FFY: 2020
(1) Stratum Name	(2) N Number of Outlets in Sampling Frame	(3) n Original Sample Size	(4) n1 Number of Sample Outlets Found Eligible	(5) n2 Number of Outlets Inspected	(6) x Number of Outlets Found in Violation	(7) p=x/n2 Stratum Retailer Violation Rate	(8) N'=N(n1/n) Estimated Number of Eligible Outlets in Population	(9) w=N'/Total Column 8 Relative Stratum Weight	(10) pw Stratum Contribution to State Weighted RVR	(11) s.e. Standard Error of Stratum RVR
<b>Total</b>										

- N - number of outlets in sampling frame
- n - original sample size (number of outlets in the original sample)
- n1 - number of sample outlets that were found to be eligible
- n2 - number of eligible outlets that were inspected
- x - number of inspected outlets that were found in violation
- p - stratum retailer violation rate (p=x/n2)
- N' - estimated number of eligible outlets in population (N'=N\*n1/n)
- w - relative stratum weight (w=N'/Total Column 8)
- pw - stratum contribution to the weighted RVR
- s.e. - standard error of the stratum RVR



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

Complete Form 4 in **Excel** 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 **Excel** form, provide the state name and reporting federal fiscal year (FFY 2020).

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.”

<b>Inspection Tallies by Reason of Ineligibility or Noncompletion</b>			
		<b>State:</b> _____	
		<b>FFY:</b> 2020	
(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>			
<b>Total</b>		<b>Total</b>	

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

Complete Form 5 in Excel 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 Excel form, provide the state name and reporting federal fiscal year (FFY 2020).

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.

<b>Synar Survey Inspector Characteristics</b>		
		<b>State:</b> _____
		<b>FFY:</b> 2020 _____
	(1) Attempted Buys	(2) Successful Buys
<b>Male</b>		
15 years		
16 years		
17 years		
18 years		
19 years		
20 years		
<b>Male Subtotal</b>		
<b>Female</b>		
15 years		
16 years		
17 years		
18 years		
19 years		
20 years		
<b>Female Subtotal</b>		
<b>Other</b>		
<b>Total</b>		

## APPENDIX B: SYNAR SURVEY SAMPLING METHODOLOGY

State: MN  
 FFY: 2020

**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
FDA Tobacco Inspection Management System (TIMS)	6	List of all licensed tobacco retailers in the state of Minnesota.	Updating is continually ongoing. Updates come from in-person inspections.
City/County Retailer Lists	2	List of all tobacco retailers from every licensing authority in the state.	Every 1-2 years we request tobacco retailer lists from every city/county in the state.

**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.**

**b. Is clustering used within the stratified sample?**

- Yes** (Go to Question 8.)
- No** (Go to Question 9.)

**8. Provide the following information about clustering.**

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

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

**9. Provide the following information about determining the Synar Sample.**

- a. **Was the Synar Survey Estimation System (SSES) used to calculate the sample size?**

**Yes** *(Respond to part b.)*

**No** *(Respond to part c and Question 10c.)*

- b. **SSES Sample Size Calculator used?**

**State Level** *(Respond to Question 10a.)*

**Stratum Level** *(Respond to Question 10a and 10b.)*

- c. **Provide the formulas for determining the effective, target, and original outlet sample sizes.**

**10. Provide the following information about sample size calculations for the Synar survey conducted in FFY 2019.**

- 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: 8.3%

Frame Size: 4,196

**Input for Target Sample Size:**

Design Effect: 1

**Inputs for Original Sample Size:**

Safety Margin: 50%

Accuracy (Eligibility) Rate: 96.5%

Completion Rate: 99.5%

- 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:**

- 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: MN

FFY: 2020

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

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

#### a. Consummated buy attempts?

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

#### b. Youth inspectors to carry ID?

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

#### c. Adult inspectors to enter the outlet?

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

#### d. Youth inspectors to be compensated?

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

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

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

List the agency name(s): The Minnesota Department of Human Services, Behavioral Health Division

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

Always  Usually  Sometimes  Rarely  Never

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

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

- Cigarettes
- Small Cigars
- Cigarillos
- Smokeless Tobacco
- 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.

Per the inspection protocol, Youth Inspectors should attempt to purchase VUSE E-cigarettes/e-liquid if available, Swisher Sweets cigars (cigarillos) as a secondary ask and Marlboro Red cigarettes as a third option, if the other two are not available. These types and brands of tobacco should remain consistent for all inspections.

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

Adult Inspectors are current Minnesota Department of Human Services staff who are Commissioned Officers of the Federal Department of Health and Human Services. Our FDA inspectors complete the FDA Inspector training program and are employed full time. They have been conducting inspections since the inception of the FDA Tobacco Program in MN. The Synar inspections are conducted by the FDA inspectors in the same manner that FDA requires with the exception of the specific product purchased consistently and the specific age required by the Synar protocol of 16.

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

Minors are recruited by state staff to conduct FDA inspections. They are trained with the FDA minor training and on the job training with the Program Coordinator and adult inspectors.

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

a. Legal

Yes  No

*(If Yes, please describe.)*

Minnesota Statute 609.685 Sub 3 states; “whoever possesses, smokes, chews, or otherwise ingests, purchases, or attempts to purchase tobacco or tobacco related devices and is under the age of 18 years is guilty of a petty misdemeanor.”  
Exceptions: the use of minors to conduct tobacco compliance checks in Minnesota remains allowable under Minnesota Law. Minnesota Statutes 609.685 Sub 5(b) which states; “The penalties in this section do not apply to a person under the age of 18 years who purchases or attempts to purchase tobacco or tobacco-related devices while under the direct supervision of a responsible adult for training, education, research or enforcement purposes.”

**b. Procedural**

Yes  No

*(If Yes, please describe.)*

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

**a. Legal**

Yes  No

*(If Yes, please describe.)*

**b. Procedural**

Yes  No

*(If Yes, please describe.)*

Procedurally adult inspectors are instructed that the inspection should not be conducted if the adult or youth inspector perceive the site as unsafe. The adult inspector is to enter the establishment prior to the youth to assess the safety of the environment. They are not to leave until the youth has safely left. Minors have a key to the vehicle so they can let themselves in and lock the door if necessary prior to the adult inspector arriving back at the vehicle. Minors do not use ID's as a safety precaution, so retailers do not have access to their name and address.

**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.)*

Compliance checks must involve minors over the age of 15, but under the age of 18 with prior written consent of a parent or guardian.

**b. Procedural**

**Yes**    **No**

*(If Yes, please describe.)*

All youth inspectors are trained in a face to face training and participate in training inspections prior to conducting Synar inspections. They also complete the online minor training offered by the FDA.

The MN Synar Protocol was revised, with approval in 2015 to use only 16 year old youth for the Synar inspections. The Protocol was again revised and approved in 2017 to allow the youth to request newly deemed tobacco products, including e-cigs and cigarillos.

**APPENDIX D: LIST SAMPLING FRAME COVERAGE STUDY**  
*(LIST FRAME ONLY)*

State: MN  
FFY: 2020

1. Calendar year of the coverage study: 2019

2. a. Unweighted percent coverage found: 83.8%  
b. Weighted percent coverage found: 83.8%  
c. Number of outlets found through canvassing: 185  
d. Number of outlets matched on the list frame: 155

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

Census tract was used as sampling area. A total of 1,335 census tracts, covering all land area of the state, were included in sampling.

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

Yes  No

*If Yes, please explain.*

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

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

Census (Go to Question 6.)

**Unstratified statewide sample:**

Simple random sample (Respond to Part b.)

Systematic random sample (Respond to Part b.)

Single-stage cluster sample (Respond to Parts b and d.)

Multistage cluster sample (Respond to Parts b and d.)

**Stratified sample:**

Simple random sample (Respond to Parts b and c.)

Systematic random sample (Respond to Parts b and c.)

Single-stage cluster sample (Respond to Parts b, c, and d.)

Multistage cluster sample (Respond to Parts b, c, and d.)

Other (Please describe and respond to Part b.) \_\_\_\_\_

b. Describe the sampling methods.



A stratified simple random sampling method was used with two strata (urban and rural). The sampling unit was Census Tract. Out of 1,335 census tracts, 44 tracts were randomly selected: 24 from urban stratum and 20 from rural stratum, following the guideline provided by SAMHSA.

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

There were two strata: urban and rural.

The urban stratum was defined as the seven counties including the Twin Cities (Minneapolis and St. Paul) metropolitan area and the surrounding counties. This is a standard convention for Minnesota. The seven counties (Anoka, Carver, Dakota, Hennepin, Ramsey, Scott, and Washington) cover 704 census tracts (53% of the state total).

The rural stratum covers the remaining 80 counties in Minnesota with 631 census tracts (47% of the total).

Together, the 2 strata cover 100% of the state of Minnesota.

**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 explicitly instructed to canvass each and every road in the sampled area. The field observers were instructed to canvass both sides of the roads that formed the borders of selected census tracts. The canvassing team drove down all roads in the selected tracts, and they walked into any properties where there was any chance that tobacco products might be sold. If the property was closed at the time the canvassing team visited it, the team would return to it later when it was open. If this was not feasible, the team would contact the outlet by phone to get the necessary information.

A log form with instructions clearly written was provided to each field observer to report on canvassing for each sampled census tract.

**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.**

Inspectors entered every site which they identified as possibly selling tobacco. Once inside the inspector did a visual scan of the establishment to determine if tobacco was sold. In cases where no tobacco was observed, the inspector asked staff if they sold tobacco.

**11. Please provide the state's definition of "matches" or "mismatches" to the Synar sampling frame? (e.g., address, business name, business license number)**

To determine match vs. mismatch, both the address and business name were compared between the log form completed by field staff and the most recent list frame.

If both name and address matched, they were marked as a match.

If the address matched but the business name was changed and it was clear that the new business was selling tobacco products, it was marked as a match and the list frame was updated. For example, a Superamerica was changed to Speedway at the same address.

If there was some discrepancy in the address between the log form and the list frame, but even with the difference, the field inspector could have easily found the outlet with the information on the list frame, such as business name with city and zip code and/or phone number, the case was marked as a match. For example 9646 Main St. vs. 9646 Main St. E. with the same business name (Captain Blacks Bar & Grill). This kind of minor discrepancy could be easily resolved by inspectors with an online search and/or a phone call.

If the discrepancy is more substantial and it would be likely to cause trouble for the field inspector to locate the business, then the case was marked as a mismatch.

If the outlet found was a new site, it was marked as a mismatch and the site was added to the list frame.

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

The formula for weighted percent coverage is

$$C = 100 [ ( \sum wb ) / ( \sum wn ) ]$$

Where: C = percent coverage,

k = number of sampled areas (Minnesota selected 44 census tracts),

w = the weight associated with a sample area, based on the stratum the area is in,

b = the number of outlets found from the field canvassing for which a match was found in the frame files, and

n = the number of total outlets found from the field canvassing.

There were two strata: urban and rural.

Sampling weight for urban area is:  $704 / 24 = 29.33$ .

Sampling weight for rural area is:  $631 / 20 = 31.55$ .

Weighted sum of matched outlets = 4708.48

Weighted sum of total outlets found through canvassing = 5619.52

Weighted percent coverage =  $100(4708.48 / 5619.52) = 83.8\%$

Below is the computation in details:

State: MN  
 FFY: 2020

Tract #	Urban/Rural	Number of Census Tracts in the Stratum	Number of Tracts sampled from Stratum	Weight Associated with Stratum	Matching Outlets	Weighted Number of Matching Outlets	Total Number of Outlets Found by Field Observers	The Weighted Total Number of Outlets Found
101	Urban	704	24	29.33	0	0.00	0	0.00
11704	Urban	704	24	29.33	0	0.00	0	0.00
12102	Urban	704	24	29.33	2	58.67	2	58.67
22700	Urban	704	24	29.33	1	29.33	1	29.33
23700	Urban	704	24	29.33	2	58.67	5	146.67
24003	Urban	704	24	29.33	0	0.00	0	0.00
24600	Urban	704	24	29.33	4	117.33	4	117.33
26404	Urban	704	24	29.33	4	117.33	4	117.33
27400	Urban	704	24	29.33	1	29.33	2	58.67
30500	Urban	704	24	29.33	10	293.33	12	352.00
40100	Urban	704	24	29.33	3	88.00	4	117.33
40504	Urban	704	24	29.33	6	176.00	6	176.00
40703	Urban	704	24	29.33	3	88.00	3	88.00
41700	Urban	704	24	29.33	6	176.00	6	176.00
50818	Urban	704	24	29.33	2	58.67	2	58.67
60105	Urban	704	24	29.33	11	322.67	12	352.00
60732	Urban	704	24	29.33	3	88.00	6	176.00
60737	Urban	704	24	29.33	6	176.00	6	176.00
70701	Urban	704	24	29.33	2	58.67	5	146.67
70801	Urban	704	24	29.33	0	0.00	0	0.00
70911	Urban	704	24	29.33	2	58.67	2	58.67
71010	Urban	704	24	29.33	7	205.33	9	264.00
90502	Urban	704	24	29.33	3	88.00	3	88.00
106200	Urban	704	24	29.33	4	117.33	4	117.33
				704.00				
1300	Rural	631	20	31.55	3	94.65	3	94.65
3600	Rural	631	20	31.55	1	31.55	2	63.10
20202	Rural	631	20	31.55	5	157.75	5	157.75
20202	Rural	631	20	31.55	3	94.65	4	126.20
30403	Rural	631	20	31.55	1	31.55	1	31.55
70800	Rural	631	20	31.55	2	63.10	2	63.10
80600	Rural	631	20	31.55	5	157.75	5	157.75
180100	Rural	631	20	31.55	3	94.65	4	126.20
360100	Rural	631	20	31.55	3	94.65	5	157.75
360400	Rural	631	20	31.55	9	283.95	11	347.05
450500	Rural	631	20	31.55	8	252.40	8	252.40
450900	Rural	631	20	31.55	3	94.65	4	126.20
451000	Rural	631	20	31.55	5	157.75	6	189.30
480300	Rural	631	20	31.55	3	94.65	3	94.65
560600	Rural	631	20	31.55	3	94.65	3	94.65
770300	Rural	631	20	31.55	5	157.75	7	220.85
790600	Rural	631	20	31.55	5	157.75	7	220.85
950500	Rural	631	20	31.55	2	63.10	3	94.65
960400	Rural	631	20	31.55	3	94.65	3	94.65
960700	Rural	631	20	31.55	1	31.55	1	31.55
			<b>Total</b>	<b>631.00</b>	<b>155</b>	<b>4708.48</b>	<b>185</b>	<b>5619.52</b>

State: MN  
 FFY: 2020

## APPENDIX E: SSES SUMMARY TABLES

**SSES Table 1 (Synar Survey Estimates and Sample Sizes)**

### CSAP-SYNAR REPORT

State	MN
Federal Fiscal Year (FFY)	2020
Date	11/4/2019 8:19
Data	SSEsv7_DataEntryTemplate_SRS_data entered.xlsx
Program Version	Version 7.0
Analysis Option	Stratified SRS with FPC

### Estimates

Unweighted Retailer Violation Rate	8.3%
Weighted Retailer Violation Rate	8.3%
Standard Error	1.8%
Is SAMHSA Precision Requirement met?	YES
Right-sided 95% Confidence Interval	[0.0%, 11.2%]
Two-sided 95% Confidence Interval	[4.7%, 11.8%]
Design Effect	1.0
Accuracy Rate (unweighted)	96.5%
Accuracy Rate (weighted)	96.5%
Completion Rate (unweighted)	99.5%

### Sample Size for Current Year

Effective Sample Size	146
Target (Minimum) Sample Size	146
Original Sample Size	227
Eligible Sample Size	219
Final Sample Size	218
Overall Sampling Rate	5.4%

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

STATE: MN  
 FFY: 2020

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(%)
<b>All Outlets</b>											
1	1	4,196	4,048	N/A	N/A	227	219	218	18	8.3%	
Total		4,196	4,048			227	219	218	18	8.3%	1.8%
<b>Over the Counter Outlets</b>											
1	1	4,196	4,048	N/A	N/A	227	219	218	18	8.3%	
Total		4,196	4,048			227	219	218	18	8.3%	1.8%
<b>Vending Machines</b>											
1	1	0	0	N/A	N/A	0	0	0	0	0.0%	
Total		0	0			0	0	0	0	0.0%	0.0%

State: MN  
 FFY: 2020

**SSES Table 3 (Synar Survey Sample Tally Summary)**

STATE: MN  
 FFY:  
 2020

Disposition Code	Description	Count	Subtotal
EC	Eligible and inspection complete outlet	218	
Total (Eligible Completes)			218
N1	In operation but closed at time of visit	0	
N2	Unsafe to access	1	
N3	Presence of police	0	
N4	Youth inspector knows salesperson	0	
N5	Moved to new location but not inspected	0	
N6	Drive thru only/youth inspector has no drivers license	0	
N7	Tobacco out of stock	0	
N8	Run out of time	0	
N9	Other noncompletion	0	
Total (Eligible Noncompletes)			1
I1	Out of Business	7	
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	0	
I7	Wholesale only/Carton sale only	0	
I8	Vending machine broken	0	
I9	Duplicate	0	
I10	Other ineligibility	0	
Total (Ineligibles)			8
Grand Total			227

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

STATE: MN  
 FFY:  
 2020

**Frequency Distribution**

Gender	Age	Number of Inspectors	Attempted Buys	Successful Buys
Male	14	0	0	0
	15	0	0	0
	16	4	84	9
	17	0	0	0
	18	0	0	0
	19	0	0	0
	20	0	0	0
	Subtotal	4	84	9
Female	14	0	0	0
	15	0	0	0
	16	7	134	9
	17	0	0	0
	18	0	0	0
	19	0	0	0
	20	0	0	0
	Subtotal	7	134	9
Other		0	0	0
Grand Total		11	218	18

**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	10.7%	6.7%	8.3%
17	0.0%	0.0%	0.0%
18	0.0%	0.0%	0.0%
19	0.0%	0.0%	0.0%
20	0.0%	0.0%	0.0%
Other			0.0%
Total	10.7%	6.7%	8.3%



State: MN  
 FFY: 2020

**SSES Table 5 (uploaded but unable to format to fit report)**  
**SSES Table 6 (Synar Survey Inspection Results by Type of Product)**

STATE: MN  
 FFY: 2020

**Frequency Distribution and Buy Rate**

Product Type	Attempted Buys	Successful Buys	Violation Rate (%)
Cigarettes	74	5	6.8%
Small cigars/Cigarillos	53	8	15.1%
Smokeless tobacco	0	0	0.0%
ENDS	91	5	5.5%
Other	0	0	0.0%
Missing	0	0	0.0%
Invalid	0	0	0.0%
Grand Total	218	18	8.3%

**SSES Table 6 (Synar Survey Inspection Results by Type of Product)**

STATE:  
 MN  
 FFY: 2020

**Buy Rate by Type of Product, Age, and Gender**

Male								
Product Type	Age							Total
	14	15	16	17	18	19	20	
Cigarettes	0.0%	0.0%	10.5%	0.0%	0.0%	0.0%	0.0%	10.5%
Small cigars/Cigarillos	0.0%	0.0%	21.1%	0.0%	0.0%	0.0%	0.0%	21.1%
Smokeless tobacco	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
ENDS	0.0%	0.0%	6.5%	0.0%	0.0%	0.0%	0.0%	6.5%
Other	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
Missing	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
Invalid	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
Total Male	0.0%	0.0%	10.7%	0.0%	0.0%	0.0%	0.0%	10.7%

State: MN  
 FFY: 2020

Female								
Product Type	Age							Total
	14	15	16	17	18	19	20	
Cigarettes	0.0%	0.0%	5.5%	0.0%	0.0%	0.0%	0.0%	5.5%
Small cigars/Cigarillos	0.0%	0.0%	11.8%	0.0%	0.0%	0.0%	0.0%	11.8%
Smokeless tobacco	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
ENDS	0.0%	0.0%	4.4%	0.0%	0.0%	0.0%	0.0%	4.4%
Other	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
Missing	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
Invalid	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
Total Female	0.0%	0.0%	6.7%	0.0%	0.0%	0.0%	0.0%	6.7%

All								
Product Type	Age							Total
	14	15	16	17	18	19	20	
Cigarettes	0.0%	0.0%	6.8%	0.0%	0.0%	0.0%	0.0%	6.8%
Small cigars/Cigarillos	0.0%	0.0%	15.1%	0.0%	0.0%	0.0%	0.0%	15.1%
Smokeless tobacco	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
ENDS	0.0%	0.0%	5.5%	0.0%	0.0%	0.0%	0.0%	5.5%
Other	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
Missing	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
Invalid	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
Grand Total	0.0%	0.0%	8.3%	0.0%	0.0%	0.0%	0.0%	8.3%

State: MN  
 FFY: 2020

**SSES Table 7 (Synar Survey Inspection Results by Type of Retail Outlet)**

STATE: MN  
 FFY: 2020

**Frequency Distribution and Buy Rate**

Retail Outlet	Attempted Buys	Successful Buys	Violation Rate (%)
Gas Station	104	10	9.6%
Tobacco Store	12	2	16.7%
Restaurant	17	0	0.0%
Hotel	0	0	0.0%
Grocery Store	33	5	15.2%
Drug Store	0	0	0.0%
Other	52	1	1.9%
Missing	0	0	0.0%
Invalid	0	0	0.0%
Grand Total	218	18	8.3%

**SSES Table 7 (Synar Survey Inspection Results by Type of Retail Outlet)**

STATE:  
 MN  
 FFY: 2020

**Buy Rate by Type of Retail Outlet, Age, and Gender**

Male								
Retail Outlet	Age							Total
	14	15	16	17	18	19	20	
Gas Station	0.0%	0.0%	12.2%	0.0%	0.0%	0.0%	0.0%	12.2%
Tobacco Store	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
Restaurant	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
Hotel	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
Grocery Store	0.0%	0.0%	25.0%	0.0%	0.0%	0.0%	0.0%	25.0%
Drug Store	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
Other	0.0%	0.0%	5.0%	0.0%	0.0%	0.0%	0.0%	5.0%
Missing	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
Invalid	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
Total Male	0.0%	0.0%	10.7%	0.0%	0.0%	0.0%	0.0%	10.7%

Female								
Retail Outlet	Age							Total
	14	15	16	17	18	19	20	
Gas Station	0.0%	0.0%	7.3%	0.0%	0.0%	0.0%	0.0%	7.3%
Tobacco Store	0.0%	0.0%	20.0%	0.0%	0.0%	0.0%	0.0%	20.0%
Restaurant	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
Hotel	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
Grocery Store	0.0%	0.0%	12.0%	0.0%	0.0%	0.0%	0.0%	12.0%
Drug Store	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
Other	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
Missing	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
Invalid	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
Total Female	0.0%	0.0%	6.7%	0.0%	0.0%	0.0%	0.0%	6.7%

All								
Retail Outlet	Age							Total
	14	15	16	17	18	19	20	
Gas Station	0.0%	0.0%	9.6%	0.0%	0.0%	0.0%	0.0%	9.6%
Tobacco Store	0.0%	0.0%	16.7%	0.0%	0.0%	0.0%	0.0%	16.7%
Restaurant	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
Hotel	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
Grocery Store	0.0%	0.0%	15.2%	0.0%	0.0%	0.0%	0.0%	15.2%
Drug Store	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
Other	0.0%	0.0%	1.9%	0.0%	0.0%	0.0%	0.0%	1.9%
Missing	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
Invalid	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
Grand Total	0.0%	0.0%	8.3%	0.0%	0.0%	0.0%	0.0%	8.3%

State: MN  
 FFY: 2020

**SSES Table 8 (Synar Survey Inspection Results by Clerk Asked for ID)**

STATE: MN  
 FFY: 2020

**Frequency Distribution and Buy Rate**

Clerk Asked for ID	Attempted Buys	Successful Buys	Violation Rate (%)
Yes	203	4	2.0%
No	15	14	93.3%
Missing	0	0	0.0%
Invalid	0	0	0.0%
Grand Total	218	18	8.3%

**SSES Table 8 (Synar Survey Inspection Results by Clerk Asked for ID)**

STATE:  
 MN  
 FFY:  
 2020

**Buy Rate by Clerk Asked for ID, Age, and Gender**

Male								
Clerk Asked for ID	Age							Total
	14	15	16	17	18	19	20	
Yes	0.0%	0.0%	3.8%	0.0%	0.0%	0.0%	0.0%	3.8%
No	0.0%	0.0%	100.0%	0.0%	0.0%	0.0%	0.0%	100.0%
Missing	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
Invalid	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
Total Male	0.0%	0.0%	10.7%	0.0%	0.0%	0.0%	0.0%	10.7%

State: MN  
 FFY: 2020

Female								
Clerk Asked for ID	Age							Total
	14	15	16	17	18	19	20	
Yes	0.0%	0.0%	0.8%	0.0%	0.0%	0.0%	0.0%	0.8%
No	0.0%	0.0%	88.9%	0.0%	0.0%	0.0%	0.0%	88.9%
Missing	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
Invalid	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
Total Female	0.0%	0.0%	6.7%	0.0%	0.0%	0.0%	0.0%	6.7%

All								
Clerk Asked for ID	Age							Total
	14	15	16	17	18	19	20	
Yes	0.0%	0.0%	2.0%	0.0%	0.0%	0.0%	0.0%	2.0%
No	0.0%	0.0%	93.3%	0.0%	0.0%	0.0%	0.0%	93.3%
Missing	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
Invalid	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
Grand Total	0.0%	0.0%	8.3%	0.0%	0.0%	0.0%	0.0%	8.3%

State: MN  
FFY: 2020

## APPENDIX F: GOVERNOR'S DESIGNATION LETTER



### STATE OF MINNESOTA

Office of Governor Tim Walz  
Lt. Governor Peggy Flanagan

130 State Capitol ♦ 75 Rev. Dr. Martin Luther King Jr. Blvd ♦ Saint Paul, MN 55155-1611

December 10, 2019

Odessa Crocker  
Office of Financial Resources  
Division of Grants Management  
Substance Abuse and Mental Health Services Administration  
5600 Fishers Lane  
Rockville, Maryland 20857

Dear Ms. Crocker:

I authorize and designate Jodi Harpstead, Commissioner of the Minnesota Department of Human Services, to sign the State of Minnesota's Annual Synar Report.

This project is directed by the Director of the Behavioral Health division of the Minnesota Department of Human Services, which is the single state authority.

Sincerely,

A handwritten signature in black ink, appearing to read "Tim Walz".

Tim Walz  
Governor

cc: Jodi Harpstead, Commissioner, Minnesota Department of Human Services

Voice: (651) 201-3400 or (800) 657-3717  
Website: <http://mn.gov/governor/>

Fax: (651) 797-1850

MN Relay (800) 627-3529  
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State: MN  
FFY: 2020

**APPENDIX G: STATE RETAILER VIOLATION RATE**

**FFY 2020**

**State of Minnesota**

**Official Retailer Violation Rate**

**Minnesota's retailer violation rate for the FFY 2020 Annual Synar Report is  
8.3%.**