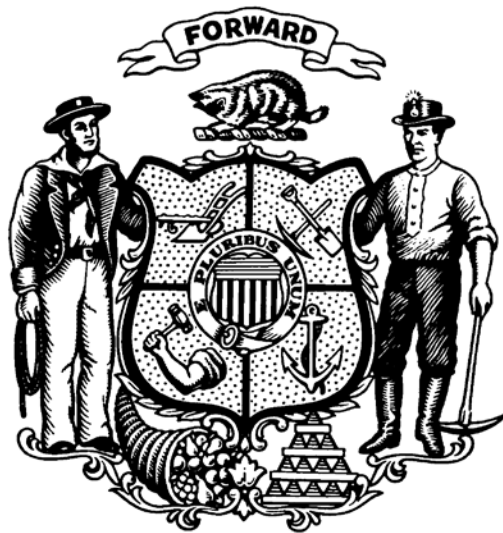


# WISCONSIN STATE COUNCIL ON ALCOHOL AND OTHER DRUG ABUSE



December 7, 2018  
MEETING

**Roger Frings**  
Chairperson

**SCOTT WALKER**  
Governor





## Tobacco-Free Environment

American Family Insurance is a tobacco-free environment. We prohibit the use of tobacco products and electronic cigarettes (e-cigarettes) everywhere, by anyone, at all times.

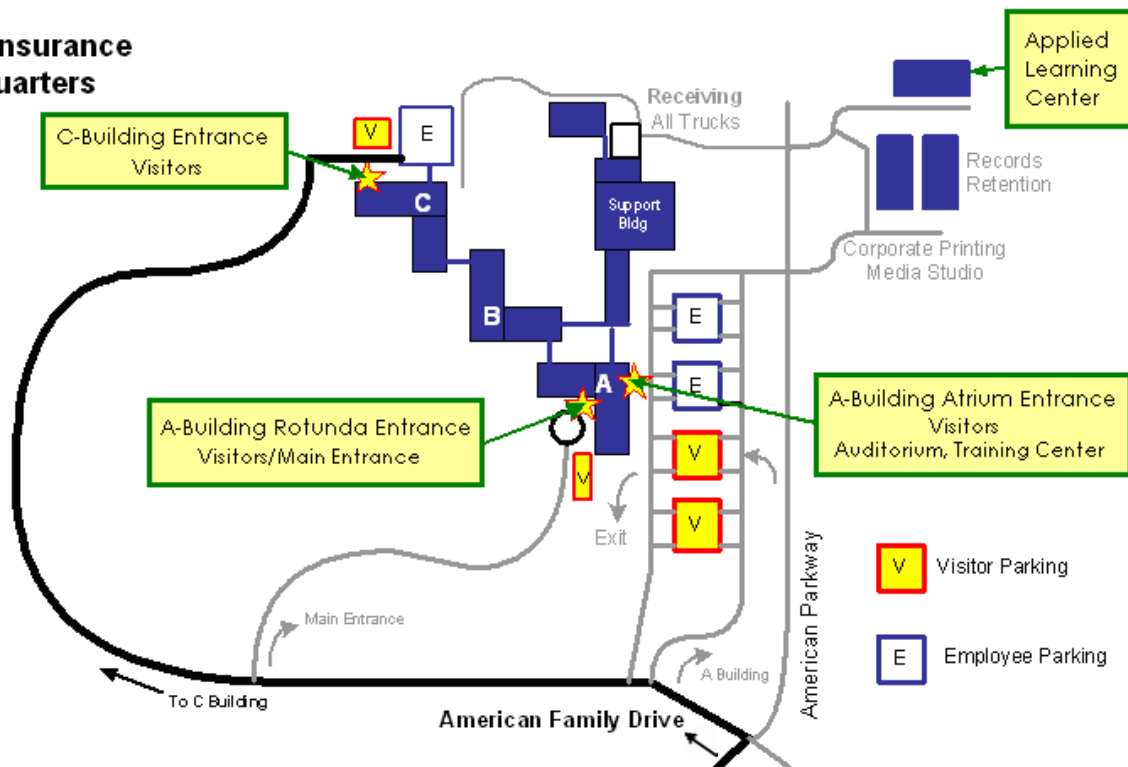
**Use of tobacco products and e-cigarettes is prohibited in all interior and exterior spaces, including inside your vehicle while on company-property and in parking ramps and parking lots.**

We ask that you refrain from using tobacco products and e-cigarettes while using our facility.

Thank you for your cooperation. We welcome you and look forward to serving you!



Directions  
**American Family Insurance  
 National Headquarters**



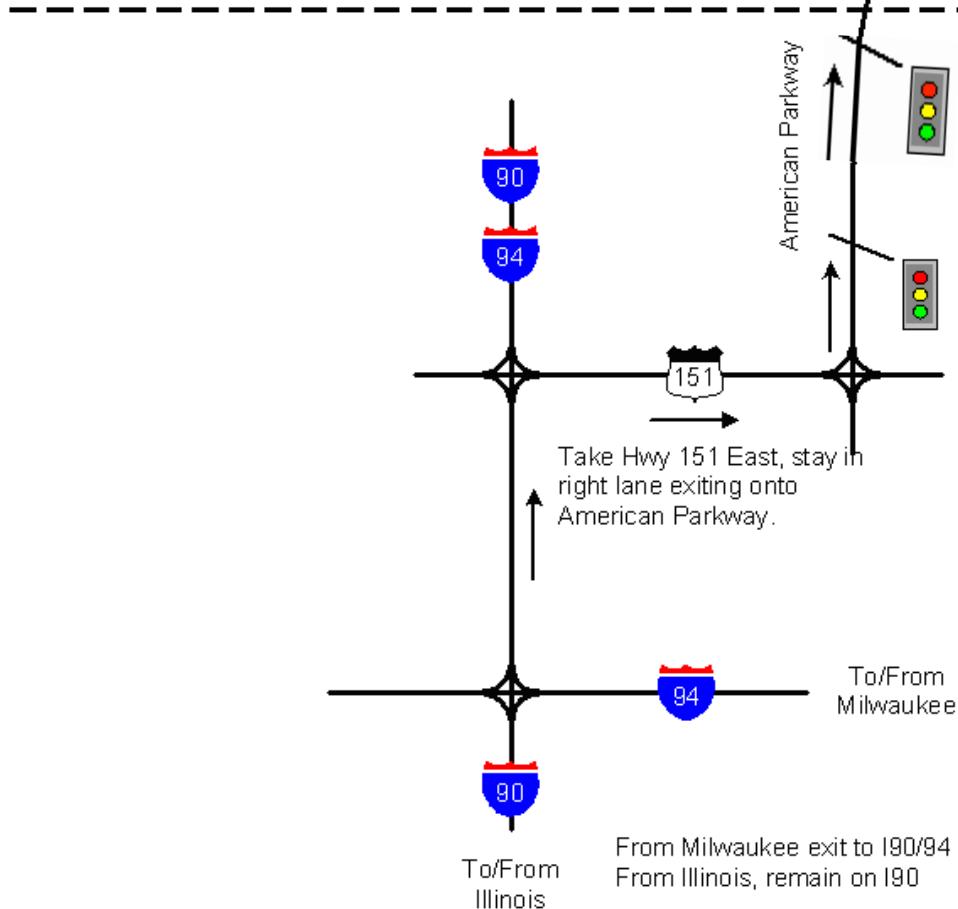
**Main Campus Directions**

Turn left onto American Family Ins. Dr and take the 1<sup>st</sup> right to access A bldg./Training Center visitors parking

- Visitors are able to use both flat lots for parking only
- If you need to drop off materials/attendees please follow the road around the parking ramps to the A bldg. visitors entrance
- Please note roads around parking are one way

Merge to left lane on American Parkway. Second intersection past stop light is American Family Drive.

RETURN: Reverse route. Exit onto American Parkway, stay in right hand, enter onto Hwy 151. Entrance to I90/94 is immediately ahead. Southbound - on 151 merge to second lane from right which becomes far right lane as you approach the interstate.



**Highway Directions to AF-NHQ Campus**



State of Wisconsin

**State Council on Alcohol and Other Drug Abuse**

1 West Wilson Street, P.O. Box 7851  
Madison, Wisconsin 53707-7851

**OPEN MEETING NOTICE**

December 7, 2018, 9:30 AM to 2:30 PM  
American Family Insurance Conference Center  
6000 American Parkway, Madison, WI 53783  
**A-Building, South Café in Training Center**

**MEETING AGENDA**

1. Welcome and introductions.....Roger Frings, SCAODA Chairperson
2. Approval of September 7, 2018 meeting minutes.....p. 7
3. Public input (maximum five minutes per person).....Roger Frings
4. Committee reports:
  - Executive Committee.....Roger Frings..... p. 12
    - ✓ Review Committee meeting minutes and agenda
    - ✓ Meeting Dates for 2019: March 1<sup>st</sup>, June 7<sup>th</sup>, Sept. 6<sup>th</sup>, Dec. 6<sup>th</sup>
  - Diversity Committee.....Thai Vue..... p. 15
    - ✓ Review Committee meeting minutes and agenda
  - Intervention & Treatment Committee...Norman Briggs & Roger Frings.....p. 17
    - ✓ Review Committee meeting minutes and agenda
    - ✓ Children, Youth and Family Treatment Sub-Committee
  - Planning and Funding Committee.....Christine Ullstrup..... p. 26
    - ✓ Review Committee meeting minutes and agenda
  - Prevention Committee.....Chris Wardlow..... p. 34
    - ✓ Review Committee meeting minutes and agenda
    - ✓ Workplace Prevention Ad Hoc Committee

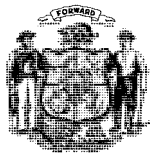
5. Council Participation in Legislative Process.....Roger Frings/Rep. Billings
6. Presentations on Programs.....Guest Presenters.....p. 39
  - FFY 2019 Synar Survey Report – *Nancy Michaud, DHS, Division of Public Health*, p. 39
  - Tribal-State Policy Academy Initiative -- *Michael Waupoose, Shelby Cleereman, Robert TwoBears, Vaughn Bowles* .....p. 83
  - Alcohol Beverages Enforcement at DOR .....Matthew Sweeney
7. Lunch
8. Insurance Representatives Discuss SUD Treatment Coverage Issues
  - *Dr. Christian Kastman and Jim Van Den Brandt*, Group Health Cooperative of South Central Wisconsin
  - *Sue Wilhelm*, Security Health Plan
9. Agency reports:
  - Department of Health Services.....Jennifer Malcore
  - Department of Revenue.....Matthew Sweeney
  - Department of Public Instruction.....Brenda Jennings
  - Department of Safety & Professional Services.....Brittany Lewin
  - Department of Veterans Affairs.....Mike Ayers
  - Department of Justice..... Ryan Shogren
  - Department of Corrections..... Autumn Lacy
  - Wisconsin Technical Colleges.....Katie Roberts
  - UW Systems.....Gary Bennett
  - WI Board for People with Developmental Disabilities.....Ann Sievert
10. Bureau of Prevention, Treatment and Recovery Update.....Joyce Allen, DHS
11. Report from Wisconsin Council on Mental Health .....Mishelle O’Shasky, WCMH Chair
12. March 1, 2019 Meeting Agenda Items.....Council Members
13. Adjournment..... SCAODA Chair

The purpose of this meeting is to conduct the governmental business outlined in the above agenda. Members of the State Council are appointed by the Governor. The Council’s primary function is charged with providing leadership in Wisconsin around substance use disorder issues, advising Wisconsin state agencies on substance use disorder prevention, treatment and recovery activities, and coordinating substance use disorder planning and funding initiatives across state agencies. The Bureau of Prevention Treatment and Recovery within DHS staffs the Council. DHS is an equal opportunity employer and service provider. If you need accommodations because of a disability, if you need an interpreter or translator, or if you need this material in another language or in alternative format, you may request assistance to participate by contacting Mike Derr at 608-267-7704 or at [Michael.Derr@wisconsin.gov](mailto:Michael.Derr@wisconsin.gov).

**Conference Call:** (via Skype) 844-341-6886 [608-316-9000 in Madison]

**Conference ID Code:** 2762361

See also <https://scaoda.wisconsin.gov/meetings.htm> for instructions on joining by phone.



State of Wisconsin

**State Council on Alcohol and Other Drug Abuse**

1 West Wilson Street, P.O. Box 7851  
Madison, Wisconsin 53707-7851

**STATE COUNCIL ON ALCOHOL AND OTHER DRUG ABUSE  
DRAFT MEETING MINUTES**

September 7, 2018

9:30 a.m.

American Family Insurance Training Center - Madison, WI

Members present: Subhadeep Barman; Sen. Janet Bewley (via Skype); Sen. Jill Billings; Norman Briggs; Allison Cramer (for Sen. LaMahieu); Roger Frings; Jan Grebel; Sandy Hardie; Brenda Jennings; Michael Knetzger; Autumn Lacy; Jennifer Malcore; Sue Shemanski; Ryan Shogren; Duncan ShROUT; Kristi Sullivan; Christine Ullstrup; Thai Vue

Members excused: Jennifer Fyock; Chris Borgerding (for Rep. John Nygren); Caroline Miller

Ex-officio Members present: Mike Ayers; Fil Clissa; David Galbis-Reig; Brittany Lewin (via Skype); Mishelle O'Shasky; Matthew Sweeney; Katie Wagner-Roberts (via Skype); Mark Wegner; Dasha Young (via Skype)

Ex-officio Members excused: Gary Bennett; BJ Dernbach

Staff: Joyce Allen; LeeAnn Mueller; Sarah Coyle; Jason Cram; Mike Derr; Cory Flynn; Lorie Goeser; Raina Haralampopoulos; Theresa Kuehl; Paul Krupski; David Nelson; Christy Niemuth; Dennis Radloff; Kate Rifken; Gary Roth; Scott Stokes; Mai Zong Vue; Allison Weber; Alex Wright-O'Neil

Guests: Terri Alm; Amy Anderson; Vonda Benson; Denise Johnson; Jill Gamez; Harold Gates; Sue Gudenkauf; Emily Juneau; Amanda Lake; Erin Thorvaldson; David Macmaster; Amy Skora; Megan Sulikowski; Tera Carter Vorpahl; Chris Wardlow; Michael Waupoose; Andrew Whitacre (by Skype); Jill Wolf

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**Call to Order:** Duncan ShROUT called the meeting to order at 9:32 a.m.

**Introductions:** Members introduced themselves.



**Approval of June 1, 2018 Minutes:** The June 1st minutes were unanimously approved by Council members, based on motion to approve by Christine Ullstrup and seconded by Sandy Hardie. Roger Frings abstained.

**Public input:**

Sarah Johnson presented a letter to SCAODA and Scott Walker on behalf of an anonymous colleague. The letter addressed concerns about the passage of Act 262, and requested that it be reconsidered and replaced or modified with alternative that better addresses the risk of incorrect assessments and treatment by clinicians that the currently-worded Act could promote. Dr. David Galbis-Reig added that the board members of WISAM had their own concerns about Act 262, and that substantial hours of training in assessment and diagnosis are crucial to providing effective care. He also noted that some of administrative rule DHS 75's definitions and terms conflict with the Act, causing confusion.

**Officer Elections:**

Duncan Shroul noted the need for the Council to elect three officers for the 2018-19 period, and that three Council members have expressed their interest in seeking an officer: Sandy Hardie for Vice Chair, Norman Briggs for Secretary, and Roger Frings for Chair. Each candidate gave a short summary of their history on the Council and interest in the office position. Afterwards, Jenny Malcore moved that the Council elect the three candidates as one slate, and the motion was seconded. The Council passed the motion unanimously. Shroul then introduced Roger Frings as the new Council Chair, at which point Frings presided over the meeting.

**Committee Reports:**

*Executive Committee* – Duncan Shroul reported that the committee met on July 31st. Jennifer Malcore has invited SCAODA representatives and stakeholders to join WCMH representatives and attend her monthly advocacy meetings. The next advocacy meeting is on September 13<sup>th</sup>.

*Diversity Committee* – Thai Vue reported that the committee met on August 3<sup>rd</sup> to discuss updates from the DHS. Allison Weber provided an update on the emerging leadership program. The 2018 Mental Health and Substance Use Disorder Recovery Conference, hosted by UW-Stevens Point, will be held on October 17 and 18 at the Kalahari in Wisconsin Dells. The committee also discussed interpreter certification through DSPS, strategic planning for the upcoming year, and efforts to hold CLAS standards training sessions.

*Intervention and Treatment Committee* – Norman Briggs reported that at the committee's last meeting on August 14<sup>th</sup>, a representative from Journey Mental Health Center presented about DSPS and billing issues that resulted from Act 262. The committee continues to work with the Planning and Funding Committee to promote Medicaid reimbursement for the cost SUD residential service, and study the variation of county policies in utilizing that serve. While there is a waiting list for residential beds in the Milwaukee area, residential facilities in many other regions in the state have experienced many empty beds.

In light of the recently-adopted Act 262, Briggs introduced IT Committee's motion for SCAODA to express its belief that it is best practice that professionals providing SUD treatment first demonstrate their competency as evidenced by documented relevant education, experience and supervision aligning with scope of practice and professional ethical standards. Dr. Galbis-Reig argued that the motion doesn't go far enough. Sandy Hardie expressed a concern over the motion's lack of specificity with actions. Jennifer Malcore opposed the motion because she does not understand what SCAODA is being asked to do or support, and noted that Act 262 is already law. Dr. Subhadeep Barman noted that WISAM was never given an opportunity to consider the Act before it was passed overnight. After lengthy discussion among Council members, Malcore said that committees need to be more involved with the legislative process, and Briggs agreed that the IT Committee would withdraw the motion and develop a plan for addressing the concerns raised in the motion. Representative Jill Billings noted that there have been issues with SCAODA members feeling like they don't have a voice on various state policy and proposed legislation. She will ask the Opioid Abuse Task Force co-chairs to send notices of future Task Force meetings to the Council through DHS. Malcore explained that issues are moving more quickly than usual because the state is in an opioid crisis and issues must be expedited as a result.

*Planning and Funding Committee* – Christine Ullstrup reported that the committee last met on August 15<sup>th</sup>. The committee had previously developed a survey for residential treatment facilities to monitor the extent of bed usage across the state. So far, no major conclusions have been drawn, but roughly 77% of beds were full in April. The committee will also explore how counties are covering the costs of placing persons in residential treatment, and how that varies from place to place. Council members noted several counties that they understand do not fund residential treatment. Roger Frings will arrange for representatives of insurance companies to present information on different levels of care, coverage, and authorization to the Council and interested committees. The P&F Committee is searching for committee members from the northern and/or western parts of the state to fill current vacancies.

*Prevention Committee* – Chris Wardlow reported that the Prevention Committee last met on April 19<sup>th</sup>. At its January meeting, staff from Division of Public Health worked on the Healthy Wisconsin Plan to create an Alcohol Priority Action Plan. One immediate milestone is to review and update current goals. The Plan's June addendum will serve as the primary plan until 2020. Also, workgroups met in March, and there will be several fact sheets coming out of the Epidemiology work group focusing on veterans and suicide. The DHS prevention team is presently creating and updating AODA fact sheets for 2018, which will be released in September. At its March 28<sup>th</sup> meeting the Prevention in the Workplace Ad Hoc Committee discussed preventative steps for reducing of AODA in the workplace.

**Proposed 2018-22 SCAODA Strategic Plan:**

The draft of the plan was included in the meeting booklet, starting on page 41. The draft Plan included a series of objectives and plans for each committee to address the SCAODA primary goals. Chairpersons from each committee briefly summarized their committee's respective actions and strategies. Chris Wardlow requested that Objective 2(a) also be added to the Prevention Committee's section. Concern was expressed about Goal 3(f) calling for an increase in the excise tax on fermented beverages, with other members stating the Council and state policymakers should be challenged to consider alternatives for raising additional funds to address

SUD needs statewide. Some members raised the desire to include a focus on articulating housing in the Strategic Plan as a crucial component of recovery. After Council members reviewed and discussed the proposed Strategic Plan, Duncan Shroul moved to approve the plan with Wardlow's suggested Prevention Committee addition, seconded by Norman Briggs. The motion carried, with Jennifer Malcore opposing, and Allison Cramer (attending for Brian Radday) abstaining.

#### **Presentations from Substance Abuse Disorder Programs:**

- Taycheedah Correctional Institution SUD Programming – Jill Wolf presented on behalf of the institution. The presentation is available in pages 42-51 of the September 7<sup>th</sup> SCAODA booklet.
- DOC, Division of Adult Corrections SUD Treatment – Dr. Autumn Lacy presented on behalf of the Division. The presentation is available on pages 52-59 of the SCAODA booklet. Dr. Lacy noted that there are presently nearly 14,000 residents on waiting lists for SUD services, which are not provided in maximum security facilities. One factor considered when prioritizing those persons receiving services: is a resident soon being released from the institution?
- WINTIP, SUD Tobacco Integration Online Training – David Macmaster and Amy Skora presented on behalf of the organization. The presentation is available on pages 60-79 of the SCAODA booklet.

#### **PEW's Second Report of Recommendations:**

Andrew Whitacre of the PEW Charitable Trusts appeared by telephone to provide an overview of PEW's second set of SUD Treatment Policy Recommendations for the State of Wisconsin. These recommendations were presented to the Opioid Abuse Task Force in July. Whitacre gave an overview of the structure of this second report, then highlighted most of the 18 recommendations, which fall within four categories: (1) building up the SUD workforce; (2) treatment system transformation; (3) meeting needs of underserved populations; and (4) coverage and reimbursement policies. The set of recommendations are included in pages 80-132 of the meeting booklet.

#### **Agency Reports**

DHS – Paul Krupski provided updates on the Governor's Opioid Abuse Task Force and the Commission on SUD Treatment Delivery. Many of the recommended actions being considered are based on the Hub-and-Spoke treatment model. He announced the retirement of Pat Cork as Division Administrator at DCTS.

DOR – The Excise Tax Collections Report is on page 133 of the September SCAODA booklet. Matthew Sweeney gave a brief overview of that report. There were no significant changes from the previous year report.

DPI – No update from the Department of Public Instruction was provided. Mike Derr will forward to all Council members a written update prepared by Brenda Jennings, who did not attend during the afternoon.

DSPS – Brittany Lewin gave a brief department update over the phone. The beginning of FPSW-109 is wrapping up drafting and is anticipating approval soon.

DVA – Mike Ayers announced the department’s hiring of a mental health director, Colleen Rinken, formerly with the DHS’ bureau.

Wisconsin Technical Colleges – The Wisconsin Technical Colleges system gave no report.

University of Wisconsin (UW) Systems – UW Systems gave no report.

WI Board for People with Developmental Disabilities – Fil Clissa introduced herself as the new designee for the Board. She looks forward to working the Council members and attending meetings.

**Bureau of Prevention Treatment and Recovery Update:**

Joyce Allen announced the Rally for Recovery and the upcoming MH/SU Recovery Training Conference in October. Recent staff changes within the division and bureau have occurred: Pat Cork and David Nelson are retiring, Lorie Goeser is leaving at the end of the month, and Cory Flynn has joined the bureau as the Peer Run Respite Coordinator. The Wisconsin allocation of SOR Grant funds has been approved at \$11.8 million. Applications for MAT prison grants are due September 30. The Certified Peer Specialist (CPS) advisory committee will meet near the end of November; Allen suggested that SCAODA appoint a representative to that advisory committee.

**Wisconsin Council on Mental Health Report (WCMH):**

Given the long duration of the meeting, Mishelle O’Shasky stated that she would wait until the next meeting in December to provide an update.

**Next Meeting Agenda Items:**

Items and topics suggested for the December 2018 meeting included: (1) a presentation from several participants with the Tribal State Policy Academy (funded by SAMHSA) on activities to date and the primary goals and objectives of this initiative relating to reducing and treating substance use disorders in the tribal communities; (2) a presentation from Dr. Barman on evidence-based MAT programs; and (3) suggested strategies for the Council to increase its role and presence in the legislative and policymaking process.

**Adjournment:**

The meeting was adjourned at 3:01 p.m.

## OPEN MEETING MINUTES

Instructions: [F-01922A](#)

Name of Governmental Body: Executive Committee, State Council on Alcohol and Other Drug Abuse (SCAODA)		Attending: See narrative below.
Date: 7/31/2018	Time Started: 10:03 am	Time Ended: 10:45 am
Location: DHS, 1 W. Wilson St., Room 850, Madison, WI		Presiding Officer: Sandie Hardie, Committee Vice Chair

### Minutes

*Present:* Duncan Shroust and Norman Briggs (both by phone); Guest: Roger Frings

*Absent:* Sandy Hardie

*Staff:* Mike Derr

Duncan Shroust called the meeting to order at 10:03 a.m.

Norman Briggs moved that the Committee's May 15, 2018 draft minutes be approved. Duncan Shroust seconded the motion. Motion carried – minutes are approved.

- The participants congratulated Roger Frings for helping pave the way for American Family Center to again host upcoming SCAODA meetings. Roger suggested Mike and DHS write a “thank you” card or message to American Family Ins.
- All participants are delighted that Jenny Malcore invited SCAODA folks and AODA stakeholders to attend her Mental Health Advocate meetings. Norm said he'd attend and Roger said he'd try to make it. [Post-note: Jenny had to cancel the Aug. 9<sup>th</sup> meeting due to being out of the office. The next scheduled meeting is Sept. 13<sup>th</sup> at 10:30-11:30 am]
- Mike walked through the list of Agenda topics for the Sept. 7<sup>th</sup> Council meeting. The group felt that there's plenty of discussion items listed, there's no need to add any further topics.
- DOC presentations – Duncan thought that Division of Adult Institutions presented to SCAODA two years ago. Mike should check and see who presented and what topics were covered, then share that with Autumn Lacy. Norm raised the question of why DOC continues to receive SABG funds – was it a federal SAMHSA decision? Duncan responded that this was decided at the state level as a political policy issue. Mike thinks that a state statutory provision requires some of grant funds go to DOC. Norm also reiterated that presenters should include performance outcome data.
- 2018-22 SCAODA Strategic Plan – At its July meeting, the ITC selected 7 goals/priorities. Mike asked Norm to have ITC reexamine the list and come up with its top 3 or 4.
- Committee Updates – ITC will present a motion to Council that new “scope of practice” SACS be required to demonstrate some sort of competency before practicing, in response to Act 262. P&F Committee: Duncan and Norm both discussed possible actions that could stem from the committee's survey findings of residential treatment facilities on why some are full why others can't fill all their beds.

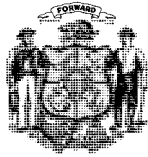
- DHS Updates – Roger suggested Mike ask Jenny Malcore or Paul Krupski to give an update on Opioid Task Force activities and meetings.
- PEW Recommendations --- Mike stated that Andrew Whitacre could be asked to give SCAODA an update on implementation of Stage 2 recommendations. Duncan strongly felt that Andrew should give an update in person, even if this means waiting until the Dec. 7<sup>th</sup> meeting.

No public comments were offered during the meeting.

The meeting adjourned at 10:45 a.m.

Prepared by: Michael Derr on 8/20/2018.

Minutes were approved by Committee on 11/12/2018.



Roger Frings  
Chairperson  
  
Sandy Hardie  
Vice Chairperson  
  
Norman Briggs  
Secretary

State of Wisconsin

**State Council on Alcohol and Other Drug Abuse**

1 West Wilson Street, P.O. Box 7851  
Madison, Wisconsin 53707-7851

**OPEN MEETING NOTICE**

Executive Committee

November 12, 2018

1:00 – 1:45 PM, Room 1050C  
Via conference call

**MEETING AGENDA**

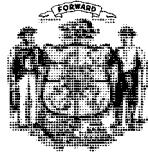
- 1. Call to Order .....Roger Frings
- 2. Review of July 31, 2018 Meeting Minutes.....Roger Frings
- 3. SCAODA Dec. 7, 2018 Meeting Agenda.....Roger Frings/Mike Derr
- 4. Council Priorities for 2019.....Roger Frings/Mike Derr
- 5. Public Comment: Substance Use Disorder (SUD) Planning Topics.....Roger Frings
- 6. Other Topics.....Committee Members
- 7. Adjournment.....Roger Frings

The purpose of this meeting is to conduct the governmental business outlined in the above agenda. The Executive Committee serves under the State Council on Alcohol and Other Drug Abuse (SCAODA), and consists of the Council’s three officers. The Committee’s primary objective is to provide leadership and direction to the Council in the setting of Council meeting agendas and prioritizing of Council activities.

DHS is an equal opportunity employer and service provider. If you need accommodations because of a disability, if you need an interpreter or translator, or if you need this material in another language or in alternative format, you may request assistance to participate by contacting Mike Derr at 608-267-7704 or at [Michael.Derr@wisconsin.gov](mailto:Michael.Derr@wisconsin.gov).

**Conference Call:** 1-877-820-7831

**Access Code:** 554523#



State of Wisconsin

**State Council on Alcohol and Other Drug Abuse**

1 West Wilson Street, P.O. Box 7851  
Madison, Wisconsin 53707-7851

**OPEN MEETING NOTICE**

Diversity Committee

November 2, 2018

10 AM to 2:30 PM

Independence *First*  
540 1<sup>st</sup> Street  
Milwaukee, Wisconsin 53204

**MEETING AGENDA**

- 1. Welcome and Introductions..... Committee Chair
- 2. Public Comment: The committee will accept comments from the public relating to any committee business.....Committee Chair
- 3. Approve Minutes from August 3, 2018 Meeting.....Committee Chair
- 4. DCTS Updates.....Mai Zong
- 5. SCAODA Strategic Plan: 2018-2022 Updates.....Thai and Sandy
- 6. Diversity Committee Organizational Structure.....Committee Chair
- 7. Diversity Committee Goal Review.....Thai Vue
- 8. Diversity Reception 2018.....All
- 9. Membership Recruitment Update .....All
- 10. Future Agenda Items.....Committee Members

The purpose of this meeting is to conduct the governmental business outlined in the above agenda. The Diversity Committee serves under the State Council on Alcohol and Other Drug Abuse (SCAODA). The Committee’s mission is to enhance and honor the lives of Diverse Populations of Wisconsin by providing access to culturally and linguistically appropriate substance disorder use related services.



DHS is an equal opportunity employer and service provider. If you need accommodations because of a disability, if you need an interpreter or translator, or if you need this material in another language or in alternative format, you may request assistance to participate by contacting Mai Zong Vue at 608-266-9218 or at [maizong2.vue@wisconsin.gov](mailto:maizong2.vue@wisconsin.gov).

**Conference Call:** 1-877-820-7831

**Access Code:** 554523#

## OPEN MEETING MINUTES

Instructions: [F-01922A](#)

Name of Governmental Body: Intervention and Treatment Committee			Attending: Norman Briggs, Roger Frings, Alan Frank, Saima Chauhan (guest), Jason Cram, Jill Gamez, Sheila Weix, Amy Anderson, Meagan Sulikowski, David Macmaster, Joe Muchka, Lindsey Just
Date: 8/14/2018	Time Started: 10:00 am	Time Ended: 2:30 pm	
Location: Dept of Correction, 3099 E. Washington Ave. Madison, WI			Presiding Officer: Norman Briggs, Roger Frings

### Minutes

1. Roll Call and Introductions.
2. July ITC minutes were reviewed and approved.
3. Saima Chauhan from Journey Mental Health Services attended to discuss how do we influence legislative changes. She reviewed the process she used when living in Arkansas. A rousing discussion ensued covering topics of lack of providers' unified voice since WAODA dissolved, how do providers' re-establish this single voice, covered grass root efforts, and how can SCAODA 'pick-up-the-pace' and be a mechanism of timely action when it comes to legislation. Joe Muchka mentioned perhaps it is time to consider a Call to Action regarding this topic. Perhaps to discuss more in depth at October's ITC meeting.
4. Andrew Whitacre from the Pew Charitable Trust called in to discuss the latest recommendations they have made. He reviewed these recommendations that were based from reviewing the current treatment system, engaging stakeholders, conducting focus groups across the state, and what are the best-emerging practices in opioid treatment.
5. David Macmaster briefly reviewed the Gambling Survey Results. He gave a backdrop of the survey and basically mentioned and encouraged we address these issues along with other substance use disorders.
6. Kenya Bright of DHS called in to provide an update on Peer Specialist Training and Recovery Coaching. Kenya gave a background of the evolution of Peer Specialists to the development of Parent Peer Specialists. In 2010, certified Peer Specialists were in mental health and 2014 it was expanded to include people with substance use disorders. The committee had a variety of questions for her in terms of training and data tracking. The Parent Peer Specialist training is a pilot currently, to end in 2020. Kenya noted they are gathering data to determine efficacy of the program, and how long people are staying in the field. Sheila Weix noted the trainings were geographically difficult for people in her area, and it was recommended she contact Dee Nash from Access to Independence in Madison to set up some training. Dee Nash's number: 608-242-8484 ext 233 and email: [deen@accesstoind.org](mailto:deen@accesstoind.org) was provided. (thank you Amy).
7. The SCAODA Strategic Plan was discussed and had to whittle down from the seven listed to three. The committee agreed to focus on: a. Item 6 – Increase the Wis Alcohol tax and earmark the increase for treatment; b. Item 1 – Increase focus and resources across the lifespan, as well as seniors, with an emphasis on youth and adolescent prevention and treatment programs; Item 7 – Implement the recommendations of the ITC report on the workforce. An alternate item was selected as well. Item 5 – Support and advocate for innovative and promising, emerging SUD practices.
8. A motion was introduced and passed to submit to SCAODA regarding ITC's recommendation regarding what a scope of practice for mental health practitioners providing treatment for substance use disorders should include. Motioned by Joe Muchka, seconded by Sheila Weix, and unanimously approved. Joe Muchka, Jill Gamez, and Norman Briggs to propose to SCAODA. This motion will be: "In response to Act 262, SCAODA holds the firm belief in the best practice that professionals who deliver SUD treatment have demonstrated competency as evidenced by documented, relevant education, experience, and supervision that align with a scope of practice and professional ethical standards."
9. The discussion of funding residential beds for 75.11 and 75.14 were discussed. Norman Briggs reported an 8 questions survey conducted across the state regarding occupancy showed 77.2% occupancy. They had a 50% return rate on the survey. A discussion on how we might need to find a new model for paying for residential beds. Jill Gamez reported that many counties refuse to pay for residential services for a variety of reasons, and how many beds to we actually need across the state? The evidence does report major funding gaps for residential services, which is a major unmet need. Also, besides looking at Vermont's hub and spoke, which is for opioids only, we need to look at states, like Minnesota, that are serving the full range of SUD with a 'no wrong door'

policy. Jill Gamez mentioned perhaps a joint ITC and P&F Committee would be helpful, or for her to join P&F as a member.

10. Section Updates: CYF report from Jason Cram and Lindsey Just is that membership is increasing, and beginning to formulate a Statement of Scope for the Capacity and Demand Report. Jason had a question regarding how a chair of the committee gets appointed. Roger Frings stated they can either be a current member of ITC or present a name to either Roger or Norman for appointment. The report for Treatment for Women and Their Children reported no update by Norman Briggs.
11. Meeting adjourned at 2:30 pm. Al Frank motioned. Joe Muchka seconded. Approved and adjourned.

Prepared by: David Nelson on 8/15/2018.

These minutes were approved by the governmental body on: 10/9/2018



State of Wisconsin

**State Council on Alcohol and Other Drug Abuse**

1 West Wilson Street, P.O. Box 7851  
Madison, Wisconsin 53707-7851

**OPEN MEETING NOTICE**  
**INTERVENTION AND TREATMENT COMMITTEE (ITC)**

October 9, 2018

10:00 a.m. to 2:30 p.m.

**Location of the Meeting:**

Department of Corrections  
3099 E. Washington Ave.  
Room 1M-M  
Madison, WI

**AGENDA**

1. Call to Order and Roll Call
2. Review and Approval of August minutes
3. Review and Discussion of 09/07/2018 SCAODA Meeting
  - a. SCAODA Strategic Plan
  - b. ITC Motion regarding WI Act 262
4. Behavioral Health Review Committee of the DSPS
5. Section updates
  - Children, Youth and Families (Jason Cram)
  - Treatment for Women and their Children (Norman Briggs)  
Urban Rural Women's Grants
  - Treatment for Senior's Workgroup (Steve Dakai)

The purpose of this meeting is to conduct the governmental business outlined in the above agenda for the Intervention and Treatment Committee of the State Council on Alcohol and Other Drug Abuse. The mission of the State Council on Alcohol and Other Drug Abuse (SCAODA) is to enhance the quality of life for Wisconsin citizens by preventing alcohol and other drug abuse and its consequences through prevention, treatment, recovery, and enforcement and control activities.

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**Conference Call: 1-877-820-7831 Passcode: 793544#**

Next ITC Meeting: November 13, 2018

Next SCAODA Meeting: December 7, 2018

## OPEN MEETING MINUTES

Instructions: [F-01922A](#)

Name of Governmental Body: Intervention and Treatment Committee			Attending: Norman Briggs, Roger Frings, Sheila Weix, Al Frank, Jason Cram, David Macmaster, Meaghan Sulikowski, Laura Gebhardt, Amanda Lake, Dawne Spencer, Lindsay Just, Chelsey Wasielewski, Joe Muchka
Date: 10/9/2018	Time Started: 10:05 AM	Time Ended: 12:12 PM	
Location: Dept of Correction, 3099 E. Washington Ave. Madison, WI			Presiding Officer: Norman Briggs, Roger Frings

### Minutes

1. Roll call and introductions.
2. August ITC minutes were reviewed and approved; motion by Mr. Frings with second by Mr. Muchka; unanimous approval.
3. Joe Muchka will replace Stephen Dakai as chair of the Substance Use Amongst Senior Population Workgroup. Workgroup members include Sheila Weix, Lindsay Just, and David Macmaster. Discussion included need for relevant data. Recommended resource includes [SAMHSA TIP 26](#). Baby Boomers are a population within a population. Little visibility amongst this population. Possible link between SUD and falls.
4. SCAODA Four Year Strategic Plan was reviewed and discussed in terms of each item's relevance to ITC and CYFT. Items specific to ITC and CYFT include:
  - a. Increase focus and resources for youth and adolescent prevention and treatment programs, to include: (1) collegiate recovery and support resources; and (2) continue revitalizing the Children, Youth, and Family Treatment Sub-Committee.
  - b. Address the rising levels of SUD needs for the senior population.
  - c. Support and advocate adoption of innovation and promising, emerging SUD practices.
5. ITC Motion at SCAODA meeting in Sept discussed and the reason the motion was withdrawn. The motion read: "In response to Act 262, SCAODA holds the firm belief in the best practice that professionals who deliver SUD treatment have demonstrated competency as evidenced by documented, relevant education, experience, and supervision that align with a scope of practice and professional ethical standards." Jenny Malcore of DHS indicated a willingness to work with WI-ASAM and ITC to address concerns.
6. Discussion regarding DHS, DSPS, DQA, and providers not all being on the same page in regards to WI Act 262. Challenges include navigating the law, discrepancies between old and new licensing requirements, competencies, and credentialing. Previous request to have DSPS represented at ITC have been turned down. Roger Frings will pursue his contacts at DSPS to try to representation on ITC. Concerns also include how the DHS 75 rewrite will crosswalk with this legislation. Issue needs continued discussion and attention by ITC and SCAODA.
7. DHS updates:
  - a. David Nelson has retired and it is not known who will replace him and assume leadership over the DHS 75 rewrite project.
  - b. Pat Cork, DCTS Administrator, is retiring in October 2018.
  - c. Lori Goeser is resigning from DHS.
  - d. PEW Final Report has been submitted to DHS.
8. Discussion about resource titled wishope.org. Their mission is to provide resources, education, and support to Wisconsin communities and individuals impacted by addiction and mental health. Possibly invite representative to upcoming ITC meeting. Lindsay Just knows a contact at this service.
9. Al Frank has asked Holly Audley to attend next ITC meeting to discuss DSPS Behavioral Health Review Committee. She confirmed her attendance and this will be placed on the Nov 2018 agenda.
10. Roger Frings who was elected as the SCAODA Chair in September discussed his vision for SCAODA. This vision includes improving legislative advocacy; make legislative visits after the Nov election to network; make the voice of SCAODA be heard by lawmakers at the same level as the Opioid Taskforce. Mr. Frings will remain active at the committee level and be present at as many committee meetings as possible.
11. Norm Briggs discussed the monthly advocate meetings with Jenny Malcore at DHS. He requested agenda items be proposed and sent on a routine basis.
12. Jason Cram provided an update on the CYFT Subcommittee

- a. Chelsey Wasielewski was elected as the chair of this committee on 10/8/18. ITC approved for Ms. Wasielewski to be a member of the ITC making her election to the CYFT chairpersonship official. Norm Briggs and/or Roger Frings will request Mike Derr draft a letter to this effect.
  - b. Last meeting held 10/8/2018. Efforts of member recruitment successful. Focus is on developing a capacity and demand report. Meetings will rotate across the state. 2019 meeting dates established. Meetings will include guest speakers in order for the committee to expand their knowledge of youth treatment in WI.
  - c. ITC members suggested guest speakers include: Restoring Roots which focuses on recovery life skills and is out of NC; Live Free and Party O which are collegiate recovery focused; Alliance for Wisconsin Youth; Drug Free Communities; Connections Counseling.
13. Norman Briggs requested ITC receive more information on STR funding. Jason Cram will request Jason Harris from DCTC attend the Nov ITC meeting to speak about this funding.
14. Upcoming conferences/trainings:
- a. Recovery Conference – week of 10/15/18
  - b. Opioid forum – 10/23/18
  - c. SUD and Neuroscience Meeting – 10/12/18
  - d. NASW – 10/19/18
15. Sheila Weix spoke about the [ATTC Performance Assessment Rubric](#) as a resource and suggested this be a possible discussion point at an upcoming meeting.
16. Amanda Lake raised the point that students are leaving school without adequate addictions knowledge.
17. Committee thanked Al Frank for his service. This will be Mr. Frank's last ITC meeting as Dawne Spencer takes his place.
18. Meeting adjourned at 12:12 PM with a motion made by Joe Muchka and a second by Sheila Weix.

Prepared by: Jason Cram on 10/10/2018.

These minutes were approved by the ITC on 11/13/2018



State of Wisconsin

**State Council on Alcohol and Other Drug Abuse**

1 West Wilson Street, P.O. Box 7851  
Madison, Wisconsin 53707-7851

**OPEN MEETING NOTICE**  
**INTERVENTION AND TREATMENT COMMITTEE (ITC)**

November 13, 2018 - 10:00 a.m. to 2:30 p.m.

**Location of the Meeting:**

Department of Corrections; Room 1M-M  
3099 E. Washington Ave.; Madison, WI 53704

**AGENDA**

1. Call to order and roll call
2. Guest: Holly Audley, DHS-DCTS Assistant Administrator – DSPS Behavioral Health Review Committee (10:00 AM)
3. Guest: Mike Derr, SABG Planner – DHS 75 Rewrite Project
4. Review and approval of October minutes
5. Additions to the agenda
6. Discussion of upcoming SCAODA meeting on December 7, 2018
7. Update on Advocate Meeting with Jenny Malcore on November 8, 2018
8. Section updates
  - Children, Youth and Families (Jason Cram)
  - Treatment for Women and their Children (Norman Briggs)  
Urban Rural Women's Grants
  - Substance Use Amongst Senior Population Workgroup (Joe Muchka)
9. Guest: Jason Harris, DHS-DCTS – State Targeted Response to the Opioid Crisis (1:00 PM to 1:30 PM)
10. Public Comments

The purpose of this meeting is to conduct the governmental business outlined in the above agenda for the Intervention and Treatment Committee of the State Council on Alcohol and Other Drug Abuse. The mission of the State Council on Alcohol and Other Drug Abuse (SCAODA) is to enhance the quality of life for Wisconsin citizens by preventing alcohol and other drug abuse and its consequences through prevention, treatment, recovery, and enforcement and control activities.

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**Conference Call: 1-877-820-7831 Passcode: 793544#**

Next ITC Meeting: January 8, 2019

Next SCAODA Meeting: December 7, 2018

**OPEN MEETING MINUTES**

Instructions: [F-01922A](#)

Name of Governmental Body: CYFT of SCAODA			Attending: Jason Cram, Sara Bremser, Lindsay Just, Chelsey Wasielewski, Judy Tippel, Jennifer Witkowski, Lorraine Garland
Date: 8/13/2018	Time Started: 10:00 AM	Time Ended: 11:30 AM	
Location: Wisconsin Department of Corrections			Presiding Officer: Jason Cram

**Minutes**

1. Meeting called to order and roll call taken.
2. Jason Cram provided a summary of the 05/08/2018 ITC Committee including the approval of the CYFT “Mission, Action Plan, Membership, Expectations” document.
3. SCAODA Priorities Document discussed in regards to the CYFT’s recommendations for the four year strategic plan. CYFT will recommend to the ITC the following priorities be considered:
  - a. Increased focus and resources for youth and adolescent prevention and treatment programs
    - i. Include collegiate recovery and support resources (i.e. recovery housing)
    - ii. Continue revitalizing Children, Youth, and Family Treatment Subcommittee
  - b. Continue supporting and advocating use of SBIRT models throughout schools and communities.
  - c. Support and advocate for innovative, promising, and emerging SUD practices
4. Lindsay Just made a motion to recommend the three priorities to the ITC and Sara Bremser seconded. Lindsay Just will take these recommendations to the 08/14/2018 ITC meeting.
5. Discussion regarding location, frequency, and rotation of CYFT meetings. Beginning in 2019 meetings will be conducted every other month on the opposite months of ITC. Meetings will be held at locations around the state with committee members volunteering to host meetings.
6. 10/08/2018 meeting will be held at the Addictions Resource Council in Waukesha hosted by Lindsay Just. 12/10/2018 meeting will be held at the Department of Corrections in Madison hosted by Sara Bremser.
7. A summary of the current membership and the agencies/areas of interest they represent were discussed. The current membership was compared to the ideal make up of membership listed on the “Mission, Action Plan, Membership, Expectations” document. Committee members committed to making at least one contact before the 10/08/2018 meeting to recruit a new member.
8. Capacity and Demand report briefly discussed. At the 10/08/2018 meeting, the committee will begin developing a statement of scope for the project.
9. Jason Cram discussed the current status of the Youth Treatment Initiatives grant DHS administers and the need/role of the Interagency Council. The CYFT will serve as the Interagency Council for this grant and be added as a standing agenda items. Additionally, the CYFT membership will expand to include representatives of the grant stakeholders.
10. The committee discussed having guest speakers at upcoming CYFT meetings. The purpose of this initiative is to expand the knowledge of committee members, provide needed context to the Capacity and Demand Report, and to network. The committee brainstormed possible speakers: DPI YRBS data; youth treatment providers including Libertas; Horizon Recovery School; Connections Counseling; Drug Free Communities; Alliance for Wisconsin Youth; Arbor Place; Rogers Behavioral Health; Addictions Resource Council, Inc. Committee members will work with the chairperson and the DHS staff person to facilitate the speaker forum and rotation.
11. At the 10/08/2018 meeting, Lindsay Just from ARC will make a presentation on the work her agency conducts in Waukesha County.
12. The Pew Report dated July 2018 titled, “Substance Use Disorder Treatment Policy Recommendations for the State of Wisconsin – Final Report” was shared amongst committee members prior to the meeting. The report was briefly discussed by the committee.
13. There was no public comment.
14. Future agenda items to include:
  - a. Nominate and elect a chairperson
  - b. Membership update
  - c. Capacity and Demand Report – statement of scope
  - d. Guest speaker coordination
  - e. Discuss meeting dates and locations for 2019



15. Meeting adjourned at 11:30 AM – Motion by Lindsay Just with a second by Lorraine Garland

Prepared by: Jason Cram on 10/1/2018.

These minutes were approved by the governmental body on: 10/8/2018



State of Wisconsin

**State Council on Alcohol and Other Drug Abuse**

1 West Wilson Street, P.O. Box 7851  
Madison, Wisconsin 53707-7851

**OPEN MEETING NOTICE**

Children, Youth, and Family Treatment Subcommittee (CYFT)

October 8, 2018

10:00 AM – 1:00 PM

**Location of the Meeting:**

Addiction Resource Council, Inc.

741 N. Grand Ave, Suite 200; Waukesha, WI 53186

**AGENDA**

1. Call to order and roll call
2. New members and membership recruitment update
3. Chairperson nomination and election
4. CYFT “Mission, Action Plan, Membership, Expectations” and SCAODA organization
5. Report: 08/14/2018 Intervention and Treatment Committee
6. Program Presentation: Addictions Resource Council, Inc.
7. Project Planning: Capacity and Demand Report
8. Youth Treatment Initiatives Grant Update – Interagency Council
9. DHS CYFT funding initiatives: Urban Youth Primary Prevention
10. Public comments
11. Announcements and/or additional information
12. Future agenda items; 2019 meeting dates and locations; program presentation schedule
13. Adjourn

The purpose of this meeting is to conduct the governmental business outlined in the above agenda for the Children, Youth, and Family Treatment Subcommittee of the Intervention and Treatment Committee of the State Council on Alcohol and Other Drug Abuse (SCAODA). The mission of SCAODA is to enhance the quality of life for Wisconsin citizens by preventing alcohol and other drug abuse and its consequences through prevention, treatment, recovery, and enforcement and control activities.

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**Conference Call: 1-877-820-7831 Passcode: 793544#**

Remaining 2018 CYFT Meeting Dates (all meetings scheduled for 10:00 AM – 1:00 PM):

- December 10 – Department of Corrections, Madison, WI

[www.scaoda.state.wi.us](http://www.scaoda.state.wi.us)

## OPEN MEETING MINUTES

Instructions: [F-01922A](#)

Name of Governmental Body: Planning and Funding Committee, State Council on Alcohol and other Drug Abuse (SCAODA)			Attending: Members: Christine Ullstrup; Raeanna Johnson; Brian Dean; Karen Kinsey); Kevin Florek Not Present: Duncan Shroust; Vonda Benson;
Date: 8/15/2018	Time Started: 9:35 am	Time Ended: 12:00 pm	Guests: Roger Frings; Norman Briggs; John Bowser DHS Staff: Mike Derr (called in for first 45 min.)
Location: ARC Community Services, 1409 Emil St., Madison, WI			Presiding Officer: Christine Ullstrup, Committee Co-Chair

### Minutes

#### Call to Order:

Committee Co-Chairperson Christine Ullstrup called the meeting to order at 9:35 a.m. Attendees introduced themselves.

#### Review of 7/18/2018 Meeting Minutes:

Christine Ullstrup referenced the draft minutes from the July 2018 Committee meeting and asked for comments and corrections. None were offered. Reanna Johnson moved that the minutes be approved and Brian Dean seconded the motion. Motion carried unanimously.

#### Public Comment:

No persons offered any public comment on Committee business either in person or via telephone.

#### Residential Treatment Survey Results:

Committee members had a discussion of the survey and the number of responses and the results. Committee members decided that the data results are not clear or complete. Karen Kinsey noted that some of bed capacity information for Arc Community Services was incorrect, needed to be revised. She noted that some of Arc's beds are under contract with DOC; that needs to be factored in. Also, it's unclear from the survey whether the 'location question' is asking what county a facility is located in, or what counties are being served by the facility. Therefore, the committee should not take the full results of this survey to the full Council until there are revisions.

Norman Briggs and several committee members raised a discussion on the differences between the various counties and their policies toward residential treatment. For example, which counties pay, which counties don't, which counties even put money into their budgets to pay for residential care or other levels of care when citizens are uninsured. Some counties apparently thought that residential treatment placements are covered by statute in that they only need to pay if they have the funds to do so.

#### Actions Stemming from Survey Results:

In addition, Committee members noted the survey doesn't inform persons on the level of specific county demand for beds. Members asked where they can find clear answers to what are the needs for residential beds. Persons know that some counties (i.e., Milwaukee County) have long waiting lists for residential level of care. There was also some comment that some counties have systems set up that make it difficult for their citizens to access services or to be assessed for their needs. Norman Briggs mentioned that some counties have a policy of

sending no one to residential treatment based on financial factors. This is a concern, because some clients aren't receiving needed SUD treatment due to that policy. There was discussion around the Pew Report Recommendation #9 which talks about using a single standardized patient placement tool across state-licensed and Medicaid certified providers. How will that affect placements into residential level of care when ASAM criteria is fully implemented as also recommended by the state? Briggs suggested that the Committee bring up these concerns to the Opioid Task Force; committee members agreed that representatives from the Committee and Council should meet with the three actively-participating legislators on the Council to discuss concerns.

Committee members would like further discussion about private insurance companies and how to get them more involved and get more information about what they are doing (i.e. paying for). Roger Frings volunteer to get major insurance company representatives to present at SCAODA full board meetings soon.

School Climate Transformation Grant:

Guest John Bowser presented on the Climate Transformation grant the WI Department of Public Instruction (DPI) is applying for from the US Department of Education. The grant would focus on services for high school students with mental health and trauma-related histories and symptoms, and it would expand SBIRT. DPI is seeking support from outside organizations for this grant proposal. The Committee decided to support the proposal. Because a letter of support is needed immediately, the Committee asked the Executive Committee members to approve support, per the Council bylaws.

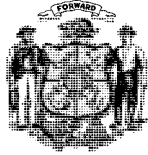
New Committee Members:

More discussion occurred about new members for the Planning & Funding Committee. Karen Kinsey suggested that we come up with some sort of criteria for selecting new members, as well as description of expectations. Such criteria and expectations should be discussed at the October meeting.

A motion to adjourn the meeting was introduced and seconded. Motion carried. Meeting adjourned at 12:01 pm.

Prepared by: Michael Derr on 9/28/2018.

Minutes approved by Committee at its 10/3/18 meeting.



Roger Frings  
Chairperson  
  
Sandy Hardie  
Vice Chairperson  
  
Norman Briggs  
Secretary

State of Wisconsin

**State Council on Alcohol and Other Drug Abuse**

1 West Wilson Street, P.O. Box 7851  
Madison, Wisconsin 53707-7851

**OPEN MEETING NOTICE**

Planning and Funding Committee

October 3, 2018

9:30 AM to 12:00 PM

ARC Community Services Building, 1409 Emil Street  
Madison, Wisconsin 53707

**MEETING AGENDA**

- 1. Call to Order and Roll Call.....Christine Ullstrup, Chair
- 2. Review August 15, 2018 meeting minutes.....Christine Ullstrup
- 3. Public Comment: Substance Use Disorder Planning Topics.....Christine Ullstrup
- 4. New Committee Members – Criteria and Expectations.....Christine Ullstrup
- 5. Residential Treatment Beds Analysis: Next Steps..... Committee Members
- 6. SCAODA Strategic Plan/Committee Work Plan for 2018-22.....Christine Ullstrup
- 7. SCAODA Public Forum on Oct. 17<sup>th</sup> .....Mike Derr
- 8. Agency and Provider Updates.....Committee Members
- 9. Agenda Items for November 7, 2018 Committee meeting.....Committee Members
- 10. Adjournment.....All

The purpose of this meeting is to conduct the governmental business outlined in the above agenda. The Planning & Funding Committee serves under the State Council on Alcohol and Other Drug Abuse (SCAODA). The Committee’s primary objective is to assist SCAODA with coordinating substance use disorder planning and funding initiatives across state agencies.

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**Conference Call:** 1-877-820-7831      **Access Code:** 554523#

**OPEN MEETING MINUTES**

Instructions: [F-01922A](#)

Name of Governmental Body: Planning and Funding Committee, State Council on Alcohol and other Drug Abuse (SCAODA)			Attending: Members: Christine Ullstrup; Raeanna Johnson; Brian Dean; Karen Kinsey; Kevin Florek; Jill Gamez (by phone)
Date: 10/3/2018	Time Started: 9:38 am	Time Ended: 12:10 pm	Not Present: Duncan Shrout; Vonda Benson; Guests: Roger Frings DHS Staff: Mike Derr
Location: ARC Community Services, 1409 Emil St., Madison, WI			Presiding Officer: Christine Ullstrup, Committee Co-Chair

**Minutes**

**Call to Order:**

Committee Co-Chairperson Christine Ullstrup called the meeting to order at 9:38 a.m. Attendees introduced themselves.

**Review of 8/15/2018 Meeting Minutes:**

Christine Ullstrup referenced the draft minutes from the August 15, 2018 Committee meeting and asked for comments and corrections. None were offered. Kevin Florek moved that the minutes be approved and Karen Kinsey seconded the motion. Motion carried unanimously.

**Public Comment:**

No persons offered any public comment on Committee business via telephone.

Roger Frings shared his vision of SCAODA as the new chair. He plans to attend standing committee meetings to gain a better understanding of committee issues and topics so he can speak to them. Frings encourages committee members to communicate directly with him. One main priority is to raise awareness of SCAODA with the legislature. He encourages members to accompany him on legislature visits. Frings is also working on an insurance representative presentation for the 12/7/18 Council meeting. He will work with the Governor's Opioid Abuse Task Force to pull its members into discussions with SCAODA members. Karen Kinsey expressed her hope that the State would now be in position to expand Medicaid coverage for substance use disorder services.

**New Committee Members and Expectations:**

Jill Gamez introduced herself as the newest Committee member. She has been involved with SCAODA; she served as the chair of the Children, Youth & Family Treatment subcommittee. She is currently a member of the IT Committee. She is director of Arbor Place in Menominee (residential treatment, day treatment, outpatient, prevention – licensed for 7 types and levels of care). Arbor Place recently opened a branch office in Pierce Co. (River Falls).

Christine Ullstrup mentioned that the Children, Youth & Families Treatment subcommittee laid out some expectations for its members. Our Committee could come up with a committee description, strategic plan goals/objectives for committee, and major duties and responsibilities, required knowledge skills and abilities, and duties of the chairperson. Committee members then reviewed her handout that provided some draft

statements, along with Mike Derr's handout with descriptions of the P&F Committee charge, and the new 2018-22 Strategic Plan.

Committee members agreed that the committee should first talk about new members and how to define their roles and responsibilities. Christine wants to tap into all members' minds and recommendations when appointing new persons. Expectations of committee members should also be listed in writing. Mike Derr added that a committee description should also include what the membership composition may include.

Karen Kinsey noted that former DHS SUD specialist Keith Lang looked for potential members as persons involved in funding, executive types, persons who played an administrative role in programs or entities, or who had experience in planning functions. The state used to come to committee to coordinate biennial budgets, help oversee the SABG program. Raeanna Johnson added that the committee needs to elaborate what "planning" means.

### **Residential Treatment Survey Results – Next Steps:**

Committee members asked: Where does the committee go from here with the survey results? Some expressed re-doing an improved survey. Is there anything from the survey results to take to the Council? The consensus was: not right now.

Kevin Florek shared one macro conclusion from the survey: There's a lot of open beds in the state. Raeanna Johnson shared the bed capacity history over the past 4 years at Exodus House. Capacity fluctuates consistently each year. Bed usage is down in summer, goes up in the fall.

Christine Ullstrup noted that the upcoming election in November will impact many actions. She heard that if Gov. Walker stays in, it's likely that the state will implement PEW report recommendations, and the Hub and Spoke model. There's also the issue of counties not sending clients to needed treatment because they have no money or insurance. Johnson stated that she is learning more from insurance companies as to what services are covered. (Exodus House takes CCS clients, so it's able to tap into Medicaid.) Florek stated that Tellurian achieves single-case agreements with insurance companies defining coverage. Right now there are such agreements. He would like SCAODA to advocate and support the concept that there are bed openings to insurance companies; this would be a cost savings to them. Jill Gamez noted that Arbor Place works with commercial insurance companies to cover its costs.

Mike Derr mentioned a new proposed federal law that would allow IMDs to receive Medicaid coverage. Derr will seek clarification from Dan Kiernan of DHS, and see if he can attend the November or future Committee meeting. Florek noted this is Objective 5 for the Committee under the new Strategic Plan.

Roger Frings asked if the Committee could share actual survey with insurance companies and other stakeholders, through him, as a way of encouraging insurance companies to cover beds in some counties, and as a way to save bed space. Roger and Brian Dean suggested that the survey results summary and spreadsheet be polished up to be made more presentable. (Residential treatment is much cheaper than hospitalization.) Derr will work with the DHS evaluation team on this project. The polished up summary could be placed in the body of a letter from SCAODA signed by Executive Committee members and Committee chairs, and sent to insurance companies.

Jill Gamez shared her experience that insurance company decisions sometimes seem so subjective, individualistic, with odd comments made. There is a widespread lack of understanding of residential treatment, of substance use disorders in general. Some insurance companies want client information and treatment criteria presented in the ASAM format, including level of care recommendations. Insurance companies probably won't change the authorization process. Authorization is one thing, getting paid is another. She appreciated the survey; it shows the Committee wants to know what's going on out there. We need to know *why* there are open beds. In Minnesota, residential treatment programs are full. Minnesota has a consolidated funds state system that covers costs – it's not county-based. Some of Arbor Place's clients are MN residents. The client can choose which facility to go to. In Wisconsin, some counties don't allocate adequate funds to cover residential treatment. She is concerned of the continued focus on the opioid crisis instead of on a 'continuum of care' change or reform to SUD as a whole, covering all substance uses. DOC will contact Arbor Place to tap into residential treatment for a released inmate when a DOC contract provider has a 3 month waiting list.

### **Future Committee Meetings:**

Christine Ullstrup suggested that for Nov. 7<sup>th</sup> meeting, Derr should polish up survey results and draft a letter. Also, the Committee should invite Dan Kiernan back to discuss the Medicaid coverage situation. At Nov. 7<sup>th</sup> meeting, the Committee should also take up the additional issues of residential treatment bed situation, and study: Why are there open beds?

Mike Derr and others: Trying to assess level of county demand for residential treatment is difficult, nearly impossible. For example, an evaluator would have to compare ASAM scores or findings for individual clients, which is probably not comparable. Derr noted that in annual SABG reports from counties, some counties state that they would use additional funds to fund more residential treatment placements.

### **2018-22 SCAODA Strategic Plan:**

C. Ullstrup would like the Committee to develop a work plan based on the goals and objectives of the committee under the Strategic Plan. K. Florek: Focus on the DHS biennial budget for SUD funds; focus on SABG program funds. Ullstrup and Derr: Identify specific objectives that are priorities and other possible priorities, and specific action steps. Do this at the Committee's Nov. 7<sup>th</sup> meeting. Derr will send the biennial budget to committee members to review.

Derr will also send Committee members statutory authorizations for funding SUD programs, and will bring an update on programs funded under SABG for 2018-19 when available. Johnson asked several questions: What is overall look of treatment and SUD services across 72 counties? What are the various funding sources? What are prevention activities? She advocated for appropriate funding for SUD prevention. The Committee should advocate for adequate workforce, and for available mental health services for SUD workforce who need help, decrease burnout and turnover.

C. Ullstrup: The SUD and mental health systems need to come together. System persons are doing a better job of this recently. Johnson: Does the Diversity Committee also address veteran issues? Derr will relay her question to that committee.

Derr and Ullstrup will come up with a work plan proposal for 11/7.



**SCAODA Public Forum:**

Ullstrup said Derr should look into having a representative from each Committee attend the Oct. 17<sup>th</sup> SCAODA Forum during the Fall MH/SUD Recovery Conference.

**Adjournment:** A motion to adjourn the meeting was made by Raeanna Johnson and seconded by Karen Kinsey. Motion carried. Meeting adjourned at 12:10 pm.

Prepared by: Michael Derr on 11/6/2018.

Minutes reviewed and approved by the Committee at its 11/7/18 meeting.



Roger Frings  
Chairperson  
  
Sandy Hardie  
Vice Chairperson  
  
Norman Briggs  
Secretary

State of Wisconsin

**State Council on Alcohol and Other Drug Abuse**

1 West Wilson Street, P.O. Box 7851  
Madison, Wisconsin 53707-7851

**OPEN MEETING NOTICE**

Planning and Funding Committee

November 7, 2018

9:30 AM to 12:00 PM

ARC Community Services Building, 1409 Emil Street  
Madison, Wisconsin 53707

**MEETING AGENDA**

1. Call to Order and Roll Call.....Christine Ullstrup, Chair
2. Review October 3, 2018 meeting minutes.....Christine Ullstrup
3. Public Comment: Substance Use Disorder Planning Topics.....Christine Ullstrup
4. New Committee Members – Criteria and Expectations.....Christine Ullstrup
5. 2018-22 Strategic Plan – Committee Priorities for 2019.....Committee Members
6. Agency and Provider Updates.....Committee Members
7. Agenda Items for January 2019 Committee meeting.....Committee Members
8. Adjournment.....All

The purpose of this meeting is to conduct the governmental business outlined in the above agenda. The Planning & Funding Committee serves under the State Council on Alcohol and Other Drug Abuse (SCAODA). The Committee’s primary objective is to assist SCAODA with coordinating substance use disorder planning and funding initiatives across state agencies.

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**Conference Call:** 1-877-820-7831

**Access Code:** 554523#

**OPEN MEETING MINUTES**

Instructions: [F-01922A](#)

Name of Governmental Body: SCAODA Prevention Committee - Alcohol Priority Action Team			Attending: Chris Wardlow, Frank Bures, Raina Haralampopoulos, Julia Sherman, Kari Lerch, Emily Holder, Amy Anderson, Jessie Corroo, Sarah Linnan, Allison Weber, Chino Amah Mbah, Christy Niemuth, Danielle Luther, Kimberly Wild, Nicole Butt, Maggie Northrop, Matthew Collie
Date: 7/19/2018	Time Started: 12:30PM	Time Ended: 3:30PM	
Location: Wisconsin State Patrol DeForest Post, 911 W. North Street, DeForest, Wisconsin 53532			Presiding Officer: Chris Wardlow

**Minutes**

1. Welcome and Introductions: Chris Wardlow, Interim Chair, welcomed members and guests to the Governor’s State Council on Alcohol and Other Drug Abuse’s (SCAODA) Prevention Committee and Alcohol Priority Action Team meeting. Chris introduced himself and asked members and guests to introduce themselves and share their organizational affiliations.
2. Public Comment: No public comment.
3. Approve Minutes from the April 18 Meeting: Chris Wardlow asked members to review the meeting minutes from the April 19 meeting of the Prevention Committee. Julia Sherman made a motion to approve the minutes, and Frank Bures seconded the motion. There was no discussion and the motion passed.
4. SCAODA 2018-22 Strategic Plan Discussion and Review: Chris Wardlow shared that in May, representatives from all SCAODA committees met with SCAODA Chairperson, Duncan Shrout, to discuss the strategic plan for the upcoming four years. After discussion, the committee representatives determined that instead of recreating goals, the group would review previous goals to consider if these goals were met. There was also interest in more diligently tracking progress toward achievement of goals. Chris shared that the Prevention Committee is tasked with selecting the top three priorities/goals. Members reviewed and discussed goals, and agreed to select goals number 3, 4, and 8. Goal 3 is: “More effective execution of 2014-18 Plan priority #2 (Address population-specific needs).” Goal 4 is: “Reduce public stigma attached to seeking and obtaining SUD (and mental health) services.” Goal 8 is: “Enhance Council visibility as SUD policy body and increase level of advocacy to the WI Governor and Legislature.” Kari motioned to accept 3, 4, and 8 as priorities. Frank Bures seconded the motion.

Kari asked if any schools in the state have successfully used Medicaid reimbursement for SBIRT. Raina/Christy will follow up with Scott Caldwell at DHS.

5. Update on the Alcohol Priority Action Team (PAT) and *Healthy Wisconsin*: Matthew Collie presented the Health Wisconsin Alcohol Priority Strategies and Objectives document. The group accepted the proposed recommendations on the Alcohol Strategies and Objectives document. Matthew will share a copy of the full revised Annual Addendum when it is available. Emily Holder noted that we will need to use 2019 Youth Risk Behavior Survey (YRBS) data for tracking

progress on objectives in 2020, due to the YRBS administration cycle. Maggie noted that the reason we are using 2020 as the goal year is due to the Healthy Wisconsin plan term.

6. Discussion and selection of the Alcohol Priority Action Team's (PAT) Strategy to Implement and Complete by December 31:

Members discussed strategy options including reviewing and responding to the Legislative Council Study; creating informational materials and sharing them with candidates for elected office in the state; addressing data needs and gaps. Julia shared that there have been various challenges in getting access to alcohol-related data, and this could be an opportunity to highlight data needs and potential overlaps. Amy shared that it is a challenge that the PDMP only tracks controlled substances, and notes that other states report that data on the PDMP. Julia made a motion that the Alcohol PAT prepare an analysis and report of available data that has the potential to guide alcohol policy development. Frank seconded the motion.

7. Agency Member Updates:

Wisconsin Department of Public Instruction (DPI): Emily Holder shared that DPI received their Title IV-A allocation, a student support and academic achievement grant that goes out to all school districts. The allocation increased overall for Wisconsin. Emily also shared that DPI is finalizing the 2019 YRBS.

Wisconsin Department of Children and Families (DCF): Jessie Corroo shared that the DCF Bureau of Youth Services will be issuing two Request for Proposals, with the majority of funding going to substance abuse prevention efforts. They are hoping to award all grants by October. They are also working on initiative focused on supporting treatment courts.

8. Updates on Discretionary Prevention Grants:

Great Lakes Inter Tribal Council/Tribal Grant PFS (GLITC): Nicole Butt shared that tribal grantees just finished their yearly survey. They are seeing a decrease in perception of harm and risk of opioids and in parents talking with kids about opioids. They are also seeing an increase in correlation with engagement with culture and no substance use. They are waiting on their Notice of Award for next federal fiscal year.

Partnerships for Success 2015 (PFS 15): Raina shared that DHS received approval on the carryover request, and they are working on contracts to get funds to the Regional Prevention Centers. The funding will support coalitions attending training and professional development opportunities. Coalitions are selecting prevention strategies for the upcoming year.

State Epidemiological Outcomes Workgroup (SEOW): A smaller workgroup of SEOW is continuing to work on the 2018 Epi Report. They anticipate it will be released in September. They are currently at how data could be presented. The group is also working on a fact sheet on suicide and mental health, and a fact sheet related to veterans.

Prevent Prescription Drug/Opioid Overdose-Related Deaths (PDO): Christy shared that the carryover request was approved. The grant is going into the 3<sup>rd</sup> year in Kenosha, Sauk and Waukesha Counties. The counties are continuing to focus on training in naloxone use, and are looking into innovative ways to get services to people after an overdose.

Strategic Prevention Framework for Prescription Drugs (SPF Rx): Kimberly shared that the grant funded a Substance Abuse Prevention Skills Training (SAPST) in the Wisconsin Dells in June. Coalition members from both Sauk and Dodge Counties, among others, participated in the training. Coalition members from both counties continue to participate in professional development opportunities to build coalition capacity. A community survey will be implemented in Sauk and Dodge Counties to assess public opinion and awareness of the risk of prescription opioid misuse before, during, and after the Dose of Reality public education campaign is implemented.

State Response to the Opioid Crisis (STR): Christy shared that the grant is wrapping up the first year. Accomplishments include at least 16 new permanent drop boxes placed, 7,500 pounds of medication collected through drug take-back events, more than 1,300 people trained in naloxone use, and more than 10,000 people participated in training and education events held by community coalitions throughout the state. Coalitions are continuing to implement prevention strategies. The application period for the second year of the STR grant has closed, and DHS is reviewing applications.

State Opioid Response (SOR): This grant will continue the focus on prevention services and access to treatment, as well as purchase of naloxone. The Department of Health Services has submitted an application and is awaiting a response. There is a specific federal funding source available for tribes – Tribal Opioid Response, which will fund prevention treatment and recovery activities in response to the opioid crisis.

#### 9. Updates on the Ad Hoc and Workgroup

Prevention in the Workplace Ad hoc Committee: Allison shared that the group is in the process of writing the report. The report is broken up into pre-employment, employment, and community sections. The committee hopes to present a draft form of the report at the next Prevention Committee meeting.

Opioid Advisory Workgroup Update: As the Priority Action Team for opioids, the committee selected priorities.

#### 10. Member Updates

Marquette Action Network: Frank reported that participants at a community event looked at community priorities alongside data from the Youth Risk Behavior Study. Community and coalition members identified new goals, objectives and priorities for the coalition. The community is concerned about the number of students that have depression and the number that have attempted suicide.

Wisconsin Alcohol Policy Project: Julia shared that the Alcohol Policy Seminar will be held on October 10<sup>th</sup> in Kalahari, and registration opens on August 15<sup>th</sup>. Julia shared that Dodge County will be doing place of last drink.

Marshfield Health System: Danielle shared that the Marshfield Health System has purchased Beaver Dam Hospital. The Health System will be implementing the ABCs program focused on alcohol and drug abuse, behavioral health, chronic disease, and social determinants of health. Danielle shared that the Northwoods Coalition held the Annual Meeting and Training in June, and had about 150 attendees. The Hope

Consortium Conference will be held on August 23<sup>rd</sup> and 24<sup>th</sup> in Lac Du Flambeau. In partnership with the Department of Justice, the Department of Health Services, and the Northwoods Coalition, the Marshfield Clinic will be starting TV and radio ads under the Know Meth program. The program website is [knowmethwi.org](http://knowmethwi.org).

#### 11. Future Agenda Items

Committee members agreed to work on identifying data needs, gaps, and overlaps, in order to complete the identified Alcohol PAT Strategy.

Prepared by: Kimberly Wild on 7/19/2018.

These minutes are in draft form. They will be presented for approval by the governmental body on: 11/19/2018



State of Wisconsin

**State Council on Alcohol and Other Drug Abuse**

1 West Wilson Street, P.O. Box 7851  
Madison, Wisconsin 53707-7851

**OPEN MEETING NOTICE  
Prevention Committee**

November 19, 2018

9:30 AM to 12:30 PM

Wisconsin State Patrol DeForest Post  
911 W. North Street  
DeForest, Wisconsin 53532

**MEETING AGENDA**

1. Welcome and Introductions.....Chris Wardlow, Interim Chair
2. Public Comment: The committee will accept comments from the public relating to any committee business.....Interim Chair
3. Approve Minutes from July 19 Meeting.....Interim Chair
4. Alcohol Priority Action Team Work.....Matthew Collie,
  - Identify the Alcohol Priority Action Team’s theme
  - Identify data gaps (what is needed/what is wanted)
  - Share data sources that are available
  - Identify individuals to attend the next meeting to discuss data
5. Agency Member Updates.....Committee Members
6. Future Agenda Items.....Committee Members

The purpose of this meeting is to conduct the governmental business outlined in the above agenda. The Prevention Committee serves under the State Council on Alcohol and Other Drug Abuse (SCAODA). The Committee’s primary objective is to assist SCAODA with coordinating substance abuse prevention initiatives across state agencies.

DHS is an equal opportunity employer and service provider. If you need accommodations because of a disability, if you need an interpreter or translator, or if you need this material in another language or in alternative format, you may request assistance to participate by contacting Raina Haralampopoulos at 608-267-3783 or at [Mary.Haralampopoulos@wisconsin.gov](mailto:Mary.Haralampopoulos@wisconsin.gov).

**Conference Call: 1-877-820-7831**      Passcode: 441096

# ANNUAL SYNAR REPORT

42 U.S.C. 300x-26

**OMB № 0930-0222**

FFY 2019

State: WI



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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 Fishers 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 2018 Compliance Progress) and future plans to ensure compliance with the Synar requirements to reduce youth tobacco access rates (FFY 2019 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 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.

<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).

## 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, 2018 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 2019 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 2019: 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 2019 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 2019 is up-to-date and approved by the Center for Substance Abuse Prevention.

**State:** Wisconsin

**Name of Chief Executive Officer or Designee:** Secretary Linda Seemeyer

**Signature of CEO or Designee:**

**Title:** Secretary of Wisconsin Department of Health Services      **Date Signed:** \_\_\_\_\_

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

**SECTION I: FFY 2018 (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

**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 2019 ASR was posted to this Web address.)*

*Web address:* \_\_\_\_\_

*Date published:* \_\_\_\_\_

- 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.)* Presented and discussed on December 7, 2018 at the WI State Council on Alcohol and other Drug Abuse meeting.

**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:**

Wisconsin Department of Health 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:**

Wisconsin Department of Health 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):**

Wisconsin Department of Health Services

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).**

Wisconsin Department of Health 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.)* \_\_\_\_\_
- 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)).**  
Wisconsin Department of Health Services/Tobacco Prevention and Control Program

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**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 2018 (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>	UNK	UNK	178
Number of <u>fin es assessed</u>	UNK	UNK	178
Number of <u>permits/licenses suspended</u>	UNK		UNK
Number of <u>permits/licenses revoked</u>	UNK		UNK
Other ( <i>Please describe.</i> )			

- 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

- 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

Through the state compliance program, Wisconsin Wins, a free on-line retailer training called WITobaccoCheck.org is available to all retailers. The training

includes study guides on the law (related to tobacco sales), the sale (how to verify age) and the local partnership (law enforcement and compliance checks). After reviewing study guides, retailers test their knowledge and receive a certificate upon successful completion of training. WITobaccoCheck.org promotional cards are mailed directly to retailers. Merchant resources, to include no sales to minors signage and ID reference cards (how to verify age), are distributed.

- 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)

The positive reinforcement component varies, but generally involves a small “gift” for the clerk, such as gift certificates and/or public recognition in the local media. Thank you cards are awarded to merchants from the local compliance check team.

- Community education regarding youth access laws

Local WI Wins contractors are required to conduct outreach activities that reach community members. These outreach activities may include meetings with local policymakers, law enforcement, business organizations and other community service organizations.

- Media use to publicize compliance inspection results

Local WI Wins contractors are required to annually conduct local media activities per county such as press releases, letters to the editor or newsletter articles.

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

Local WI Wins contractors partner with youth, law enforcement, and tobacco coalition members to inform the community about youth access laws, conduct compliance checks, and thank retailers who comply with the law.

- 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 2018 (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

**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
<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 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: 2015**

**b. Percent coverage from the latest Sampling frame coverage study: 95.6%**

**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: 2020**

**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 6/10/18 to 7/10/18**  
MM/DD/YY MM/DD/YY

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

33

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 2019 (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 2019. 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.

In 2019, the Tobacco Prevention and Control Program will issue contracts to local agencies for community-based activities. These activities will include compliance investigations utilizing a positive reinforcement protocol, law enforcement involvement, promotion of WITobaccoCheck.org, media and community outreach activities.

### 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

While law enforcement involvement is a requirement in the work plan of WI Wins contracting agencies, the level of involvement varies in each community and is dependent on law enforcement resources.

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

Limited funding doesn't allow for compliance investigations at every licensed retailer.

Limitations in the state youth tobacco access laws

Current state statutes are preemptive of stronger local laws.

Limited public support for enforcement of youth tobacco access laws

Limitations on completeness/accuracy of list of tobacco outlets

Tobacco licenses are issued by local municipality annually. There is no statute requiring local municipalities to submit list of licensed outlets, therefore a collection request must be conducted each year.

- 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

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

The state has limited resources for non-English materials to support merchant education activities.

- Issues regarding sources of tobacco under tribal jurisdiction

- Other challenges (*Please list.*) Enforcing retailer training

State statute requires all employees handling tobacco products receive training on tobacco sales laws, however this is not enforced statewide.

## 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 2019). 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 2019).

- 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: 2019
(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 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 2019).

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.

<b>Summary of Clusters Created and Sampled</b>				
<b>State:</b> _____				
<b>FFY:</b> 2019 _____				
(1) Row #	(2) Stratum Name	(3) Number of PSUs Created	(4) Number of PSUs Selected	(5) Number of PSUs in the Final Sample
<b>Total</b>				

**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 2019).

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> 2019	
(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 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 2019).

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> 2019
	(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>		

## **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) and respond to Question #10 of Appendix B to provide the requested information about sample size calculations for the Synar survey conducted in FFY 2018.

## APPENDIX B: SYNAR SURVEY SAMPLING METHODOLOGY

State: Wisconsin  
 FFY: 2019

**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
Compiled list of local tobacco license lists	6	Wisconsin is a Home Rule State (Wis. Stats. 166). Licensing of liquor and tobacco product distribution is done at the local level. No centralized list of tobacco vendors is available. But under Wisconsin Statute, an annual tobacco retailer license must be obtained from the clerk of the municipality (city, village or town) where the retail activity will be exercised. The renewal date of such a license may be established by the municipality as the date of issuance but it is usually set as July 1 of each year. Licenses are not transferable and must be obtained for each retail premise, including vending machine sites. The DHS polls each of Wisconsin's municipalities and obtains a list of licensed tobacco vendors to compile the frame.	Updated annually through repetition of the polling process.

**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.**

A. County codes are assigned to all outlets.

B. Counties are stratified into 5 strata; the same 5 used in Wisconsin's coverage study that are determined by population of county.

1. Counties: 500,000 or more residents 3 Counties
2. Counties: 499,999 - 150,000 residents 7 counties
3. Counties: 149,999 - 50,000 residents 18 counties
4. Counties: 49,999 - 20,000 residents 26 counties
5. Counties: Less than 20,000 residents 18 counties

C. Do a Probability Proportional Sample (PPS) by geography, using total county population by taking a random sample of outlets within each of the 5 strata that is proportional to the overall population of the counties.

**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 2018.**

- 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: 20%

Frame Size: 6,865

**Input for Target Sample Size:**

Design Effect: 1

**Inputs for Original Sample Size:**

Safety Margin: 35

Accuracy (Eligibility) Rate: 80

Completion Rate: 90%

- 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.**

The state calculated 844 as its initial minimum original sample size and increased it to 1,100 for the following reasons:

- a) Other tobacco products were included in the survey.
- b) Data is lacking, so increasing the sample size will increase the precision.
- c) By maintaining level collection for the other tobacco products, rates on the individual products can be better monitored.

## APPENDIX C: SYNAR SURVEY INSPECTION PROTOCOL SUMMARY

State: Wisconsin

FFY: 2019

*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: 1. Adult inspectors will observe the retail establishment and make a decision regarding safety. If there is a question, the adult should enter the establishment first and determine if an inspection should be made. 2. In the event of any problems during the inspection, the adult should enter the store immediately, identify themselves and explain the work that is being done.)
- 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): University of Wisconsin Survey Center (UWSC)

**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.**

The purchaser will attempt to purchase the tobacco product assigned to that outlet to include cigarettes, smokeless tobacco, cigarillos and disposable e-cigarettes. Minors are to request the identified preferred brands first. If the retailer does not sell the tobacco product designated to that outlet, the purchaser can request cigarettes or another product that teenagers might be likely to use.

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

The State was divided into 11 regions. Regional boundaries were strategically drawn based on ability to recruit adults and minors, area coverage and number of inspection points per region. The number of regions varies from year to year for two reasons: (1) the number of outlets selling tobacco in Wisconsin changes each year and (2) the sample of retailers checked for the Synar Survey is randomly drawn each year.

The project director re-hired majority of supervisors who had participated in the previous year's survey or other field projects. Thorough applications were filled out and extensive interviews were conducted via telephone. Background checks were completed with the Department of Justice and references were called.

The project director conducted a four-hour training session for inspection teams in each of the regions. Representatives from the DHS were also in attendance, to ensure that questions were answered and procedures were clearly understood. An agenda was developed and followed closely to prevent any inconsistencies in information or protocol given to the various inspection teams. The training included the following agenda:

**SYNAR COMPLIANCE CHECK TEAM TRAINING AGENDA**

1. Employment Paperwork
2. Introductions

- Explanation of Roles
- Description of the Synar Project and Federal Requirements
- 3. Training
  - Synar History, Tobacco Compliance in WI, Statutes
  - Introduction to Training Manual
  - Guidelines, Responsibilities & Protocols
  - Tablet Usage, Selector, Mapping & Recording Purchase Attempts
  - Training Minors
  - Role Playing & Scripts
  - Coversheets & Sale Procedures
  - Submitting Data & Paperwork
  - Payroll & Reimbursement
- 4. Questions
- 5. Review Reporting Requirements & Invoicing Procedures with Adult Supervisors

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

Youth inspectors (age 16 to 17) were recruited and trained by the supervisors, with an emphasis placed on attempting to recruit racial minorities for each group and a balance in gender and age. The training for youth inspectors involves a thorough explanation of the protocol with opportunities to do role plays for different situations.

**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.)*

Inspection protocols were developed by the DPH per federal guidelines provided by the Center for Substance Abuse Prevention.

In October 1999, Wisconsin Act 9 was passed into law. Wisconsin Act 9, the State Biennial Budget Bill created Chapter 254, Subchapter IX, "Investigations of the Sale or Gift of Cigarettes or Tobacco Products to Minors." This statute provides regulatory standards for conducting compliance investigations including on-site protocol and reporting requirements. Chapter 254, Subchapter IX, Wis. Stats., was amended with 2001 Wisconsin Act 75.

Specifically, the following language addresses the issue of youth inspectors' immunity when conducting inspections:

(b) A person under 18 year of age, but not under 15 years of age, may buy, attempt to buy or possess any cigarette, nicotine product, or tobacco product in the

course of his or her participation in an investigation under s. 254.916 that is conducted in accordance with s. 254.916 (3).

**b. Procedural**

Yes  No

*(If Yes, please describe.)*

In the event of any problems, the adult supervisor will enter the store immediately, identify him or herself, explain the work they are conducting and show the letter from the State authorizing Synar survey activity.

**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.)*

In October 1999, Wisconsin Act 9 was passed into law. Wisconsin Act 9, the State Biennial Budget Bill, created Chapter 254, Subchapter IX, "Investigations of the Sale or Gift of Cigarettes or Tobacco Products to Minors." This statute provides regulatory standards for conducting compliance investigations, including on-site protocol and reporting requirements.

Sec. 254.916, Wis. Stats., provides for youth safety by requiring that the minor have permission from his or her parent or legal guardian, that the minor be allowed to conduct this act only for the purpose of conducting a compliance investigation, that the minor be directly supervised by an adult employee or a governmental regulatory authority, and that the minor have prior written permission from a governmental regulatory authority or district attorney.

**b. Procedural**

Yes  No

*(If Yes, please describe.)*

**General Rules and Guidelines**

- The survey team will consist of one adult supervisor and two minors (one purchaser and one observer).
- The inspection will not be conducted if the retail site or area is perceived as unsafe by adult supervisors or minors.
- Survey team members must wear seat belts and obey all traffic laws.

### **Responsibilities and Protocols for Adult Supervisors**

- Adult supervisors will do all of the driving.
- Vehicles must be parked in a location where survey participants can exit and enter the vehicle safely, but not within view of the retail outlet personnel.
- The adult supervisor will obtain a preliminary view of the retail establishment and make a decision regarding safety. If there is any question, the adult will enter the establishment first and determine if an inspection should be made. The adult might go in under the pretense of using the phone, etc., so as not to alert the retail employee. If the outlet or neighborhood appears unsafe to either the youth or the adult supervisor, the youth will not enter.
- The adult supervisor will maintain visual surveillance of the youth survey team members as they enter, and will be prepared to intervene if a problem arises.
- In the event of any problems, the adult supervisor will enter the store immediately, identify him- or herself, explain the work they are conducting, and show the letter from the State authorizing Synar survey activity.
- The adult supervisor will allow time for a debriefing after each attempt and at the end of the day, encouraging the youth to process their feelings about successful and unsuccessful purchases.

### **Responsibilities and Precautions for Youth Participants**

- Youth survey teams will be composed of two participants. Both youth will enter the retail outlet together for each inspection. One will make the purchase attempt, and the other will be an observer.
- Both members will have the “Letter of Authorization” with them at all times.
- **Observer Role:**
  - The observer will keep other youth (purchaser) in view at all times.
  - If the purchaser appears to be having a problem or an experience that in any way seems unsafe, the observer will notify the adult supervisor immediately so he/she can intervene.
  - The observer will leave the store with the purchaser.
  - In gang activity areas, team members will avoid behaviors or mannerisms that might be perceived as “gang-related.”
  - Both youth survey team members will leave the store immediately if the situation appears unsafe or feels uncomfortable.

**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.)*

In October 1999, Wisconsin Act 9 was passed into law. Wisconsin Act 9, the state Biennial Budget Bill, created Chapter 254 Subchapter IX, "Investigations of the Sale or Gift of Cigarettes or Tobacco Products to Minors." This statute provides regulatory standards for conducting compliance investigations, including on-site protocol and reporting requirements.

Sec. 254.916 (2), Wis. Stats., specifies that a minor be "under 18 years of age, but not under 15 years of age" to legally conduct compliance investigations.

Sec. 254.916 (3), Wis. Stats., states that "All of the following, unless otherwise specified, apply in conducting investigations under this section:

- (a) If questioned about his or her age during the course of an investigation, the minor shall state his or her true age.
- (b) A minor may not be used for the purpose of an investigation at a retail outlet at which the minor is a regular customer.
- (c) The appearance of a minor may not be materially altered so as to indicate greater age.
- (d) A photograph or videotape of the minor shall be made before or after the investigation or series of investigations on the day of the investigation or investigations. If a prosecution results from an investigation, the photograph or videotape shall be retained until the final disposition of the case.

**b. Procedural**

Yes  No

*(If Yes, please describe.)*

**General Rules and Guidelines**

-The survey team will consist of one adult supervisor and two 16 or 17 year old youth (one purchaser and one observer).

-Survey teams will inspect only those retail outlets provided. If a retail outlet is closed, or if conditions are unsafe for inspecting, the adult supervisor will note this information on the data collection tablet, with an explanation as to why the inspection was not completed.

-The data collection tablet must remain in the vehicle with the adult supervisor and be completed after the purchase attempt is completed. The data collection tablet is not to be taken into the retail outlet.

-The inspection will not be conducted if the retail site or area is perceived as unsafe by adult supervisors or minors.

-The goal of the survey is to provide an accurate reflection of sale to minors, rather than to persuade the employee to sell. Team members will be honest and straightforward.

-This survey project is CONFIDENTIAL. Information and experiences will be discussed only within the team.

-Survey team members must wear seat belts and obey all traffic laws.

### **Responsibilities and Protocols for Adult Supervisors**

-Adult supervisors will do all of the driving.

-Vehicles must be parked in a location where survey participants can exit and enter the vehicle safely, but not within view of the retail outlet personnel.

-The adult supervisor will obtain a preliminary view of the retail establishment and make a decision regarding safety. If there is any question, the adult will enter the establishment first and determine if an inspection should be made. The adult might go in under the pretense of using the phone, etc., so as not to alert the retail employee. If the outlet or neighborhood appears unsafe to either the youth or the adult supervisor, the youth will not enter.

-The adult supervisor will maintain visual surveillance of the youth survey team members as they enter, and will be prepared to intervene if a problem arises.

-In the event of any problems, the adult supervisor will enter the store immediately, identify him- or herself, explain the work they are conducting, and show the letter from the State authorizing Synar survey activity.

-If the purchase is made, the adult supervisor will label the tobacco product with a date and store ID number and place it in the plastic bag provided.

-The adult supervisor will complete the data collection form based on the information given by the youth survey team members after each inspection attempt.

-The adult supervisor will allow time for a debriefing after each attempt and at the end of the day, encouraging the youth to process their feelings about successful and unsuccessful purchases.

### **Responsibilities and Precautions for Youth Participants**

-Youth survey teams will be composed of two participants. Both youth will enter the retail outlet together for each inspection. One will make the purchase attempt, and the other will be an observer.

-Both members will have the "Letter of Authorization" with them at all times.

### **Observer Role:**

-The observer will keep other youth (purchaser) in view at all times.

-If the purchaser appears to be having a problem or an experience that in any way seems unsafe, the observer will notify the adult supervisor immediately so he/she can intervene.

-The observer will make a mental note of whether or not the outlet has a warning sign, and note the type and location of the sign.

- The observer will note the gender and approximate age of the employee.
- The observer will leave the store with the purchaser.

**Survey Team Role:**

- Survey team members will have enough money to make the purchase, including the appropriate amount of change, in case a purchase must be made from a vending machine.
- Once inside, the youth survey team should quickly locate the tobacco product.
- Survey team members will act naturally.
- Survey team members will dress as usual. The intention is not to fool the retail employee, but to present themselves in a normal manner.
- In gang activity areas, team members will avoid behaviors or mannerisms that might be perceived as “gang-related.”
- Both youth survey team members will leave the store immediately if the situation appears unsafe or feels uncomfortable.
- If a friend or someone known to either survey team member works or is present in the retail site, the team will exit the store without attempting to make a tobacco purchase.

**Purchaser Role:**

- If tobacco is available in open, unlocked displays, the purchaser should pick up the item and place it on the counter.
- If tobacco is available only through a clerk-assisted sale (e.g., behind the counter or in a locked case), then the purchaser should request the specific type and brand of product.
- If the tobacco is available both in open, unlocked displays and behind the counter, the purchaser should try to pick up the item from the open, unlocked displays.
- If the location sells tobacco both over the counter and from vending machines, the purchaser should attempt to make the purchase from the vending machine.
- Team members must be truthful at all times. If asked their age, team members must honestly state their actual age.
- Team members will NOT carry identification into the retail outlet. If asked for age identification, team members should say, “I don’t have any.”
- If asked who the tobacco is for, the purchaser should respond, “For me.”
- It is very important that no survey team member entice a sale or in any way encourage the sales clerk to make the sale.
- Once the clerk has completed the sale, the purchaser should pay for the product and leave the store immediately.

-Information about the sale (or nonsale) will be recorded by the adult supervisor, who will then collect the purchased tobacco and place a label on it identifying the location and date of the purchase.

For vending machines, if a machine is operated with tokens or controlled by a locking device, the purchaser should initiate the steps required for a sale. He or she should purchase tokens or ask the clerk to turn on the vending machine. If the clerk requests ID or age, the youth will respond as stated above for over-the-counter sales.

# APPENDIX D: LIST SAMPLING FRAME COVERAGE STUDY

(LIST FRAME ONLY)

State: Wisconsin  
FFY: 2019

1. Calendar year of the coverage study: \_\_\_\_\_

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

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

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.

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

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

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

Yes  No

6. Were all sampled areas visited by canvassing teams?

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

a. Was the subset of areas randomly chosen?

Yes  No

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

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

Yes  No

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

8. Were field observers instructed to find all outlets in the assigned area?

Yes  No

*If No, respond to Question 9.*

*If Yes, describe any instructions given to the field observers to ensure the entire area was canvassed, then go to Question 10.*

9. If a full canvassing was not conducted:

a. How many predetermined outlets were to be observed in each area? \_\_\_\_\_

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.

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.)

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

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

**CSAP-SYNAR REPORT**

State	WI
Federal Fiscal Year (FFY)	2019
Date	9/28/2018 14:30
Data	SSEsv7_DataEntryTemplate_SRS.xlsx
Program Version	Version 7.0
Analysis Option	Stratified SRS with FPC

**Estimates**

Unweighted Retailer Violation Rate	5.6%
Weighted Retailer Violation Rate	5.8%
Standard Error	0.8%
Is SAMHSA Precision Requirement met?	YES
Right-sided 95% Confidence Interval	[0.0%, 7.0%]
Two-sided 95% Confidence Interval	[4.3%, 7.3%]
Design Effect	1.1
Accuracy Rate (unweighted)	87.9%
Accuracy Rate (weighted)	87.3%
Completion Rate (unweighted)	98.2%

**Sample Size for Current Year**

Effective Sample Size	450
Target (Minimum) Sample Size	450
Original Sample Size	1,100
Eligible Sample Size	967
Final Sample Size	950
Overall Sampling Rate	15.8%



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

STATE: WI

FFY: 2019

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	1,490	1,364	N/A	N/A	284	260	255	13	5.1%	
2	2	1,526	1,378	N/A	N/A	310	280	275	14	5.1%	
3	3	1,820	1,523	N/A	N/A	294	246	243	14	5.8%	
4	4	1,412	1,212	N/A	N/A	162	139	138	9	6.5%	
5	5	617	518	N/A	N/A	50	42	39	3	7.7%	
Total		6,865	5,995			1,100	967	950	53	5.8%	0.8%
<b>Over the Counter Outlets</b>											
1	1	1,490	1,359	N/A	N/A	254	254	254	12	4.7%	
2	2	1,526	1,373	N/A	N/A	274	274	274	14	5.1%	
3	3	1,820	1,523	N/A	N/A	243	243	243	14	5.8%	
4	4	1,412	1,212	N/A	N/A	138	138	138	9	6.5%	
5	5	617	518	N/A	N/A	39	39	39	3	7.7%	
Total		6,865	5,985			948	948	948	52	5.7%	0.7%
<b>Vending Machines</b>											
1	1	0	5	N/A	N/A	1	1	1	1	100.0%	
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%	
Total		0	5			1	1	1	1	100.0%	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: WI  
FFY: 2019

Disposition Code	Description	Count	Subtotal
EC	Eligible and inspection complete outlet	950	
Total (Eligible Completes)			950
N1	In operation but closed at time of visit	2	
N2	Unsafe to access	5	
N3	Presence of police	1	
N4	Youth inspector knows salesperson	1	
N5	Moved to new location but not inspected	0	
N6	Drive thru only/youth inspector has no drivers license	0	
N7	Tobacco out of stock	1	
N8	Run out of time	1	
N9	Other noncompletion (see below)	6	
Total (Eligible Noncompletes)			17
I1	Out of Business	24	
I2	Does not sell tobacco products	88	
I3	Inaccessible by youth	7	
I4	Private club or private residence	1	
I5	Temporary closure	7	
I6	Can't be located	4	
I7	Wholesale only/Carton sale only	0	
I8	Vending machine broken	0	
I9	Duplicate	0	
I10	Other ineligibility (see below)	2	
Total (Ineligibles)			133
Grand Total			1100

**Give reasons and counts for other noncompletion:**

Reason	Count
Youth inspector did not follow protocol to attempt purchase of alternate tobacco brand/type.	4
Outlet was a Vape Shop and youth inspector did not know what type of tobacco to request.	2

**Give reasons and counts for other ineligibility:**

Reason	Count
Vendor only exists on festival grounds during festival dates outside of field period.	2

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

STATE: WI

FFY: 2019

**Frequency Distribution**

Gender	Age	Number of Inspectors	Attempted Buys	Successful Buys
Male	14	0	0	0
	15	0	0	0
	16	11	277	19
	17	5	201	2
	18	0	0	0
	19	0	0	0
	20	0	0	0
	Subtotal	16	478	21
Female	14	0	0	0
	15	0	0	0
	16	12	317	18
	17	5	155	14
	18	0	0	0
	19	0	0	0
	20	0	0	0
	Subtotal	17	472	32
Other		0	0	0
Grand Total		33	950	53

**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	6.9%	5.7%	6.2%
17	1.0%	9.0%	4.5%
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	4.4%	6.8%	5.6%

# **Alcohol Beverages Enforcement at Wisconsin Department of Revenue**

Matt Sweeney

State Council on Alcohol and Other Drug Abuse  
September 7, 2018

## **Outline**

- Alcohol Beverages Regulation System in Wisconsin
- DOR Roles and Responsibilities
- DOR Organizational Charts
- Duties of DOR Offices and Units
- Who Does DOR Regulate/Permit?

## Alcohol Beverages Regulation System in Wisconsin

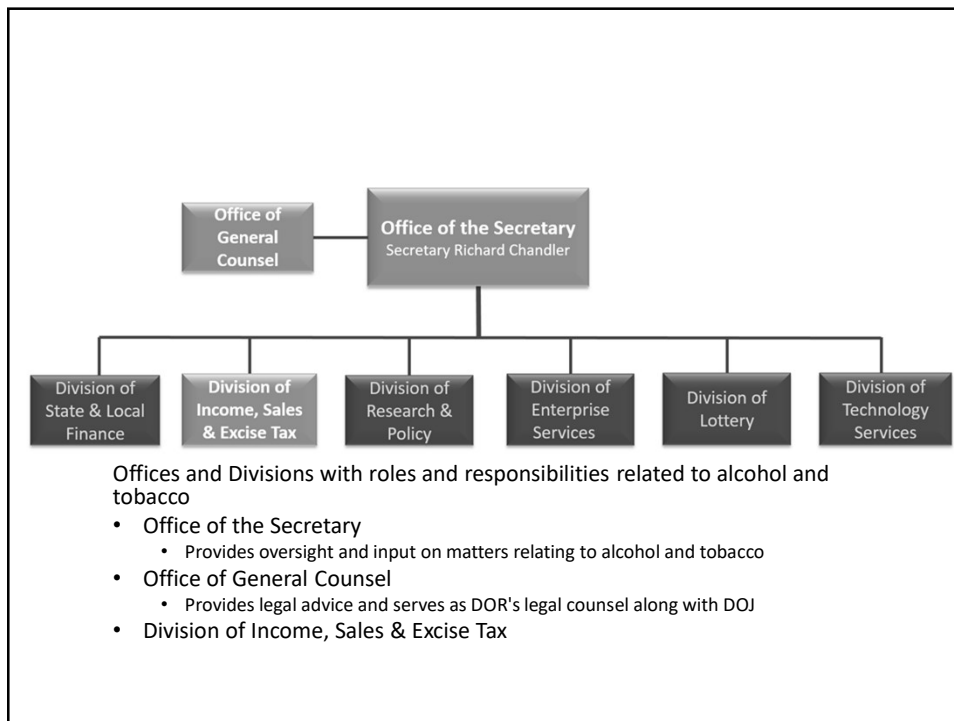
- Chapter 125 of the statutes establishes the three-tier system of regulation of alcohol beverage production, distribution and retail sales, for the benefit of the public health and welfare and the state's economic stability
- Goals of the three-tier system, as set forth in Section 125.01:
  - Effective collection of taxes
  - Prevent alcohol sales to minors or intoxicated persons
- Without a statutory exception, all sales shall occur through the three-tier system, from manufacturers to wholesalers to retailers to consumers
- Chapter 125 has three subchapters:
  - I. General Provisions
  - II. Fermented Malt Beverages
  - III. Intoxicating Liquor

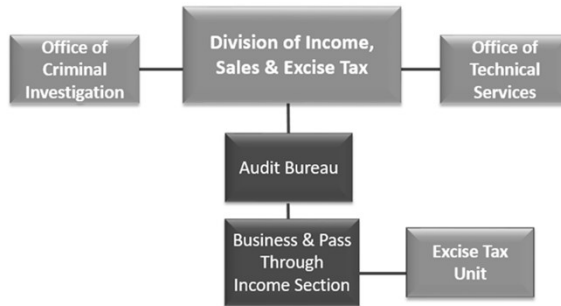
## DOR Shares Duties with Local Governments

- Chapter 125 delegates control over issuance of permits to manufacturers and wholesalers to the Department of Revenue
- Chapter 125 delegates control over most issuance of licenses to retailers to municipalities
- DOR and local governments share enforcement duties

## DOR Roles and Responsibilities

- Much like other topic areas and tax types administered by DOR, multiple offices and units work together to enforce and administer the alcohol beverage provisions set forth in Chapter 125
- Each office or unit has specific duties and tasks that they complete such as processing alcohol beverage permit applications, answering questions from municipalities and the industry, investigating complaints, and taking enforcement action
- These offices and units work together to ensure that Chapter 125 is administered in an accurate, consistent and efficient manner





Within the Division of Income, Sales & Excise Tax, there are offices and units with roles and responsibilities relating to alcohol and tobacco

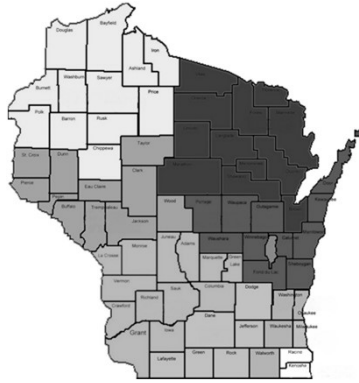
- Office of Criminal Investigation
- Office of Technical Services
- Excise Tax Unit (part of the Audit Bureau)



The Alcohol & Tobacco Enforcement Unit is primarily responsible for enforcement, education, and providing expert assistance to local law enforcement agencies and members of the public

- The Unit includes one Supervisor and nine Excise Tax Agents
- All are certified law enforcement officers

## Current A&T Unit



- Assigned territories throughout the state
- Agents have extensive education, training and law enforcement experience

## A&T Unit Duties - Enforcement

- Responsible for enforcement of alcohol regulations under Chapter 125, including:
  - Inspections/Investigations
  - Criminal referrals
  - Background investigations on permit applicants
  - Search warrants
  - Assist local law enforcement
- Along with enforcement related to alcohol beverages, the A&T Unit is also tasked with enforcing cigarette and tobacco regulations

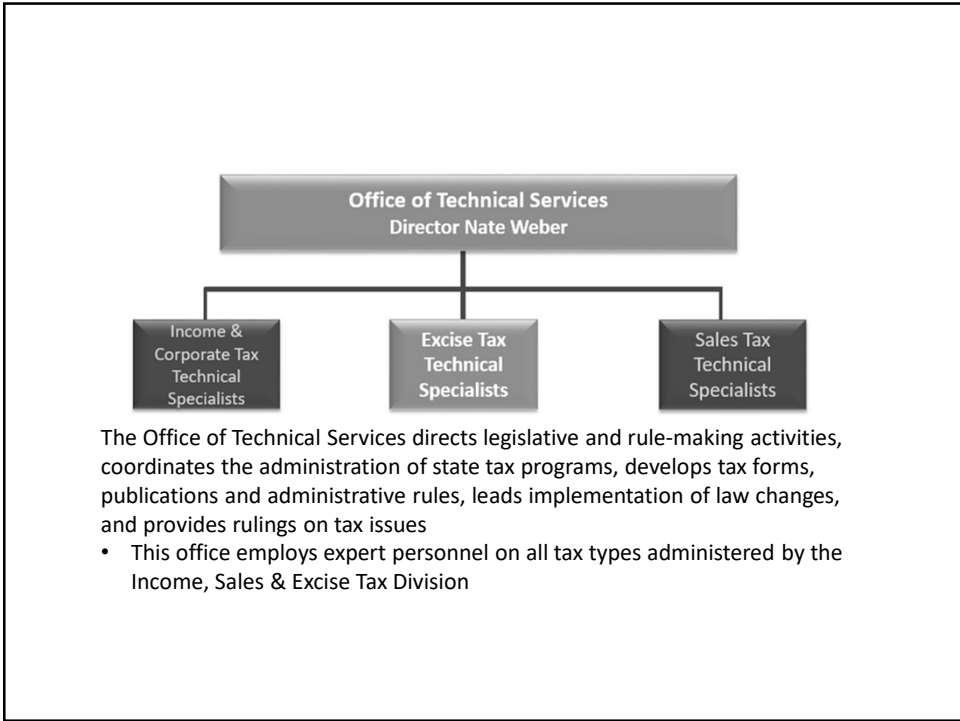


## A&T Unit Duties – Response to Inquiries

- Reply to inquiries from:
  - Industry groups and members
  - Municipal officials
  - Attorneys (municipal and private)
  - Law enforcement agencies
  - Members of the public
  - Legislators

## A&T Unit Duties – Educational Outreach

- Presentations
  - At the request of industry groups, municipal clerks, law enforcement agencies, individual industry members, and municipal retailer workshops
  - 37 presentations/outreach events in FY18
- Publications
- DOR website
- Industry notices
- Forms and Instructions

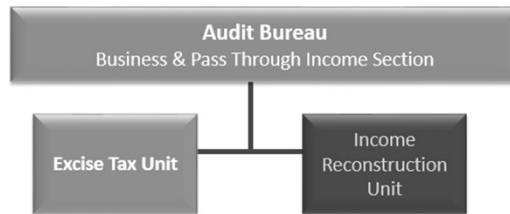


## Office of Technical Services: Excise Tax

**Responsibility:** Administration of Alcohol Beverage Taxes, Cigarette and Tobacco Products Taxes, and Motor Fuel Taxes

**Duties:**

- Implement new tax laws, draft administrative rules, analyze legislative bills, draft legislative proposals
- Respond to inquiries from municipalities, taxpayers, legislators, other state agencies, other state alcohol regulatory agencies



The Excise Tax Unit is responsible for:

- Issuing alcohol beverage, tobacco, and fuel permits, and providing customer service related to permit requirements and excise tax returns and payments
- Auditing alcohol beverage, tobacco and fuel tax reports, returns, and refund claims
- Within this unit there is one supervisor, seven field auditors, and five revenue agents

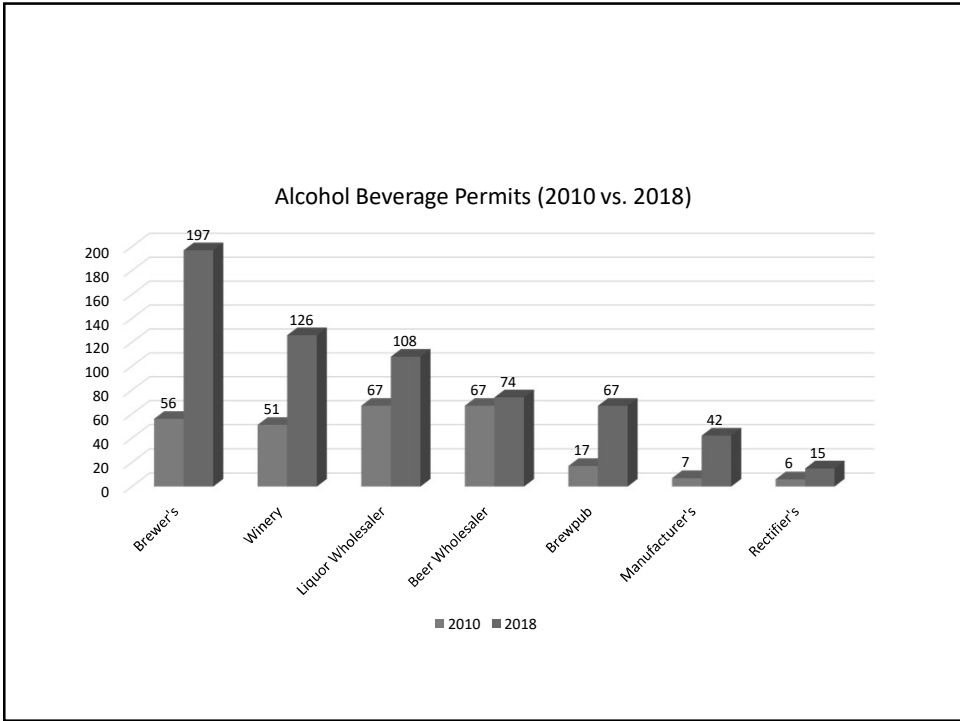
## Who Does DOR Regulate/Permit?

### **Manufacturers – 3,473**

- 197 Breweries and 67 Brewpubs
- 126 Wineries and 1,113 Wine Direct Shippers
- 42 Liquor Manufacturers and 15 Rectifiers
- 292 Beer and 1,621 Liquor Out-of-State Shippers

### **Wholesalers – 182**

- 74 Beer and 108 Liquor Wholesalers



## Retail Licenses

- Local governments issue licenses to retailers
- Licenses issued to 17,080 premises in 2017 (typically multiple licenses are issued for a single premises)

License Type	Active Licenses in 2017
"Class A" Liquor (off-premises)	3,182
Class "A" Beer (off-premises)	4,264
"Class B" Liquor (on- or off-premises)	10,831
Class "B" Beer (on- or off-premises)	12,633
"Class C" Wine (on- or off-premises)	886
<b>Total</b>	<b>31,796</b>

## Further Information

For further information, please visit:

[www.revenue.wi.gov](http://www.revenue.wi.gov)



Department of Public Instruction  
Student Services/Prevention and Wellness Team  
Updates for SCAODA  
12/7/18

**The Building the Heart of Successful Schools Conference** on health, wellness, and prevention is being held on December 6-7th at Wilderness Resort in Wisconsin Dells. Keynoters include Dr. Kenneth Ginsburg, Fostering Resilience and Jason Kotecki, Escape Adulthood. With three pre-conference sessions on Wednesday, December 5th:

1. Best Practices in Screening for Behavioral and Mental Health
2. Compassion Resilience Training of Trainers
3. 6th Annual Healthier Schools Workshop/Whole Child Model Implementation (Sponsored by Children's Hospital).

The brochure and registration information can be found here <https://dpi.wi.gov/sspw/conference>.

**AODA Program Grant** materials for school districts are now online! Further information is available at: <http://dpi.wi.gov/sspw/aoda>. Grants will be due April 2019.

**AODA Student Mini-Grant** recommendations have been made for the 2018-19 school year. As part of the Department of Public Instruction's efforts to encourage youth initiatives, we have offered the Student AODA Mini-Grant Program for the 30<sup>th</sup> year. A competition was held for student groups to write for initiatives targeting alcohol and other drug abuse (AODA) and other youth risk behaviors such as tobacco, traffic safety, violence, suicide, etc. The amount of each individual mini-grant award may not exceed \$1,000. Mini-grant applications were due in October and were awarded in November. This year 82 student groups applied and 75 grants were recommended for funding (88%).

To view materials and for more information go to: <https://dpi.wi.gov/sspw/aoda/mini-grant>

**The Youth Risk Behavior Survey** process is now easier than ever! The survey process itself is being standardized to improve data quality and make the system more user-friendly. Schools and their partners will be invited to register for a Spring 2019 survey (open Jan. 7, 2019-March 29, 2019). Schools can also opt to have quicker access to their results and more dynamic access to their data by purchasing a YRBS dashboard for \$100. The amount covers the complete cost of the Qualtrics dashboard.

Approximately 50 schools sampled by CDC to represent Wisconsin's statewide YRBS statistics were contacted in Fall 2018 for participation in this process. The schools participation is needed to produce 2019 Wisconsin statistics.

**2019 Substance Use Disorder Training Sessions and Conferences**  
**(Treatment and Recovery Focus)**  
December 7, 2018 SCAODA Meeting

**March and April 2019:**

**Opioid Forum: March 19-20, 2019 at the KI Convention Center in Green Bay**

This event will feature workshops on prevention and harm reduction, treatment and recovery, and criminal justice topics. The registration fee will be \$70 per person. A full agenda will be available in January 2019. This event is part of Wisconsin's State Targeted Response to the Opioid Crisis funded by the Substance Abuse and Mental Health Services Administration.

**Wisconsin's Opioid Crisis: A Trauma-Informed Response: April 2-3, 2019 at the KI Convention Center in Green Bay**

This event will feature workshops on the trauma's role in the misuse and abuse of opioids. The registration fee will be \$70 per person. A full agenda will be available in February 2019. This event is part of Wisconsin's State Targeted Response to the Opioid Crisis funded by the Substance Abuse and Mental Health Services Administration.

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Visit the following DHS website at <https://www.dhs.wisconsin.gov/opioids/conferences.htm> for more information on these events organized by the DHS Division of Care and Treatment Services.



# **SCAODA 2019 Meeting Dates**

(Tentative)

March 1, 2019

June 7, 2019

September 6, 2019

December 6, 2019

American Family Insurance Conference Center  
6000 American Parkway  
Madison, WI  
A-Building, Training Center



**BY-LAWS**  
**of the**  
**State of Wisconsin**  
**State Council on Alcohol and Other Drug Abuse**  
**As Approved**  
**June 6, 2008**  
**Amended 9-10-10, 9-9-11, 12-13-13, 12-12-14**

*<please note: lines underlined below are taken directly from statute.>*

**ARTICLE I**

**Purpose and Responsibilities**

**Section 1. Authority**

The council is created in the office of the governor pursuant to sec. 14.017 (2), Wis. Stats. Its responsibilities are specified under sec. 14.24, Wis. Stats.

**Section 2. Purpose**

The purpose of the state council on alcohol and other drug abuse is to enhance the quality of life of Wisconsin citizens by preventing alcohol, tobacco and other drug abuse and its consequences through prevention, treatment, recovery, and enforcement and control activities by:

- a. Supporting, promoting and encouraging the implementation of a system of alcohol, tobacco and other drug abuse services that are evidence-based, gender and culturally competent, population specific, and that ensure equal and barrier-free access;
- b. Supporting the prevention and reduction of alcohol, tobacco, and other drug use and abuse through evidence-based practice with a special emphasis on underage use; and
- c. Supporting and encouraging recovery in communities by reducing discrimination, barriers and promoting healthy lifestyles.

**Section 3. Responsibilities**

The state council on alcohol and other drug abuse shall:

- a. Provide leadership and coordination regarding alcohol and other drug abuse issues confronting the state.

- b. Meet at least once every 3 months.
- c. By June 30, 1994, and by June 30 every 4 years thereafter, develop a comprehensive state plan for alcohol and other drug abuse programs. The state plan shall include all of the following:
  - i. Goals, for the time period covered by the plan, for the state alcohol and other drug abuse services system.
  - ii. To achieve the goals in [par. \(a\)](#), a delineation of objectives, which the council shall review annually and, if necessary, revise.
  - iii. An analysis of how currently existing alcohol and other drug abuse programs will further the goals and objectives of the state plan and which programs should be created, revised or eliminated to achieve the goals and objectives of the state plan.
- d. Each biennium, after introduction into the legislature but prior to passage of the biennial state budget bill, review and make recommendations to the governor, the legislature and state agencies, as defined in [s. 20.001 \(1\)](#), regarding the plans, budgets and operations of all state alcohol and other drug abuse programs. The council also recommends legislation, and provides input on state alcohol, tobacco and other drug abuse budget initiatives.
- e. Provide the legislature with a considered opinion under [s. 13.098](#).
- f. Coordinate and review efforts and expenditures by state agencies to prevent and control alcohol and other drug abuse and make recommendations to the agencies that are consistent with policy priorities established in the state plan developed under [sub. \(3\)](#).
- g. Clarify responsibility among state agencies for various alcohol and other drug abuse prevention and control programs, and direct cooperation between state agencies.
- h. Each biennium, select alcohol and other drug abuse programs to be evaluated for their effectiveness, direct agencies to complete the evaluations, review and comment on the proposed evaluations and analyze the results for incorporation into new or improved alcohol and other drug abuse programming.

- i. Publicize the problems associated with abuse of alcohol and other drugs and the efforts to prevent and control the abuse. Issue reports to educate people about the dangers of alcohol, tobacco and other drug abuse.
- j. Form committees and sub-committees for consideration of policies or programs, including but not limited to, legislation, funding and standards of care, for persons of all ages, ethnicities, sexual orientation, disabilities, and religions to address alcohol, tobacco and other drug abuse problems.

## **ARTICLE II**

### **Membership**

#### **Section 1. Authority**

Membership is in accordance with section 14.017(2), Wis. Stats.

#### **Section 2. Members**

- 2.1** The 22-member council includes six members with a professional, research or personal interest in alcohol, tobacco and other drug abuse problems, appointed for four-year terms, and one of them must be a consumer representing the public. It was created by chapter 384, laws of 1969, as the drug abuse control commission. Chapter 219, laws of 1971, changed its name to the council on drug abuse and placed the council in the executive office. It was renamed the council on alcohol and other drug abuse by chapter 370, laws of 1975, and the state council on alcohol and other drug abuse by chapter 221, laws of 1979. In 1993, Act 210 created the state council on alcohol and other drug abuse, incorporating the citizen's council on alcohol and other drug abuse, and expanding the state council and other drug abuse's membership and duties. The state council on alcohol and other drug abuse's appointments, composition and duties are prescribed in sections 15.09 (1)(a), 14.017 (2), and 14.24 of the statutes, respectively.

The council strives to have statewide geographic representation, which includes urban and rural populated areas, to have representation from varied stakeholder groups, and shall be a diverse group with respect to age, race, religion, color, sex, national origin or ancestry, disability or association with a person with a disability, arrest or conviction record, sexual orientation, marital status or pregnancy, political belief, or affiliation, or military participation.

**2.2** There is created in the office of the governor a state council on alcohol and other drug abuse consisting of the governor, the attorney general, the state superintendent of public instruction, the secretary of health services, the commissioner of insurance, the secretary of corrections, the secretary of transportation and the chairperson of the pharmacy examining board, or their designees; a representative of the controlled substances board; a representative of any governor's committee or commission created under [subch. I](#) of ch. 14 to study law enforcement issues; 6 members, one of whom is a consumer representing the public at large, with demonstrated professional, research or personal interest in alcohol and other drug abuse problems, appointed for 4-year terms; a representative of an organization or agency which is a direct provider of services to alcoholics and other drug abusers; a member of the Wisconsin County Human Service Association, Inc., who is nominated by that association; and 2 members of each house of the legislature, representing the majority party and the minority party in each house, chosen as are the members of standing committees in their respective houses. [Section 15.09](#) applies to the council.

### **2.3 Selection of Members**

From Wis. Stats. 15.09 (1)(a); Unless otherwise provided by law, the governor shall appoint the members of councils for terms prescribed by law. Except as provided in [par. \(b\)](#), fixed terms shall expire on July 1 and shall, if the term is for an even number of years, expire in an odd-numbered year.

### **2.4 Ex-Officio Members**

- a. Ex-officio members may be appointed by a majority vote of the council to serve on the council, special task forces, technical subcommittees and standing committees. Other agencies may be included but the following agencies shall be represented through ex-officio membership: The Wisconsin Departments of: Revenue, Work Force Development, Safety and Professional Services, Veteran Affairs and Children and Families, the Wisconsin Technical Colleges System and the University of Wisconsin System.
- b. Ex-officio members of the council may participate in the discussions of the council, special task forces, technical subcommittees, and standing committees except that the chairperson may limit their participation as necessary to allow full participation by appointed members of the council subject to the appeal of the ruling of the chairperson.

- c. An ex-officio member shall be allowed to sit with the council and participate in discussions of agenda items, but shall not be allowed to vote on any matter coming before the council or any committee of the council, or to make any motion regarding any matter before the council.
- d. An ex-officio member may not be elected as an officer of the council.
- e. An ex-officio member shall observe all rules, regulations and policies applicable to statutory members of the council, and any other conditions, restrictions or requirements established or directed by vote of a majority of the statutory members of the council

## **2.5 Selection of Officers**

Unless otherwise provided by law, at its first meeting in each year the council shall elect a chairperson, vice-chairperson and secretary from among its members. Any officer may be reelected for successive terms. For any council created under the general authority of s. 15.04 (1) (c), the constitutional officer or secretary heading the department or the chief executive officer of the independent agency in which such council is created shall designate an employee of the department or independent agency to serve as secretary of the council and to be a voting member thereof.

## **2.6 Terms of Voting Members**

- a. Voting members shall remain on the council until the effective date of their resignation, term limit or removal by the governor, or until their successors are named and appointed by the governor.
- b. Letter of resignation shall be sent to the governor and council chairperson.
- c. Each voting member or designee of the council is entitled to one vote.

## **2.7 Code of Ethics**

All members of the council are bound by the codes of ethics for public officials, Chapter 19, Wis. Stats., except that they are not required to file a statement of economic interest. Ex-officio members are not required to file an oath of office. As soon as reasonably possible after appointment or commencement of a conflicting interest and before

voting on any grant, members shall reveal any actual or potential conflict of interest. Chapter 19.46 of Wisconsin State Statutes states that no state public official may take any official action substantially affecting a matter in which the official, a member of his or her immediate family, or an organization with which the official is associated has a substantial financial interest or use his or her office or position in a way that produces or assists in the production of a substantial benefit, direct or indirect, for the official, one or more members of the official's immediate family either separately or together, or an organization with which the official is associated.

## **2.8 Nondiscrimination**

The council will not discriminate because of age, race, religion, color, sex, national origin or ancestry, disability or association with a person with a disability, arrest or conviction record, sexual orientation, marital status or pregnancy, political belief, or affiliation, or military participation.

## **2.9 Nomination Process for Appointed Members and Officers**

As per Article II, Section 2.1, the governor is required to appoint six citizen members. In addition, the council elects the chairperson, vice-chairperson and secretary, annually. The council will follow this process when making recommendations to the governor concerning appointments and nominating a slate of officers:

- a. The council, along with the office of the governor and department staff, will monitor when council terms will expire. It will also monitor the composition of the council with respect to the factors specified in Article II, Section 2.1.
- b. The vice-chairperson of the council shall convene a nominating committee and appoint a chairperson of that committee as needed to coordinate the process for all appointments to the council as outlined in Article II, Section 2 and annually put forth a slate of officers as identified in Article II Sections 3.1, 3.2 and 3.3. The Council Chairperson may ask for nominations from the floor to bring forth nominations in addition to the slate of officers brought forth by the nominating committee. The nominating committee shall make recommendations to the council regarding nominations and appointments prior to the September council meeting and have such other duties as assigned by the council.
- c. The nominating committee of the council, with support of bureau staff, will publicize upcoming vacancies, ensuring that publicity includes interested and underrepresented groups, including

alcohol, tobacco and other drug abuse agencies, alcohol, tobacco and other drug abuse stakeholder groups, consumers, and providers of all ethnic groups. Publicity materials will clearly state that council appointments are made by the governor. Materials will also state that the governor normally considers the council's recommendations in making council appointments.

- d. While any person may apply directly to the governor according to the procedures of that office, all applicants will be asked to provide application materials to the council as well. Bureau staff will make contact with the office of the governor as necessary to keep the committee informed regarding applicants, including those that may have failed to inform the committee of their application.
- e. Applicants shall provide a letter of interest or cover letter, along with a resume and any other materials requested by the office of the governor. The nominating committee, in consultation with department staff, may request additional materials. The nominating committee, with support of bureau staff, will collect application materials from nominees, including nominees applying directly to the governor. The nominating committee or staff will acknowledge each application, advising the applicant regarding any missing materials requested by the nominating committee. The nominating committee or staff will review each application to ensure that all required nomination papers have been completed.
- f. The nominating committee may establish questions to identify barriers to attendance and other factors related to ability to perform the function of a member of the state council on alcohol and other drug abuse and to identify any accommodations necessary to overcome potential barriers to full participation by applicants. The nominating committee may interview applicants or designate members and/or staff to call applicants. Each applicant shall be asked the standard questions established by the committee.
- g. The nominating committee shall report to the full council regarding its review of application materials and interviews. The report shall include the full roster of applicants as well as the committee's recommendations for appointment.
- h. The council shall promptly act upon the report of the nominating committee. Council action shall be in the form of its recommendation to the governor. Department staff shall convey the council's recommendation to the office of the governor.

## **2.10 Removal from Office**

The Governor may remove appointed members from the council. The council may recommend removal but the Governor makes the final decision regarding removal.

## **Section 3. Officers**

### **3.1 Chairperson**

The chairperson is the presiding officer and is responsible for carrying out the council's business including that motions passed be acted upon in an orderly and expeditious manner and assuring that the rights of the members are recognized. The chairperson may appoint a designee to preside at a meeting if the vice-chairperson is unable to preside in their absence. The chairperson is also responsible for organizing the work of the council through its committee structure, scheduling council meetings and setting the agenda. The chairperson may serve as an ex-officio member of each council committee. The chairperson shall represent the positions of the council before the legislature, governor and other public and private organizations, unless such responsibilities are specifically delegated to others by the council or chairperson. The agenda is the responsibility of the chairperson, who may consult with the executive committee or other council members as necessary.

### **3.2 Vice-Chairperson**

The vice-chairperson shall preside in the absence of the chairperson and shall automatically succeed to the chair should it become vacant through resignation or removal of the chairperson until a new chairperson is elected. The vice-chairperson shall also serve as the council representative on the governor's committee for people with disabilities (GCPD). If unable to attend GCPD meetings, the vice-chairperson's designee shall represent the council.

### **3.3 Secretary**

The secretary is a member of the executive Committee as per Article IV, Section 5. The secretary is also responsible for carrying out the functions related to attendance requirements as per Article III, Section 6.

### **3.4 Vacancies**

In the event a vacancy occurs among the Officers (Chairperson, Vice-Chairperson, or Secretary) of the State Council on Alcohol and Other



Drug Abuse, the following procedure should be followed: In the event of a vacancy of the Chairperson, the Vice-Chairperson assumes the responsibility of Chairperson until such time as new Officers are elected according to the procedures outlined in the By-Laws. In the event of a vacancy of the Vice-Chairperson, the Secretary assumes the responsibility of the Vice-Chairperson until such time as new Officers are elected according to the procedures outlined in the By-Laws. In the event of a vacancy of the Secretary, the Chairperson shall appoint a replacement from the statutory membership until such time as new Officers are elected according to the procedures outlined in the By-Laws.

## **ARTICLE III**

### **Council Meetings**

#### **Section 1. Council Year**

The council year shall begin at the same time as the state fiscal year, July 1.

#### **Section 2. Meetings**

##### **2.1 Regular and special meetings**

Regular meetings shall be held at least four times per year at dates and times to be determined by the council. Special meetings may be called by the chairperson or shall be called by the chairperson upon the written request of three members of the council.

##### **2.3 Notice of meetings**

The council chairperson shall give a minimum of seven days written notice for all council meetings. An agenda shall accompany all meeting notices. Public notice shall be given in advance of all meetings as required by Wisconsin's Open Meetings Law. If a meeting date is changed, sufficient notice shall be given to the public.

##### **2.3 Quorum**

A simple majority (51%) of the membership qualified to vote shall constitute a quorum to transact business.

#### **Section 3. Public Participation**

Consistent with the Wisconsin Open Meetings law, meetings are open and accessible to the public.

## **Section 4. Conduct of Meetings**

- 4.1 Meetings shall be conducted in accordance with the latest revision of Robert's Rules of Order, unless they are contrary to council by-laws or federal or state statutes, policies or procedures.

## **Section 5. Agendas**

- 5.1 Agendas shall include approval of minutes from prior meetings, any action items recommended by a committee, an opportunity for public comment, and other appropriate matters.
- 5.2 Requests for items to be included on the agenda shall be submitted to the chairperson two weeks prior to the meeting.

## **Section 6. Attendance Requirements**

- 6.1 All council members and committee members are expected to attend all meetings of the council or the respective committees. Attendance means presence in the room for more than half of the meeting.
- 6.2 Council or committee members who are sick, hospitalized or who have some other important reason for not attending should notify the secretary or the secretary's designee or committee staff person or chairperson at least a week before the meeting. If that is not possible, notice should be given as soon as possible.
- 6.3 Any statutory members or designees of the council or committee who has two unexcused absences from meetings within any twelve month period will be contacted by the secretary of the council or committee chair to discuss the reasons for absence and whether the member will be able to continue serving. Appointed members who do not believe that they can continue should tender their resignation in writing to the secretary of the council or committee chair. Any council member resignations will be announced by the chairperson and forwarded by written notice to the Governor of the need for a new appointment. The replacement member would fulfill he resigned member's term.

## **Section 7. Staff Services**

The division of mental health and substance abuse services shall provide staff services. Staff services shall include: record of attendance and prepare minutes of meetings; prepare draft agendas; arrange meeting rooms; prepare correspondence for signature of the chairperson; offer information and assistance to council committees;

analyze pending legislation and current policy and program issues; prepare special reports, and other materials pertinent to council business.

## **Section 8. Reimbursement of Council and Committee Members**

According to Section 15.09 of Wisconsin Statutes: Members of a council shall not be compensated for their services, but, except as otherwise provided in this subsection, members of councils created by statute shall be reimbursed for their actual and necessary expenses incurred in the performance of their duties, such reimbursement in the case of an elective or appointive officer or employee of this state who represents an agency as a member of a council to be paid by the agency which pays his or her salary.

## **ARTICLE IV**

### **Committees**

#### **Section 1. Committee Structure**

- 1.1** There shall be an executive committee as provided below. The executive committee is a standing committee of the council.
  
- 1.2** The council may establish other standing committees and subcommittees as necessary or convenient to conduct its business. Of the standing committees established by the state council on alcohol and other drug abuse, at least one shall have a focus on issues related to the prevention of alcohol, tobacco and other drug abuse, at least one shall have a focus on issues related to cultural diversity, at least one shall have a focus on issues related to the intervention and treatment of alcohol, tobacco and other drug abuse, and at least one shall have a focus on issues related to the planning and funding of alcohol and other drug abuse services. Subcommittees are a subset of a standing committee. Subcommittees are standing committees, which by another name is a permanent committee. Standing committees meet on a regular or irregular basis dependent upon their enabling act, and retain any power or oversight claims originally given them until subsequent official actions of the council (changes to law or by-laws) disbands the committee. Of the standing subcommittees established by the state council on alcohol and other drug abuse, at least one shall have a focus on children youth and families and is a subcommittee of the intervention and treatment committee, at least one shall have a focus on cultural competency and is a subcommittee of the cultural diversity committee, and at least one shall have a focus on epidemiology and is a subcommittee of the prevention committee.

Ad-hoc committees are established to accomplish a particular task and are to be temporary, with the charge being well-defined and linked to SCAODA's strategic plan, not to exceed duration of twelve calendar months. Ad-hoc committees are formed by standing committee chairs. Ad-hoc committees must report their progress at the meeting of their standing committee. Ad-hoc committees can be granted extensions by the standing committee chair.

It is the intent of this section that:

- There should be periodic review of the structure and progress of the work of the committees, subcommittees and ad-hoc committees.
- If the officers have concerns about the work of the standing committees, subcommittees or ad-hoc committees, they could convene an executive committee meeting to discuss options, "for the good of the order."
- The intent of this group is to recommend that ad-hoc committees be time-limited (recommend one year) and the committee chair determines if the work should go forward beyond the original charge.
- The charge should be well-defined and linked to SCAODA's strategic plan.
- The committee chairs should be primarily responsible for creating and disbanding ad-hoc groups.
- The committee chairs should be responsible for monitoring the work and duration of the work in coordination with SCAODA.

**1.3** Committees may determine their own schedules subject to direction from the full council.

## **Section 2. Composition of Committees**

**2.1** Council committees may include members of the public as well as council members.

**2.2** The council chairperson may appoint a chairperson who must be a member of the council, for each committee. The council chairperson, with the advice of the committee chairperson may appoint other committee members.

**2.3** Committees may designate subcommittees including ad hoc committees, as necessary or convenient subject to limitation by the full council.

**2.4** A council member shall not chair more than one committee.

- 2.5** A committee chairperson's term shall not exceed the length of their appointment or four years whichever comes first. With the majority vote of the council, a chairperson may be reappointed.

### **Section 3. Requirements for all Committees**

- 3.1** A motion or resolution creating a committee shall designate the mission and duties of the committee. The council may also specify considerations for the chairperson to follow in appointing committee chairpersons and members and such other matters as appropriate.
- 3.2** All committee members are expected to attend all meetings of the committee. Attendance means presence in the room for more than half of the meeting.
- 3.3** Any committee may authorize participation by telephone conference or similar medium that allows for simultaneous communication between members as permitted by law.
- 3.4** Committee members who are sick, hospitalized or who have some other important reason for not attending should notify the chairperson or the chairperson's designee at least a week before the meeting. If that is not possible, notice should be given as soon as possible.
- 3.5** Any committee member who has two unexcused absences within a twelve month period will be contacted by the committee chairperson to discuss the reasons for absence and whether the member will be able to continue serving. Members who do not believe that they can continue should tender their resignation in writing to the committee chairperson. Any resignations will be announced to the council chairperson and to the committee.
- 3.6** The committee chairperson may remove committee members, other than executive committee members, after notice of proposed removal to and an opportunity to be heard by the member consistently with this process.

### **Section 4. Requirements for Committee Chairpersons**

The chairperson of each committee is responsible for:

- a. Ensuring that the by-laws and every applicable directive of the council are followed by the committee as indicated in Chapters 15.09, 14.017 and 14.24 of Wisconsin Statutes;
- b. Ensuring that recommendations of the committee are conveyed to the full council;

- c. Submitting meeting minutes in the approved format to the council; and
- d. Coordinating work with other committees where items could be of mutual interest.

## **Section 5. Executive Committee**

**5.1** The executive committee shall be comprised of at least three members, including the council chairperson, vice-chairperson and secretary.

**5.2** The executive committee will have the following responsibilities:

- a. Provide policy direction to and periodically evaluate the performance of the council and its activities relating to direction from the division of mental health and substance abuse services.
- b. Meet at the request of the chairperson as needed;
- c. Provide for an annual review of the by-laws;
- d. Act on behalf of the council when a rapid response is required, provided that any such action is reported to the council at its next meeting for discussion and ratification; and
- e. Other duties designated by the council.

### **5.3 Rapid Response**

The executive committee may act on behalf of the full council only under the following circumstances:

- a. When specifically authorized by the council;
- b. When action is needed to implement a position already taken by the council;
- c. Except when limited by the council, the executive committee may act upon the recommendation of a committee, other than the executive committee, if such action is necessary before a council meeting may reasonably be convened, provided that if more than one committee has made differing recommendations concerning the subject, the executive committee may not act except to request further study of the subject; or
- d. Except when limited by the council, the executive committee, by unanimous consent, may take such other action as it deems

necessary before a council meeting may reasonably be convened.

## **ARTICLE V**

### **Amendments**

The by-laws may be amended, or new by-laws adopted, after thirty days written notice to council members by a two-thirds vote of the full council membership present at a regularly scheduled meeting.

