ANNUAL SYNAR REPORT

42 U.S.C. 300x-26

OMB № 0930-0222

FFY 2018

State: Maryland

OMB No. 0930-0222
Expiration Date: 06/30/2019

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INTRODUCTION

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

How the Synar report helps the Center for Substance Abuse Prevention

In accordance with the tobacco regulations, states are required to provide detailed information on progress made in enforcing youth tobacco access laws (FFY 2017 Compliance Progress) and future plans to ensure compliance with the Synar requirements to reduce youth tobacco access rates (FFY 2018 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[1] 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.

[1]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, 2017 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 2018 Synar Survey Results: States that use the Synar Survey Estimation System (SSES) must upload one copy of SSES Tables 1–5 (in Excel) to WebBGAS. States that do not use SSES must upload one copy of ASR Forms 1, 4, and 5, and Forms 2 and 3, if applicable, (in Excel), as well as a database with the raw inspection data to WebBGAS.
- Synar Inspection Form: States must upload one blank copy of the inspection form used to record the result of each Synar inspection.
- Synar Inspection Protocol: States must upload a copy of the protocol used to train inspection teams on conducting and reporting the results of the Synar inspections. This document should be different than the Appendix C attached to the Annual Synar Report
- A scanned copy of the signed Funding Agreements/Certifications

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

FFY 2018: 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 2018 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 2018 is up-to-date and approved by the Center for Substance Abuse Prevention.
State: Maryland
Name of Chief Executive Officer or Designee: Barbara J. Bazron, PhD.
Signature of CEO or Designee: Barbara J. Bazron
Deputy Secretary, Behavioral Health, Maryland Department of Health **Title:** Executive Director, Behavioral Health Administration **Date Signed:** 11.17.17
If signed by a designee, a copy of the designation must be attached.

SECTION I: FFY 2017 (Compliance Progress)

YOUTH ACCESS LAWS, ACTIVITIES, AND ENFORCEMENT

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

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

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

   ☐ **Yes** ☒ **No**

   *If **Yes**, current minimum age:* ☐ 19 ☐ 20 ☐ 21

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

   ☐ **Yes** ☒ **No**

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

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

Licensing of tobacco vendors	☐ **Yes**	☒ **No**
Penalties for sales to minors	☐ **Yes**	☒ **No**
Vending machines	☐ **Yes**	☒ **No**
Added 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 2018 ASR was posted to this Web address.)*

   Web address:gov/Pages/Maryland-Synar-Reports https://bha.health.maryland.aspx

   Date published: November 17, 2017

   ☒ Notice published in a newspaper or newsletter

   ☐ Public hearing

☐ Announced in a news release, a press conference, or discussed in a media interview
☐ Distributed for review as part of the SABG application process
☐ Distributed through the public library system
☐ Published in an annual register
☐ Other *(Please describe.)* _____

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

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

   Maryland Behavioral Health Administration, MDH

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

   ☐ **Yes** ☒ **No**

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

   Maryland Behavioral Health Administration, MDH

   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):***

   Maryland's 24 jurisdictional local law enforcement agencies and in some of the smaller jurisdictions support is provided by the State Police.

   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).**
   PHPA – The Center for Tobacco Prevention and Control

   b. **Has the responsible agency changed since last year's Annual Synar Report?**
   ☐ **Yes** ☒ **No**

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

   ☐ Are the same
   ☐ Have a formal written memorandum of agreement

☒ Have an informal partnership

☒ Conduct joint planning activities

☐ Combine resources

☒ Have other collaborative arrangement(s) *(Please describe.)* *The Behavioral Health Administration and the Prevention and Health Promotion Administration are sister agencies, under the same Department – i.e., Maryland Department of Health*

☐ 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)).
Maryland Behavioral Health Administration, MDH

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 2017** *(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 citations issued	UNK	UNK	758
Number of fines assessed	UNK	UNK	UNK
Number of permits/licenses suspended	UNK		9
Number of permits/licenses revoked	UNK		UNK
Other *(Please describe.)* *Youth Access Compliance Checks* *Tobacco Vendors Educated* *Tobacco Retailers Referred to Comptroller*	UNK	UNK	 6,498 5,308 166

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:

After the Synar survey inspection is completed, a letter of compliance or non-compliance is sent to the retailers along with a link to educational materials.

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

☐ Enforcement is conducted only at those outlets randomly selected for the Synar survey.

☐ Enforcement is conducted only at a subset of outlets not randomly selected for the Synar survey.

☒ Enforcement is conducted at a combination of outlets randomly selected for the Synar survey and outlets not randomly selected for the Synar survey.

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

☐ **Yes** ☒ **No**

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

☒ Merchant education and/or training

The State has a merchant education packet entitled "Responsible Retailer Check ID" that includes a clear understanding of the state law governing Tobacco Sales at Retail Outlets. There is also an online training module where store owners can test their knowledge of the law and pick up additional tips to train employees. All local health departments conduct store-to-store visits to tobacco outlets to ensure they know the law and staff are continuously trained. In State Fiscal Year 2017 (July 1, 2016 - June 30, 2017), 5,308 face-to-face store visits were performed by local health departments and non-governmental partners to provide verbal education on youth access to tobacco products.

☒ 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)

Some local jurisdictions publish the names of compliant tobacco outlets in newspapers, provide certificates, and hold award ceremonies to acknowledge their compliance.

☒ Community education regarding youth access laws

In State Fiscal Year 2017, 10 town hall meetings were conducted on youth access to tobacco products with 325 attendees across the state.

☒ Media use to publicize compliance inspection results

Some local jurisdictions publish the names of compliant tobacco outlets in newspapers, provide certificates, as well as hold award ceremonies. Non-compliant retailers are often subjects of news articles.

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

27 non-governmental organizations partnered with local health departments to increase support and enhance discussion regarding youth access to tobacco products. Minority Outreach and Technical Assistance (MOTA) vendors that are part of the Office of Minority Health and Health Disparities help the department educate tobacco retailers in low income communities.

☒ Other activities *(Please list.)* _____

At the state and local level, media campaigns are conducted in a variety of venues to support state and local enforcement and education efforts.

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 2017 (see 42 U.S.C. 300x-26 and 45 C.F.R. 96.130).

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

☐ **Yes** ☒ **No**

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

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

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

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

☒ **Yes** ☐ **No**

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

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

Unweighted RVR _____

Weighted RVR _____

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

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

	+	(1.645	×	)	=	
RVR Estimate	**plus**	(1.645	**times**	**Standard Error)**	**Equals**	**Right Limit**

Accuracy rate _____

Completion rate _____

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

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

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

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

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

☐ **Yes** ☐ **No** ☐ **No stratification**

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

f. **Was a cluster sample design used?**

☐ **Yes** ☐ **No**

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

*If **No,** go to Question 7g.*

Were any certainty primary sampling units selected this year?

☐ **Yes** ☐ **No**

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

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

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

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

8. **Did the state's Synar survey use a list frame?**

☒ **Yes** ☐ **No**

*If **Yes,** answer the following questions about its coverage.*

a. **The calendar year of the latest Sampling frame coverage study:** 2016

b. **Percent coverage from the latest Sampling frame coverage study:** 96.98%

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

☒ **Yes** ☐ **No**

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

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

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

☐ **Yes** ☒ **No**

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

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

b. **Provide the inspection period: From** 4/11/17 **to** 8/28/17
MM/DD/YY MM/DD/YY

c. **Provide the number of youth inspectors used in the current inspection year:** 5

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 2018 (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 2018. 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.**

   House Bill 185 passed in the FY 17 General Assembly session. It provides a statewide civil citation option for illegal sales of tobacco products as of October 1, 2017. This shift from criminal to civil enforcement should help to engage more law enforcement agencies in tobacco sales enforcement, particularly in those jurisdictions which had to utilize only the state criminal citation law. Now, all jurisdictions have a civil citation option.

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

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

   ☐ Limitations in the state youth tobacco access laws

   ☐ Limited public support for enforcement of youth tobacco access laws

   ☐ Limitations on completeness/accuracy of list of tobacco outlets

☐ Limited expertise in survey methodology

☐ Laws/regulations limiting the use of minors in tobacco inspections

☒ Difficulties recruiting youth inspectors

Maryland had some difficulty recruiting/identifying female youth inspectors this year. The Administration's recruitment strategy was enhanced to include social media and outreach activities to resolve the issue.

☐ 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)

☐ Issues regarding sources of tobacco under tribal jurisdiction

☐ Other challenges *(Please list.)*_____

APPENDIX A: FORMS 1–5

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

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

Instructions for Completing Form 1: In the top right-hand corner of the form, provide the state name and reporting federal fiscal year (FFY 2018). 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 1 (Required for all states not using the Synar Survey Estimation System [SSES] to analyze the Synar Survey data.)

Summary of Synar Inspection Results by Stratum

State: _____

FFY: 2018

(1)		(2)			(3)			(4)			(5)		
STRATUM		NUMBER OF OUTLETS IN SAMPLING FRAME			ESTIMATED NUMBER OF ELIGIBLE OUTLETS IN POPULATION			NUMBER OF OUTLETS INSPECTED			NO. OF OUTLETS FOUND IN VIOLATION DURING INSPECTIONS		
(a) Row #	(b) Stratum Name	(a) Over-the-Counter (OTC)	(b) Vending Machines (VM)	(c) Total Outlets (2a+2b)	(a) Over-the-Counter (OTC)	(b) Vending Machines (VM)	(c) Total Outlets (3a+3b)	(a) Over-the-Counter (OTC)	(b) Vending Machines (VM)	(c) Total Outlets (4a+4b)	(a) Over-the-Counter (OTC)	(b) Vending Machines (VM)	(c) Total Outlets (5a+5b)

RECORD COLUMN TOTALS ON LAST LINE (LAST PAGE ONLY IF MULTIPLE PAGES ARE NEEDED).

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 2018).

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: 2018

(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
Total										

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 2018).

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

Column 1: Sequentially number each row.

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

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

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

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

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

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

Summary of Clusters Created and Sampled

State: _____

FFY: 2018

(1) Row #	(2) Stratum Name	(3) Number of PSUs Created	(4) Number of PSUs Selected	(5) Number of PSUs in the Final Sample
	Total			

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

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

Instructions for Completing Form 4: In the top right-hand corner of the form, provide the state name and reporting federal fiscal year (FFY 2018).

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

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

Inspection Tallies by Reason of Ineligibility or Noncompletion			
		State:	
		FFY: 2018	
(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) *(Describe.)*	
Other ineligibility reason(s) *(Describe.)*			
Total		**Total**	

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

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

Instructions for Completing Form 5: In the top right-hand corner of the form, provide the state name and reporting federal fiscal year (FFY 2018).

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 that the total of attempted buys and successful buys equals the total for Column 4(c) and Column 5(c), respectively, on Form 1. If the totals do not match, please explain any discrepancies.

Synar Survey Inspector Characteristics **State:** **FFY:** 2018		
	(1) Attempted Buys	(2) Successful Buys
Male		
15 years		
16 years		
17 years		
18 years		
Male Subtotal		
Female		
15 years		
16 years		
17 years		
18 years		
Female Subtotal		
Other		
Total		

APPENDIXES B & C: FORMS

Instructions

Appendix B (Sampling Design) and Appendix C (Inspection Protocol) are to reflect the state's CSAP-approved sampling design and inspection protocol. These appendixes, therefore, should generally describe the design and protocol and, with the exception of Question #10 of Appendix B, are not to be modified with year-specific information. Please note that any changes to either appendix must receive CSAP's advance, written approval. To facilitate the state's completion of this section, simply cut and paste the previously approved sampling design (Appendix B) and inspection protocol (Appendix C) and respond to Question #10 of Appendix B to provide the requested information about sample size calculations for the Synar survey conducted in FFY 2017.

APPENDIX B: SYNAR SURVEY SAMPLING METHODOLOGY

State: Maryland
FFY: 2018

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

Name of Frame Source	Type of Source	Description	Updating Method and Cycle
Office of the Maryland Comptroller of the Treasury	3	Statewide list of licensed tobacco retail outlets with license numbers, trade names, addresses and corporate names.	Tobacco retail licenses are issued by jurisdictions as part of an ongoing joint registration process. The statewide list is updated whenever a new license is issued.

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.**

Twenty-four jurisdictions (23 counties and the City of Baltimore) are used in the strata. A random sample of 10% of the licensed tobacco retailers in each of the state's twenty-four subdivisions is used.

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.**

Effective sample size:

$$n_e = \frac{1}{\left(\frac{(0.0182)^2}{P(1-P)} + \frac{1}{N}\right)}$$

where P is the retailer violation rate;
0.0182 is the standard error of the retailer violation rate estimate to meet the SAMHSA precision requirement; and N is the number of outlets in the population.

The target sample size is the effective sample size multiplied by the design effect from the previous year's survey.

Original sample size is determined simply by 10 percent of the sampling frame size and it is proportionally allocated to the 24 strata. Therefore, 10 percent of outlets from each stratum are sampled.

10. **Provide the following information about sample size calculations for the Synar survey conducted in FFY 2017.**

    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: 13.9 %
    Frame Size: 6,698

    Input for Target Sample Size:
    Design Effect: 1

    Inputs for Original Sample Size:
    Safety Margin:
    Accuracy (Eligibility) Rate:
    Completion Rate:

    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.**

    Original sample size is determined simply by 10% of the sampling frame size, and it is proportionally allocated to the 24 strata. Therefore, 10% of outlets from each stratum are sampled.

APPENDIX C: SYNAR SURVEY INSPECTION PROTOCOL SUMMARY

State: Maryland
FFY: 2018

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

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

   a. **Consummated buy attempts?**

   ☒ Required
   ☐ Permitted under specified circumstances (Describe:)
   ☐ Not permitted

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

   ☒ Required
   ☐ Permitted under specified circumstances (Describe:)
   ☐ Not permitted

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

   ☒ Required
   ☐ Permitted under specified circumstances (Describe:)
   ☐ Not permitted

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

   ☒ Required
   ☐ Permitted under specified circumstances (Describe:)
   ☐ Not permitted

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

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

   List the agency name(s): Behavioral Health Administration

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.**

   Youth inspectors are instructed to ask for the brand of cigarettes that they are most comfortable requesting. Generally, the brand is the one that is most popular among their peers.

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

Recruitment/selection is conducted in accordance with State of Maryland employment guidelines. Jobs are posted on Maryland Government Job Openings website.

Training methods are described in the training documents uploaded into WebBGas.

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

Methods are described in the training documents uploaded into WebBGAS.

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.)*

   The youth inspectors are granted immunity for possession of tobacco products by Maryland Law Section 10-18. It states that anyone employed (minor acting solely as an agent) by the State for purpose of attempting to purchase tobacco products is exempt from the statue prohibiting such actions.

   b. **Procedural**

   ☐ **Yes** ☒ **No**

*(If **Yes,** please describe.)*

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

   a. **Legal**

   ☒ **Yes** ☐ **No**

   *(If **Yes,** please describe.)*

   Maryland law requires that seat belts be worn at all times while in the vehicle.

   b. **Procedural**

   ☒ **Yes** ☐ **No**

   *(If **Yes,** please describe.)*

   The youth inspector must wear a seat belt at all times while in the vehicle. The adult inspector will enforce the wearing of the seat belt.

   If an outlet appears to be unsafe, the student will not be permitted to enter. The adult inspectors must accompany the minors into the store unless the establishment is not large enough to accommodate them both or it is a walk up situation. The youth inspector must be in the sight of the adult inspector at all times. The youth must not engage in any activities that would distract the adult from the ability to safely operate the vehicle.

   Each youth inspector (minor) is assigned a three digit identification number. This number is used in lieu of their name to conceal their identity.

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

   a. **Legal**

   ☐ **Yes** ☒ **No**

   *(If **Yes,** please describe.)*

   b. **Procedural**

   ☒ **Yes** ☐ **No**

*(If **Yes,** please describe.)*

Adult Inspectors and Youth Inspectors will carry appropriate Maryland State identification. Synar inspections will be performed using the protocol below (all inspections will be consummated). Youth Inspectors will be 16 to 17 years of age and will not be permitted to perform undercover buy inspections one month prior to turning 18 years of age. They will work an average of 20-32 hours per week. The Youth Inspectors are granted immunity for possession of tobacco products by Maryland Law Section 10-108. Each Youth Inspector is assigned a three digit identification number to conceal their identity.

The Adult Inspectors will pick up the Youth Inspectors at home or with written parental consent from school and proceed to the first of several tobacco outlets to be inspected for that day. The Adult Inspectors will park in a safe inconspicuous space; and prior to entering the outlet, provide the Youth Inspector with money should the inspection result in a buy. If it has been determined that the outlet is safe, the Youth Inspector and the Adult Inspector will enter the outlet separately. If the Adult Inspector cannot accompany the minor into the outlet, the Adult Inspector must have the Youth Inspector in clear view at all times. If an outlet appears to be unsafe, the Youth Inspector will not be permitted to enter the outlet. The protection of the Youth Inspector is of the utmost importance; therefore, they are in sight of the Adult Inspector at all times. The Youth Inspector will enter and proceed to the counter and attempt to make a purchase. The Adult Inspector will enter right before or right after the Youth Inspector so as to be close enough to hear and observe the attempted buy. If the clerk asks for the Youth Inspector's identification, the Youth Inspector will provide their state (MVA) issued identification. If the clerk asks them their age, they will tell their real age. Once the inspection has been completed, they will return to the vehicle. If a purchase is made, the Youth Inspector will hand over all remaining money and tobacco to the Adult Inspector. The Adult Inspector will complete the inspection form as per BHA protocol. The Youth Inspector will complete a BHA attestation form to verify sale. Once the Adult Inspector has completed the inspection form, they will proceed to the next location until all inspections are completed for that day. When the inspections are completed, the Adult Inspectors will drop the Youth Inspectors off at home. The youth are not permitted to be dropped off any place other than their home. The completed inspection forms are delivered to the BHA Synar Coordinator for analysis. The data will be entered into an excel spreadsheet and uploaded into Synar Survey Estimation System software (SSES).

APPENDIX D: LIST SAMPLING FRAME COVERAGE STUDY

(LIST FRAME ONLY)

State: Maryland
FFY: 2018

1. **Calendar year of the coverage study:** 2016

2. a. **Unweighted percent coverage found:** 96.98%
   b. **Weighted percent coverage found:** 96.98%
   c. **Number of outlets found through canvassing:** 199
   d. **Number of outlets matched on the list frame:** 193

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

Via email from Mary Ewald on September 30, 2015, 8:19 a.m., SAMHSA approved Maryland's Coverage Study methodology, which is in keeping with the Coverage Study Guidance area frame criteria.

The state was divided into the 23 counties and Baltimore City – i.e., jurisdictions. The relative state population for each jurisdiction was multiplied by 200 (SAMHSA's recommended total number of sampled outlets for the coverage study) to ascertain the pre-determined number of outlets to be found in each jurisdiction. Based on this, those counties with less than 7 tobacco outlets to be found were combined with adjacent jurisdictions to form a single canvassing area within the region. This resulted in the State being divided into 12 total canvassing areas.

   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.)* Multi-Stage Sample Design

b. Describe the sampling methods.

The sample design consists of stratifying the state into 6 regions (Baltimore, Suburban Washington, Southern Maryland, Western Maryland, Upper Eastern Shore and Lower Eastern Shore). The area frame utilized for the coverage study coincides with a multi-stage sampling frame plan. The sample design consists of stratifying the state into 12 strata as outlined below.

Stage One – Breaking down the total state population into 23 counties and Baltimore City based on the "Census Bureau – Total Resident Population for Maryland's Jurisdiction, 2000-2014."

Stage Two - Determining the relative percentage of State population for each County and Baltimore City. This is accomplished by dividing the population for the respective County and Baltimore City by the total state population.

Stage Three – Using SAMHSA's recommended sampling of 200 outlets as a base line, the relative percentage of the state population for each jurisdiction was multiplied by 200 to determine the number of recommended outlets for each jurisdiction.

Stage Four – Looking at jurisdiction in relation to the number of recommended outlets. Jurisdictions with less than 7 outlets were combined to form a single canvassing area within the region. (Regions are based on jurisdictions grouped together according to the U.S. Census Bureau).

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?**

   CA is Canvassing Area.

   CA1 = 19; CA2=28; CA3=14; CA4=10; CA5=21; CA6=8; CA7=34; CA8=30; CA9=12; CA10=9; CA11=8; CA12=7. Total - 200

   b. **What were the starting points for each area?** A major route crossing a minor route.

   c. **Were these starting points randomly chosen?**

   ☒ **Yes** ☐ **No**

   d. **Describe the selection of the starting points.**

   Using Maryland Department of Transportation state-wide and county-specific street maps (2015-2016), random starting points were determined by locating a major travel route crossing over a secondary route and completely canvassing the area until the required number of outlets was found.

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

   1. Maryland Department of Transportation state-wide and county-specific street maps (2015-2016) will be used to select a random starting point for each canvassing area.

a) The random starting point will be determined by locating a major travel route crossing over a secondary route and completely canvassing the area until the required number of outlets were found.
b) Travel routes will be planned carefully for efficiency and thoroughness.
c) Outlets located on either side of a street acting as a boundary to a census tract will be inspected for inclusion in the coverage study.

2. All eligible outlets that could possibly sell tobacco products and that are accessible to minors will be physically inspected.

a) The Inspector will enter the location to verify the availability of tobacco.
b) If tobacco products are sold, the Inspector will initiate the interview. If tobacco products are not readily seen, the Inspector will ask a clerk if tobacco products are sold. For example, "Do you sell cigarettes?" If the business does not sell, the Inspector will leave the establishment.
c) If an outlet is closed at the time of canvassing, the Inspector will make an additional attempt by returning to the outlet after the area has been completely canvassed. If the outlet is still closed at the time of the second attempt, a phone interview will be conducted to collect the necessary information.

3. Inspectors will enter the Coverage Study Inspection Form data onto electronic tablets. The form will be used to conduct an interview once an outlet is identified as selling tobacco and accessible to minors.

a) All interviews will begin with the Inspector identifying himself/herself by presenting their Department of Health and Mental Hygiene, Behavioral Health Administration ID and announcing that a field study is being conducted relating to the sale of tobacco products.
b) The Inspector will indicate that as a tobacco retailer, they will be asked to participate in a brief interview pertaining to general business information. The Inspector will ask to speak with the person best suited to respond.
c) The Inspector will conduct the interview and record the information. The Inspector will be aware that the business may not be completely forthcoming with information. Therefore, observations will be made of other available resources such as licenses, signage, etc. that would provide additional information useful in the study.
d) Upon completion of the interview, the Inspector will thank the employee and reference his business card should additional questions arise.
e) When the Inspector completes the canvassing of a jurisdiction, he will complete the Coverage Study Tracking Form (Attachment C).
f) As each jurisdiction is completed, the Inspector will make a final check that all routes and locations on the map have been covered by reviewing Attachment C and by verifying that all necessary information about the

identified outlets has been gathered and recorded on the Coverage Study Inspection Forms. These forms will be returned to the Tobacco Compliance Chief.

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

All eligible outlets (retail outlets) that could possibly sell tobacco products and that are accessible to minors will be physically inspected.

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).

Using the information collected on the Coverage Study Interview Forms, the Tobacco Compliance Chief will cross reference this information with the Licensed Tobacco Retailer list. When a match is found, the "Control Number" assigned to the Licensed Tobacco Retailer listing will be recorded on the form. Obvious indicators qualifying as matches will include the name of business, Control Number and address. When a match is not found, a more thorough investigation will occur to explore variations in street names, change in outlet name, misspellings, transposed numbers, etc. If necessary, the Chief will check back with the Inspector or contact the relevant outlet/s to clarify and confirm the situation. After the necessary investigation is complete, if the outlet is not found in the list firm, it will be classified as missing from the list frame.

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

After all inspection forms have been analyzed for matches, the following information will be recorded and calculated:

- the total number *(b)* of matched outlets.
- the total number of *(n)* of outlets found
- Coverage Rate = 100 x *b/n*

Analysis of coverage rates will be conducted for strata on an individual basis and in aggregate. However, it is the coverage rate for all outlets identified in the field that is the basis for determining the coverage rate of the Licensed Tobacco Retailer list.