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# **ANNUAL SYNAR REPORT**

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

OMB № 0930-0222

**FFY 2020**

**State: District of Columbia**

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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 (c)).

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

In accordance with the tobacco regulations, states are required to provide detailed information on progress made in enforcing youth tobacco access laws (FFY 2019 Compliance Progress) and future plans to ensure compliance with the Synar requirements to reduce youth tobacco access rates (FFY 2020 Intended Use Plan). These data are required by 42 U.S.C. 300x-26 and will be used by the Secretary to evaluate state compliance with the statute. The information to be reported is public (45 CFR 96.130 (f)) and is not confidential. Part of the mission of the Center for Substance Abuse Prevention (CSAP) is to assist states<sup>1</sup> by supporting Synar activities and providing technical assistance helpful in determining the type of enforcement measures and control strategies that are most effective. This information is helpful to CSAP in improving technical assistance resources and expertise on enforcement efforts and tobacco control program support activities, including state Synar program support services, through an enhanced technical assistance program involving conferences and workshops, development of training materials and guidance documents, and onsite technical assistance consultation.

### **How the Synar report can help states**

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

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

## 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, 2019 and must be submitted in the format specified by these instructions. Use of the approved format will avoid delays in the review and approval process. The chief executive officer (or an authorized designee) of the applicant organization must sign page one of the ASR certifying that the state has complied with all reporting requirements.

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

- FFY 2020 Synar Survey Results: States that use the Synar Survey Estimation System (SSES) must upload one copy of *SSES Tables 1–8* (in Excel) to WebBGAS. **Please note that, beginning with the FFY 2019 ASR, SSES will generate Tables 6, 7, and 8, which are based on the optional microdata on product type, retail outlet type, and whether identification was requested. If your state does not submit these optional data, Tables 6, 7, and 8 will be blank. Tables 6, 7, and 8 are generated for the convenience of the state, and states are not required to submit completed versions of Tables 6, 7, or 8.** States that do not use SSES must upload one copy of ASR Forms 1, 4, and 5, and Forms 2 and 3, if applicable, (in Excel), as well as a database with the raw inspection data to WebBGAS.
- Synar Inspection Form: States must upload one blank copy of the inspection form used to record the result of each Synar inspection.
- Synar Inspection Protocol: States must upload a copy of the protocol used to train inspection teams on conducting and reporting the results of the Synar inspections. This document should be different than the Appendix C attached to the Annual Synar Report.
- A scanned copy of the signed Funding Agreements/Certifications

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

## FFY 2020: FUNDING AGREEMENTS/CERTIFICATIONS

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

<b>PUBLIC HEALTH SERVICES ACT AND SYNAR AMENDMENT</b>
42 U.S.C. 300x-26 requires each state to submit an annual report of its progress in meeting the requirements of the Synar Amendment and its implementing regulation (45 C.F.R. 96.130) to the Secretary of the Department of Health and Human Services. By signing below, the chief executive officer (or an authorized designee) of the applicant organization certifies that the state has complied with these reporting requirements and the certifications as set forth below.
<b>SYNAR SURVEY SAMPLING METHODOLOGY</b>
The state certifies that the Synar survey sampling methodology on file with the Center for Substance Abuse Prevention and submitted with the Annual Synar Report for FFY 2020 is up-to-date and approved by the Center for Substance Abuse Prevention.
<b>SYNAR SURVEY INSPECTION PROTOCOL</b>
The state certifies that the Synar Survey Inspection Protocol on file with the Center for Substance Abuse Prevention and submitted with the Annual Synar Report for FFY 2020 is up-to-date and approved by the Center for Substance Abuse Prevention.
State: District of Columbia
Name of Chief Executive Officer or Designee: Barbara J. Bazron Ph.D.
Signature of CEO or Designee: 
Title: Director DC Department of Behavioral Health      Date Signed: 12-6-19
If signed by a designee, a copy of the designation must be attached.

**SECTION I: FFY 2019 (Compliance Progress)**

**YOUTH ACCESS LAWS, ACTIVITIES, AND ENFORCEMENT**

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

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

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

Yes  No

*If Yes, current minimum age:*  19  20  21  Other (Please specify.) \_\_\_\_\_

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

Yes  No

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

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

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

Licensing of tobacco vendors  Yes  No

Penalties for sales to minors  Yes  No

Vending machines  Yes  No

Added product categories to youth access law  Yes  No

**2. Describe how the Annual Synar Report (see 45 C.F.R. 96.130(e)) was made public within the state prior to submission of the ASR. (Check all that apply.)**

Placed on file for public review

Posted on a state agency Web site (Please provide exact Web address and the date when the FFY 2020 ASR was posted to this Web address.)

*Web address:* <https://dbh.dc.gov>

*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.) Media Release and the DC DBH Agency Newsletter

**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:**

D.C. Department of Behavioral Health (DBH)

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

- Yes  No

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

D.C. Department of Behavioral Health (DBH)

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):**

D.C. Metropolitan Police Department

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).**

D.C. Health

- b. Has the responsible agency changed since last year's Annual Synar Report?**

- Yes  No

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

- Are the same
- Have a formal written memorandum of agreement
- Have an informal partnership

- Conduct joint planning activities
- Combine resources
- Have other collaborative arrangement(s) *(Please describe.)* \_\_\_\_\_
- 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)).**

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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 2019 (see 42 U.S.C. 300x-26 and 45 C.F.R. 96.130(e)).

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

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

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

PENALTY	OWNERS	CLERKS	TOTAL
Number of citations issued	NA	23	23
Number of fines assessed	NA	23	23
Number of permits/licenses suspended	UNK		UNK
Number of permits/licenses revoked	UNK		UNK
Other (Please describe.)	NA	NA	NA

- 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:

In order to minimize the risk of bias to the survey results from retailers alerting each other to presence of the survey team, the District ensured that the vehicles in which teams use to conduct inspections (e.g., white government van, police cruiser, etc.) remained outside of direct sight of the establishment (e.g., one block away). In addition, when violations took place, the team continued inspections in another area within the Ward and revisited the area where the violation took place at a later date during the inspection timeframe.

- 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

Education of merchants, through the distribution printed material such as counter mats, window clings and folders displaying the legislation.

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

Community education regarding youth access laws

Media use to publicize compliance inspection results

The compliance inspection results are made public through the DC Department of Behavioral Health's website (<https://dbh.dc.gov>). A media release will be shared to inform the public of its release.

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

Other activities (Please list.) \_\_\_\_\_

## SYNAR SURVEY METHODS AND RESULTS

The following questions pertain to the survey methodology and results of the Synar survey used by the state to meet the requirements of the Synar Regulation in FFY 2019 (*see 42 U.S.C. 300x-26 and 45 C.F.R. 96.130*).

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

Yes  No

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

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

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

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

Yes  No

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

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

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

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

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

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

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

plus      (1.645      times      )      equals

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

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

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

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

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

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

- Yes  No  No stratification

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

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

- Yes  No

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

*If No, go to Question 7g.*

**Were any certainty primary sampling units selected this year?**

- Yes  No

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

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

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

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

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

Yes  No

If Yes, answer the following questions about its coverage.

a. The calendar year of the latest Sampling frame coverage study: 2017

b. Percent coverage from the latest Sampling frame coverage study: 88.24

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 7/18/19 to 8/23/19  
MM/DD/YY MM/DD/YY

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

6

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

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

**SECTION II: FFY 2020 (Intended Use):**

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

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

- Synar sampling methodology  Yes  No  
Synar inspection protocol  Yes  No

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

**2. Please describe the state’s plans to maintain and/or reduce the target rate for Synar inspections to be completed in FFY 2020. Include a brief description of plans for law enforcement efforts to enforce youth tobacco access laws, activities that support law enforcement efforts to enforce youth tobacco access laws, and any anticipated changes in youth tobacco access legislation or regulation in the state.**

The DC Department of Behavioral Health (DBH) is working with the DC Health on conducting merchant education, as well as working with DC Department of Consumer and Regulatory Affairs (DCRA) to receive the updated list of new tobacco vendors on a quarterly bases. Additionally, DBH will share a list of vendors who violated with DCRA. Training will be provided to law enforcement officers on the Synar protocol. Also, DBH raised awareness around tobacco use and other substances through the launching of its Tobacco 21 Campaign. DBH used this social marketing campaign to educate the community and merchants on the new law through printed materials such as counter mats, window clings and folders displaying the legislation as well as social media messaging. DC Health also supported the expansion of this effort through releasing its own Tobacco 21 campaign advertisements.

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

- a. Limited resources for law enforcement of youth access laws  
| \_\_\_\_\_ |
- b. Limited resources for activities to support enforcement and compliance with youth tobacco access laws  
| \_\_\_\_\_ |
- c. Limitations in the state youth tobacco access laws  
| \_\_\_\_\_ |
- d. Limited public support for enforcement of youth tobacco access laws

[Empty text box]

- e. Limitations on completeness/accuracy of list of tobacco outlets

[Empty text box]

- f. Limited expertise in survey methodology

[Empty text box]

- g. Laws/regulations limiting the use of minors in tobacco inspections

[Empty text box]

- h. Difficulties recruiting youth inspectors

[Empty text box]

- i. Issues regarding the balance of inspections conducted by youth inspectors age 15 and under

[Empty text box]

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

[Empty text box]

- k. Geographic, demographic, and logistical considerations in conducting inspections

[Empty text box]

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

[Empty text box]

- m. Issues regarding sources of tobacco under tribal jurisdiction

[Empty text box]

- n. Other challenges (*Please list.*) The District had no challenges in complying with the Synar regulations.

[Empty text box]

## APPENDIX A: FORMS 1–5 TEMPLATES

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

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

**Instructions for Completing Form 1:** In the top right-hand corner of the Excel form, provide the state name and reporting federal fiscal year (FFY 2020). Provide the remaining information by stratum if stratification was used. Make copies of the form if additional rows are needed to list all the strata.

Column 1: *If stratification was used:*

1(a) Sequentially number each row.

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

*If no stratification was used:*

1(a) Leave blank.

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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



## **FORM 2 (Optional)**

### **Appropriate for stratified simple or systematic random sampling designs.**

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

**Instructions for Completing Form 2:** In the top right-hand corner of the Excel form, provide the state name and reporting federal fiscal year (FFY 2020).

- Column 1: Write in the name of each stratum into which the sample was divided. These should match the strata reported in Column 1(b) of Form 1.
- Column 2: Report the number of outlets in the sampling frame in each stratum. These numbers should match the numbers reported for the respective strata in Column 2(c) of Form 1.
- Column 3: Report the original sample size (the number of outlets originally selected, *including* substitutes or replacements) for each stratum.
- Column 4: Report the number of sample outlets in each stratum that were found to be eligible during the inspections. Note that this number must be less than or equal to the number reported in Column 3 for the respective strata.
- Column 5: Report the number of eligible outlets in each stratum for which an inspection was completed. Note that this number must be less than or equal to the number reported in Column 4. These numbers should match the numbers reported in Column 4(c) of Form 1 for the respective strata.
- Column 6: Report the number of eligible outlets inspected in each stratum that were found in violation. These numbers should match the numbers reported in Column 5(e) 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 4 (Required for all states not using the Synar Survey Estimation System [SSES] to analyze the Synar Survey data)**

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

**Instructions for Completing Form 4:** In the top right-hand corner of the Excel form, provide the state name and reporting federal fiscal year (FFY 2020).

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

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

<b>Inspection Tallies by Reason of Ineligibility or Noncompletion</b>			
		<b>State:</b> _____	
		<b>FFY: 2020</b>	
<b>(1) INELIGIBLE</b>		<b>(2) ELIGIBLE</b>	
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/Cartron sale only		Tobacco out of stock	
Vending machine broken		Ran out of time	
Duplicate		Other noncompletion reason(s) <i>(Describe.)</i>	
Other ineligibility reason(s) <i>(Describe.)</i>			
<b>Total</b>		<b>Total</b>	

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

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

**Instructions for Completing Form 5:** In the top right-hand corner of the Excel form, provide the state name and reporting federal fiscal year (FFY 2020).

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

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

If the inspectors are age eligible but the gender of the inspector is unknown, include those inspections in the "Other" row. Calculate subtotals for males and females in rows marked "Male Subtotal" and "Female Subtotal." Sum subtotals for Male, Female, and Other and record in the bottom row marked "Total." Verify that that the total of attempted buys and successful buys equals the total for Column 4(c) and Column 5(e), 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: 2020</b>
	(1) Attempted Buys	(2) Successful Buys
<b>Male</b>		
15 years		
16 years		
17 years		
18 years		
19 years		
<b>20 years</b>		
<b>Male Subtotal</b>		
<b>Female</b>		
15 years		
16 years		
17 years		
18 years		
19 years		
<b>20 years</b>		
<b>Female Subtotal</b>		
<b>Other</b>		
<b>Total</b>		

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

**CSAP-SYNAR REPORT**

State	DC
Federal Fiscal Year (FFY)	2019
Date	10/21/2019 15:36
Data	Copy of SSES_v7_0.xlsm
Program Version	Version 7.0
Analysis Option	Stratified SRS with FPC

**Estimates**

Unweighted Retailer Violation Rate	4.9%
Weighted Retailer Violation Rate	4.9%
Standard Error	0.5%
Is SAMHSA Precision Requirement met?	YES
Right-sided 95% Confidence Interval	[0.0%, 5.7%]
Two-sided 95% Confidence Interval	[4.0%, 5.9%]
Design Effect	1.0
Accuracy Rate (unweighted)	90.4%
Accuracy Rate (weighted)	90.3%
Completion Rate (unweighted)	100.0%

**Sample Size for Current Year**

Effective Sample Size	219
Target (Minimum) Sample Size	351
Original Sample Size	519
Eligible Sample Size	469
Final Sample Size	469
Overall Sampling Rate	76.8%

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

STATE: DC  
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	85	70	N/A	N/A	63	52	52	5	9.6%	
2	2	130	116	N/A	N/A	101	90	90	4	4.4%	
3	3	42	38	N/A	N/A	33	30	30	1	3.3%	
4	4	71	71	N/A	N/A	56	56	56	2	3.6%	
5	5	126	117	N/A	N/A	99	92	92	6	6.5%	
6	6	78	68	N/A	N/A	62	54	54	1	1.9%	
7	7	63	58	N/A	N/A	48	44	44	2	4.5%	
8	8	81	72	N/A	N/A	57	51	51	2	3.9%	
<b>Total</b>		<b>676</b>	<b>610</b>			<b>519</b>	<b>469</b>	<b>469</b>	<b>23</b>	<b>4.9%</b>	<b>0.5%</b>
<b>Over the Counter Outlets</b>											
1	1	85	70	N/A	N/A	63	52	52	5	9.6%	
2	2	130	116	N/A	N/A	101	90	90	4	4.4%	
3	3	42	38	N/A	N/A	33	30	30	1	3.3%	
4	4	71	71	N/A	N/A	56	56	56	2	3.6%	
5	5	126	117	N/A	N/A	99	92	92	6	6.5%	
6	6	78	68	N/A	N/A	62	54	54	1	1.9%	
7	7	63	58	N/A	N/A	48	44	44	2	4.5%	
8	8	81	72	N/A	N/A	57	51	51	2	3.9%	
<b>Total</b>		<b>676</b>	<b>610</b>			<b>519</b>	<b>469</b>	<b>469</b>	<b>23</b>	<b>4.9%</b>	<b>0.5%</b>
<b>Vending Machines</b>											
1	1	0	0	N/A	N/A	0	0	0	0	0.0%	
2	2	0	0	N/A	N/A	0	0	0	0	0.0%	
3	3	0	0	N/A	N/A	0	0	0	0	0.0%	
4	4	0	0	N/A	N/A	0	0	0	0	0.0%	
5	5	0	0	N/A	N/A	0	0	0	0	0.0%	
6	6	0	0	N/A	N/A	0	0	0	0	0.0%	
7	7	0	0	N/A	N/A	0	0	0	0	0.0%	
8	8	0	0	N/A	N/A	0	0	0	0	0.0%	
<b>Total</b>		<b>0</b>	<b>0</b>			<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0.0%</b>	<b>0.0%</b>

SSES Table 3 (Synar Survey Sample Tally Summary)

STATE: DC  
 FFY: 2019

Disposition Code	Description	Count	Subtotal
EC	Eligible and inspection complete outlet	469	
Total (Eligible Completes)			469
N1	In operation but closed at time of visit	0	
N2	Unsafe to access	0	
N3	Presence of police	0	
N4	Youth inspector knows salesperson	0	
N5	Moved to new location but not inspected	0	
N6	Drive thru only/youth inspector has no drivers license	0	
N7	Tobacco out of stock	0	
N8	Run out of time	0	
N9	Other noncompletion	0	
Total (Eligible Noncompletes)			0
I1	Out of Business	27	
I2	Does not sell tobacco products	19	
I3	Inaccessible by youth	0	
I4	Private club or private residence	0	
I5	Temporary closure	4	
I6	Can't be located	0	
I7	Wholesale only/Carton sale only	0	
I8	Vending machine broken	0	
I9	Duplicate	0	
I10	Other ineligibility	0	
Total (Ineligibles)			50
Grand Total			519

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

STATE: DC  
FFY: 2019

**Frequency Distribution**

Gender	Age	Number of Inspectors	Attempted Buys	Successful Buys
Male	14	0	0	0
	15	0	0	0
	16	2	207	6
	17	1	72	4
	18	0	0	0
	19	0	0	0
	20	0	0	0
	Subtotal		3	279
Female	14	0	0	0
	15	0	0	0
	16	1	89	2
	17	2	101	11
	18	0	0	0
	19	0	0	0
	20	0	0	0
	Subtotal		3	190
Other		0	0	0
Grand Total		6	469	23

**Buy Rate in Percent by Age and Gender**

Age	Male	Female	Total
14	0.0%	0.0%	0.0%
15	0.0%	0.0%	0.0%
16	2.9%	2.2%	2.7%
17	5.6%	10.9%	8.7%
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	3.6%	6.8%	4.9%

Outlet ID	Sampling	S	Population	Variance	St	Population	Response	EC Violation	FI	Outlet Type	Youth Inspi	Youth Inspi	Youth Inspi	VM	Frame	Other (5)
2020001	1	85	1	85	1	85	EC		1	OTC	SH	F	17			
2020002	1	85	1	85	1	85	EC			OTC	ZH	F	17			1
2020003	1	85	1	85	1	85	EC			OTC	SH	F	17			1
2020004	1	85	1	85	1	85	EC			OTC	ZH	F	17			1
2020005	1	85	1	85	1	85	EC			OTC	ZH	F	17			1
2020006	1	85	1	85	1	85	EC	1		OTC	SH	F	17			1
2020007	1	85	1	85	1	85	EC			OTC	AN	M	16			1
2020008	1	85	1	85	1	85	EC			OTC	ZH	F	17			1
2020009	1	85	1	85	1	85	EC			OTC	SH	F	17			1
2020010	1	85	1	85	1	85	EC			OTC	SH	F	17			1
2020011	1	85	1	85	1	85	EC			OTC	SH	F	17			1
2020012	1	85	1	85	1	85	EC			OTC	AN	M	16			1
2020013	1	85	1	85	1	85	EC			OTC	SH	F	17			1
2020014	1	85	1	85	1	85	EC			OTC	AN	M	16			1
2020015	1	85	1	85	1	85	EC			OTC	EO	M	17			1
2020016	1	85	1	85	1	85	EC			OTC	AM	F	16			
2020017	1	85	1	85	1	85	EC			OTC	AN	M	16			

Type of Product  
 Cigarettes (1),  
 Small Cigars/Cigarettes (2),  
 Smokeless Tobacco (3),  
 ENDS (4),  
 Other (5)

2020018	1	85	1	85	EC		OTC	AM	F	16	1
2020019	1	85	1	85	EC		OTC	AN	M	16	1
2020020	1	85	1	85	I1		OTC	AN	M	16	
2020021	1	85	1	85	EC		OTC	AM	F	16	1
2020022	1	85	1	85	EC		OTC	AN	M	16	1
2020023	1	85	1	85	EC		OTC	AM	F	16	1
2020024	1	85	1	85	EC		OTC	AM	F	16	1
2020025	1	85	1	85	I1		OTC	AN	M	16	
2020026	1	85	1	85	EC		OTC	EO	M	17	1
2020027	1	85	1	85	EC		OTC	AN	M	16	1
2020028	1	85	1	85	EC		OTC	AM	F	16	1
2020029	1	85	1	85	EC		OTC	AN	M	16	1
2020030	1	85	1	85	EC		OTC	AN	M	16	1
2020031	1	85	1	85	EC		OTC	AM	F	16	1
2020032	1	85	1	85	EC	1	OTC	ZH	F	17	1
2020033	1	85	1	85	EC		OTC	EO	M	17	1
2020035	1	85	1	85	EC		OTC	EO	M	17	1
2020036	1	85	1	85	EC		OTC	AN	M	16	1
2020037	1	85	1	85	EC		OTC	AN	M	16	1
2020038	1	85	1	85	I1		OTC	SH	F	17	
2020039	1	85	1	85	EC		OTC	SH	F	17	1
2020040	1	85	1	85	EC		OTC	AN	M	16	
2020041	1	85	1	85	I1		OTC	SH	F	17	
2020042	1	85	1	85	I1		OTC	EO	M	17	
2020043	1	85	1	85	EC		OTC	AM	F	16	1
2020044	1	85	1	85	EC	1	OTC	AM	F	16	1
2020045	1	85	1	85	EC		OTC	AM	F	16	1
2020046	1	85	1	85	EC		OTC	SH	F	17	1
2020048	1	85	1	85	EC		OTC	AN	M	16	1
2020049	1	85	1	85	EC		OTC	AN	M	16	1
2020050	1	85	1	85	EC		OTC	AN	M	16	1
2020051	1	85	1	85	EC		OTC	AN	M	16	1
2020052	1	85	1	85	EC		OTC	AN	M	16	1
2020053	1	85	1	85	EC		OTC	EO	M	17	1

2020054	1	85	1	85	EC	1	OTC	SH	F	17	1
2020055	1	85	1	85	EC		OTC	AN	M	16	1
2020056	1	85	1	85	EC		OTC	EO	M	17	1
2020057	1	85	1	85	I1		OTC	SH	F	17	
2020058	1	85	1	85	EC		OTC	AN	M	16	1
2020059	1	85	1	85	EC		OTC	AN	M	16	1
2020060	1	85	1	85	I2		OTC	ZH	F	17	
2020061	1	85	1	85	EC	1	OTC	ZH	F	17	1
2020062	1	85	1	85	EC		OTC	AN	M	16	1
2020063	2	130	2	130	EC	1	OTC	ZH	F	17	1
2020064	1	85	1	85	I2		OTC	ZH	F	17	
2020065	1	85	1	85	EC		OTC	AM	F	16	1
2020066	1	85	1	85	EC		OTC	AN	M	16	1
2020067	2	130	2	130	EC		OTC	SH	F	17	1
2020068	2	130	2	130	EC		OTC	AM	F	16	1
2020069	2	130	2	130	EC		OTC	SH	F	17	1
2020070	2	130	2	130	EC		OTC	SH	F	17	1
2020071	2	130	2	130	EC		OTC	AN	M	16	1
2020072	2	130	2	130	EC		OTC	AM	F	16	1
2020073	2	130	2	130	EC		OTC	AN	M	16	1
2020074	2	130	2	130	EC	1	OTC	AN	M	16	1
2020075	2	130	2	130	EC		OTC	SH	F	17	1
2020076	2	130	2	130	EC		OTC	AN	M	16	1
2020077	2	130	2	130	EC		OTC	SH	F	17	1
2020078	2	130	2	130	EC		OTC	AM	F	16	1
2020079	2	130	2	130	EC		OTC	SH	F	17	1
2020080	2	130	2	130	I2		OTC	SH	F	17	
2020081	2	130	2	130	EC		OTC	SH	F	17	1
2020082	2	130	2	130	EC		OTC	AM	F	16	1
2020083	2	130	2	130	EC		OTC	AM	F	16	1
2020084	2	130	2	130	EC		OTC	AM	F	16	1
2020085	2	130	2	130	EC		OTC	AM	F	16	1
2020086	2	130	2	130	EC		OTC	EO	M	17	1
2020087	2	130	2	130	EC	1	OTC	SH	F	17	1

2020088	2	130	2	130	EC	OTC	ZH	F	17	1
2020090	2	130	2	130	EC	OTC	AM	F	16	1
2020091	2	130	2	130	EC	OTC	AN	M	16	1
2020092	2	130	2	130	EC	OTC	AM	F	16	1
2020093	2	130	2	130	EC	OTC	AN	M	16	1
2020094	2	130	2	130	I2	OTC	AN	M	16	
2020095	2	130	2	130	EC	OTC	AM	F	16	1
2020096	2	130	2	130	EC	OTC	AN	M	16	1
2020097	2	130	2	130	EC	OTC	SH	F	17	1
2020098	2	130	2	130	EC	OTC	AM	F	16	1
2020099	2	130	2	130	EC	OTC	AN	M	16	1
2020100	2	130	2	130	EC	OTC	AM	F	16	1
2020101	2	130	2	130	EC	OTC	AM	F	16	1
2020102	2	130	2	130	EC	OTC	AM	F	16	1
2020103	2	130	2	130	EC	OTC	AM	F	16	1
2020104	2	130	2	130	EC	OTC	SH	F	17	1
2020105	2	130	2	130	EC	OTC	AN	M	16	1
2020106	2	130	2	130	EC	OTC	AN	M	16	1
2020107	2	130	2	130	EC	OTC	SH	F	17	1
2020108	2	130	2	130	EC	OTC	AM	F	16	1
2020109	2	130	2	130	I2	OTC	AM	F	16	
2020110	2	130	2	130	EC	OTC	AM	F	16	1
2020111	2	130	2	130	EC	OTC	AM	F	16	1
2020112	2	130	2	130	EC	OTC	AM	F	16	1
2020113	2	130	2	130	I2	OTC	AM	F	16	
2020114	2	130	2	130	EC	OTC	AM	F	16	1
2020115	2	130	2	130	EC	OTC	AM	F	16	1
2020116	2	130	2	130	EC	OTC	AN	M	16	1
2020117	2	130	2	130	EC	OTC	SH	F	17	1
2020118	2	130	2	130	EC	OTC	ZH	F	17	1
2020119	2	130	2	130	EC	OTC	ZH	F	17	1
2020120	2	130	2	130	EC	OTC	AM	F	16	1
2020121	2	130	2	130	EC	OTC	AM	F	16	1
2020122	6	78	6	78	EC	OTC	AN	M	16	1

**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? (e.g., address, business name, business license number)**

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