

# **ANNUAL SYNAR REPORT**

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

**OMB № 0930-0222**

**FFY 2026**

**State: KY**

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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 and young adult tobacco access laws (FFY 2025 Compliance Progress) and future plans to ensure compliance with the Synar requirements to reduce youth and young adult tobacco access rates (FFY 2026 Intended Use Plan). These data are required by 42 U.S.C. 300x-26 and will be used by the Secretary to evaluate state compliance with the statute. Part of the mission of the Center for Substance Abuse Prevention (CSAP) is to assist states<sup>1</sup> by supporting Synar activities and providing technical assistance helpful in determining the type of enforcement measures and control strategies that are most effective. This information is helpful to CSAP in improving technical assistance resources and expertise on enforcement efforts and tobacco control program support activities, including state Synar program support services, through an enhanced technical assistance program involving conferences and workshops, development of training materials and guidance documents, and onsite technical assistance consultation.

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

The information gathered for the Synar report can help states describe and analyze substate needs for program enhancements. These data can also be used to report to the state legislature and other state and local organizations on progress made to date in enforcing youth and young adult tobacco access laws when aggregated statistical data from state Synar reports can demonstrate to the Secretary the national progress in reducing youth and young adult 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

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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).

with youth and young adult tobacco access laws.

### **Getting assistance in completing the Synar report**

If you have questions about programmatic issues, you may call CSAP's Division of Primary Prevention 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 your Grants Management Specialist in the 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, 2025 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 2026 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, in the FFY 2026 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 2026: 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 2026 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 2026 is up-to-date and approved by the Center for Substance Abuse Prevention.
<b>State:</b> KY
<b>Name of Chief Executive Officer or Designee:</b> Steven J. Stack, MD, MBA
<b>Signature of CEO or Designee:</b> <i>Steven Stack</i>
<b>Title:</b> Secretary, Cabinet of Health and Family Services <b>Date Signed:</b> 11/30/2025
<b>If signed by a designee, a copy of the designation must be attached.</b>

**SECTION I: FFY 2025 (Compliance Progress)****YOUTH AND YOUNG ADULT 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 21.

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

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

☐ Yes ☒ No

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

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

☐ Yes ☒ No

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

- ☐ Changed to require that law enforcement conduct inspections of tobacco outlets  
☐ Changed to make it illegal for youth and young adults 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 and young adult 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 2026 ASR was posted to this Web address.)

Web address: <https://dbhddid.ky.gov/sud/synar>

Date published: 11/7/2025

☐ 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:**

The Department for Behavioral Health, Developmental and Intellectual Disabilities (DBHDID)

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

☐ Yes ☒ No

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

The Department of Alcoholic Beverage Control (ABC)

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

☐ Yes ☒ No

**c. The state agency(ies) responsible for enforcing youth and young adult tobacco access law(s):**

The Department of Alcoholic Beverage Control (ABC)

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).**

The Tobacco Prevention and Cessation Program of the Department for Public Health (DPH) was the state agency that formerly received CDC funding for tobacco control. However, due to the eradication of the Office for Smoking and Health and subsequent CDC budget cuts, the Smoking Prevention and Cessation program was without staff for several months. Two new staff were hired at the end of November, but the staffing is less than half of what it was before the budget reductions. The staffing issue has delayed scheduled revisions to Kentucky's Tobacco Retail Underage Sales Training.

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 Synar coordinator and the policy analyst for the Kentucky Department for Public Health Tobacco Prevention and Cessation Program used to meet regularly to coordinate tobacco prevention efforts, discuss quality improvements, and address challenges related to the Tobacco Retail Underage Sales Training (TRUST) program. At the end of each fiscal year, they reviewed training outcomes and discussed ways to further engage retailers to participate in the training. The policy analyst was also an active member of the Kentucky Synar Workgroup and attended the group's meetings. On several occasions in the past, the Kentucky Tobacco Prevention and Cessation Program has made funding available to the Synar program to conduct focus groups with tobacco retailers, make needed revisions and enhancements to TRUST, and market TRUST to retailers. These activities ceased due to a budget reduction of the CDC funding.

☐ 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 and young adult 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 and young adult 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)).

The Kentucky Department of Alcoholic Beverage Control (ABC)

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 and young adult 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.) The Kentucky Synar Program contracts with the Kentucky Department of Alcoholic Beverage Control (ABC) to recruit and train youth investigative aides, conduct the inspections, and submit the inspection sheets on a timely basis. ABC hosts the Synar program's TRUST program on its website and has a portal for tobacco retailers to order Tobacco 21 Toolkits.*
- ☐ 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 and young adult access to tobacco law(s) in FFY 2025 (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 and young adult 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 and young adult access to tobacco laws by LOCAL AND/OR STATE LAW ENFORCEMENT AGENCIES (this does not include enforcement of local laws or federal youth and young adult tobacco access laws). Please fill in the number requested. If state law does not allow for an item, please mark "NA" (not applicable). If a response for an item is unknown, please mark "UNK." The chart must be filled in completely.

PENALTY	OWNERS	CLERKS	TOTAL
Number of <u>citations issued</u>	35	35	70
Number of <u>finest assessed</u>	35	35	70
Number of <u>permits/licenses suspended</u>			
Number of <u>permits/licenses revoked</u>			

Other (Please describe.)			
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- 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:*

*Kentucky’s Synar protocol minimizes bias by reducing the possibility that a retail clerk who has experienced a Synar inspection might alert other retailers. For each Synar inspection, an investigative aide and officer enter the store. A second officer waits outside. If no sale has been made, the investigative aide says, “Thank you,” and leaves. In the event of a successful purchase, the aide takes the cigarettes, e-cigarette, or smokeless tobacco to the car with the waiting officer. The officer in the store issues a civil citation to the clerk, which includes a fine.*

*Immediately after the inspection, the inspection form is completed, and the investigative aide and officers drive to the next assigned outlet. The protocol protects the investigative aide, as a displeased retailer may wish to retaliate against what they consider a “sting.” Also, by not informing retailers who are compliant that they have just been inspected (generally on the order of 90%), the number of stores that know Synar checks are being performed is reduced. By reducing the number of stores that know that Synar checks are being performed, the number of stores that may alert other retailers in the area is also reduced.*

- d. Which one of the following best describes the level of enforcement of state youth and young adult 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 and young adult 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 and young adult 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 Kentucky Synar program coordinator continues to solicit support from local health departments, regional prevention centers (RPCs), and community coalitions to distribute high-quality merchant education materials to tobacco/nicotine retailers.*

*During state fiscal year (SFY) 2025, 331 tobacco/nicotine and vape shop outlets received Tobacco 21 Toolkits. Kentucky's merchant education program, the TRUST, continues to be an effective tool for educating clerks and store managers about state and federal tobacco/nicotine laws, ID verification, and how to tactfully refuse a sale if the purchaser appears underage.*

*During SFY 2025, 1,718 tobacco/nicotine retail clerks received TRUST training certification.*

*One of the objectives for the Kentucky Synar Program in 2026 is to create a web-based resource for retailers similar to Connecticut's Tobacco Retailer Clearing House: <https://www.ctclearinghouse.org/tobacco-merchant-resources/>. The website will provide information on state and federal tobacco laws, updates on recent legislation, and retailer tips.*

☐ 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 and young adult access laws)

☒ Community education regarding youth and young adult access laws

*The Kentucky Synar program coordinator, in partnership with the Substance Use Prevention and Promotion Branch's nicotine prevention enhancement specialist, educates state and local stakeholders on any new changes in state or federal law. This year, the Kentucky Legislature passed Senate Bill (SB) 100 (Kentucky Administrative Regulation (KAR) [804 KAR 13:40](#)), which tasked ABC with creating a program to license and monitor the compliance of tobacco/vape retailers. The license is \$500 and must be renewed annually. Stores that sell nicotine/vape products without a current license may be fined up to \$2,000. The regulation also requires that ABC conduct annual compliance checks of every tobacco/nicotine retailer in the state. The law will go into effect on January 1, 2026.*

*The Synar program coordinator participated in the Tobacco Licensing Workgroup, which oversaw the advocacy and education efforts. The Kentucky Synar program provided information on state and federal tobacco laws, fines, past Synar violation trend data, and produced a geomap of all known outlets in Kentucky with special emphasis on tobacco/nicotine outlets within walking distance of schools. This map was used during one of the legislative hearings. The Kentucky Synar program coordinator also developed a brief presentation on the provisions of SB 100 for state and community-level partners.*

☐ Media use to publicize compliance inspection results

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

*The Kentucky Synar Program continues to raise awareness of the number of illegal vape products that target youth and young adults with candy flavors and youth-appealing labeling. This is done through presentations to state-level partners, local service providers, and community coalition members through the Kentucky Tobacco/Nicotine Survey Project.*

*The Kentucky Tobacco Nicotine Survey Project continues to be the most significant community mobilization piece of the Kentucky Synar program. The goals of the mini grants are to:*

- 1) Reduce retail access to tobacco/nicotine products and THC products for persons under the age of 21; and*
- 2) Increase awareness of the harms of youth tobacco/nicotine and/or THC use.*

*Communities must submit an application outlining their proposed follow-up activities and a timeline. Grantees may apply for up to \$2,000. All grantees are required to conduct environmental scans of their local tobacco retailers and provide Tobacco 21 Toolkits to each store. Follow-up activities include:*

- Agreements from retailers to change product placement and/or post signage to limit youth access to ALL tobacco/nicotine and THC products.*
- Photovoice projects developed from photos taken during the scan project.*
- Articles in the local paper about scan project findings.*
- Social media posts about scan project findings.*
- Presentation(s) that display(s) scan project findings for community members, elected officials, law enforcement, local school board officials, etc.*
- Completion of the Counter Tools 'Tobacco Retailer Nation' activity and sharing scan data alongside the density maps/pictographs created.*
- Sending findings to legislators and sharing with community members.*

*Kentucky Agency for Substance Abuse Policy (KASAP) local boards, Drug Free Community grantees, Project Unite coalitions, and other coalitions are invited to participate.*

*This year, 11 youth coalitions were approved for funding to conduct tobacco/nicotine environmental scans.*

☒ **Other activities (Please list.)**

*The tobacco retailer focus groups mentioned in last year's report were completed in March of 2025. Key findings of the focus groups are as follows:*

- In terms of Information Access, retailers obtain information from multiple sources, but gaps exist in consistency and clarity.*
- Training needs exist because while training is widespread, effectiveness varies.*
- Hands-on and refresher formats were suggested.*

- *Enforcement barriers such as peer pressure, customer familiarity, and lack of accountability reduce ID checks in some instances.*

*Customer resistance to ID checks is generally minimal but can lead to stressful interactions. Most participants were aware of House Bill (HB) 11 banning flavored vapes (except for menthol), but training on its implementation varied depending on perceived relevance.*

#### *Recommendations:*

- *Develop a Legislative Update Brief: Create a user-friendly summary of relevant policy changes at the end of each legislative session and provide to retailers.*
- *Expand and Standardize Training: Promote hands-on, scenario-based modules on refusing sales, spotting fake IDs, and de-escalation with customers. Existing resources such as Kentucky's TRUST and the Kentucky Tobacco 21 Toolkit can be further promoted and/or embedded into tobacco policy.*
- *Implement Universal Technology: Encourage the adoption of barcode scanners and point of sale (POS) systems that mandate age verification, to automate the process.*
- *Enhance Enforcement Structures: Consider leaning more on a regulatory body, like ABC, to increase their enforcement efforts specifically for tobacco retailers.*
- *Support Peer Learning: Facilitate communication channels between compliant retailers and those needing support.*

## 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 2025 (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.

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

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

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

☒ Yes ☐ No

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

**a. The calendar year of the latest Sampling frame coverage study:** 2025

**b. Percent coverage from the latest Sampling frame coverage study:** 93.8%

**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:** 2028

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

☐ Yes ☒ No

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

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

**b. Provide the inspection period: From** 6/2/2025 **to** 9/5/2025  
MM/DD/YY MM/DD/YY

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

28

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 2026 (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 and young adult 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 2026. Include a brief description of plans for law enforcement efforts to enforce youth and young adult tobacco access laws, activities that support law enforcement efforts to enforce youth and young adult tobacco access laws, and any anticipated changes in youth and young adult tobacco access legislation or regulation in the state.

*ABC will continue to conduct roughly 250 FDA inspections per month, while also conducting Synar inspections during the summer months. The new Kentucky licensing law requires ABC to conduct at least one annual inspection of every retailer in Kentucky. This will greatly boost enforcement efforts and ensure that retailers that may have not been previously inspected can now be held accountable.*

*The Kentucky Tobacco/Nicotine Survey Project, mentioned in section I question f, helps raise local awareness for the need for more compliance checks to curb availability of tobacco and nicotine products to underage youth.*

### 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 and young adult access laws

*Kentucky has limited funding for enforcement of state tobacco laws. In 2015, due to budget cuts, ongoing state-funded inspections (independent of the Synar inspections) were halted. Enforcement of state tobacco laws is currently limited to annual random Synar inspections. The number of these inspections vary from year to year depending on the previous year's retail violation rate, but average from 350-450. This year's number of inspections was slightly lower. Three hundred and forty-eight (348) inspections were conducted from a sample of 376. The list frame contained 4,452 outlets, meaning that only 8.4% of known retailers were inspected for compliance with Kentucky (nonfederal) tobacco laws. It is anticipated this will improve once the new licensing law goes into effect on January 1, 2026.*

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

- ☐ Limitations in the state youth and young adult tobacco access laws

- ☐ Limited public support for enforcement of youth and young adult tobacco access laws

- ☒ Limitations on completeness/accuracy of list of tobacco outlets

*Lack of state tobacco retail licensing laws has long been the most significant challenge to Kentucky's Synar Program. However, this is due to change once the new Kentucky tobacco licensing law goes into effect. When the state tobacco registry is created, the Synar Program will have access to all the tobacco licensees in the state. This should improve the accuracy rate and ability to reach retailers with merchant education materials. Kentucky's accuracy rate has significantly improved over the last five years thanks to internet mapping applications. This year's accuracy rate of 92.6% was an improvement over last year's rate of 89.8%. Among stores that were ineligible, half did not sell tobacco/nicotine products while the remaining 11 stores were no longer in business.*

- ☐ Limited expertise in survey methodology

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

- ☐ Difficulties recruiting youth and young adult inspectors

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

- ☐ Issues regarding the balance of inspections conducted by one gender of youth and young adult inspectors

- ☐ Geographic, demographic, and logistical considerations in conducting inspections

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

*Kentucky's history and culture is tied to the cultivation and processing of tobacco. The role of tobacco in Kentucky's economy, coupled with the fact that tobacco was the livelihood of many Kentucky families, has created strong norms of acceptance around tobacco that pose a significant challenge to prevention efforts. However, great progress has been made in the past decade. Increased awareness on the harmful health consequences of tobacco coupled with framing tobacco prevention efforts within the broader context of public health has brought about significant decreases in tobacco use. Use of combustible cigarettes among underage smokers is at a historic low in Kentucky. However, past 30-day use of smokeless tobacco and vape products are still high. Smokeless tobacco (dip) is very popular in rural parts of the state, especially in the Appalachian region. Anecdotal data from prevention specialists in these areas indicate that because smokeless tobacco is non-combustible and does not produce secondhand smoke, it is seen as a safer alternative because it does not endanger the health of those in close proximity to the user. "It's only dip" is the thinking among many underage users. It may be characteristic of the thinking of some clerks as well. The average RVR for smokeless tobacco, since 2018 when e-cigarettes were first incorporated into the Synar protocol, exceeds both combustible and e-cigarettes. That said, data from this year's Synar inspections show that e-cigarettes had the highest violation rate of the three product categories in the Kentucky Synar inspection protocol; 15.2% compared to 8.5% for smokeless and 9.1% for combustible cigarettes.*

- ☐ 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 2026). 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.)**

[illegible]

**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 2026).

- 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: 2026
(1) Stratum Name	(2) N Number of Outlets in Sampling Frame	(3) n Original Sample Size	(4) n1 Number of Sample Outlets Found Eligible	(5) n2 Number of Outlets Inspected	(6) x Number of Outlets Found in Violation	(7) p=x/n2 Stratum Retailer Violation Rate	(8) N'=N(n1/n) Estimated Number of Eligible Outlets in Population	(9) w=N'/Total Column 8 Relative Stratum Weight	(10) pw Stratum Contribution to State Weighted RVR	(11) s.e. Standard Error of Stratum RVR
<b>Total</b>										

- N - number of outlets in sampling frame  
 n - original sample size (number of outlets in the original sample)  
 n1 - number of sample outlets that were found to be eligible  
 n2 - number of eligible outlets that were inspected  
 x - number of inspected outlets that were found in violation  
 p - stratum retailer violation rate ( $p=x/n2$ )  
 N' - estimated number of eligible outlets in population ( $N'=N*n1/n$ )  
 w - relative stratum weight ( $w=N'/\text{Total Column 8}$ )  
 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 2026).

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: 2026				
(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 2026).

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: 2026	
(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 or young adult		Presence of police	
Private club or private residence		Youth or young adult inspector knows salesperson	
Temporary closure		Moved to new location	
Unlocatable		Drive-thru only/youth or young adult inspector has no driver's license	
Wholesale only/Carton sale only		Tobacco out of stock	
Vending machine broken		Ran out of time	
Duplicate		Other noncompletion reason(s) <i>(Describe.)</i>	
Other ineligibility reason(s) <i>(Describe.)</i>			
<b>Total</b>		<b>Total</b>	

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

Complete Form 5 to show the distribution of outlet inspection results by age and gender of the youth and young adult 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 2026).

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

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

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

Synar Survey Inspector Characteristics		
		State: _____
		FFY: 2026
	(1) Attempted Buys	(2) Successful Buys
<b>Male</b>		
15 years		
16 years		
17 years		
18 years		
19 years		
20 years		
<b>Male Subtotal</b>		
<b>Female</b>		
15 years		
16 years		
17 years		
18 years		
19 years		
20 years		
<b>Female Subtotal</b>		
<b>Other</b>		
<b>Total</b>		

## **APPENDIXES B & C: FORMS**

### Instructions

Appendix B (Sampling Design) and Appendix C (Inspection Protocol) are to reflect the state's CSAP-approved sampling design and inspection protocol. These appendixes, therefore, should generally describe the design and protocol and, with the exception of Question #10 of Appendix B, are not to be modified with year-specific information. Please note that any changes to either appendix must receive CSAP's advance, written approval. To facilitate the state's completion of this section, simply cut and paste the previously approved sampling design (Appendix B) and inspection protocol (Appendix C) and respond to Question #10 of Appendix B to provide the requested information about sample size calculations for the Synar survey conducted in FFY 2025.

## APPENDIX B: SYNAR SURVEY SAMPLING METHODOLOGY

State: KY  
FFY: 2026

### 1. What type of sampling frame is used?

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

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

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

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

Name of Frame Source	Type of Source	Description	Updating Method and Cycle
Google Maps	6	Google Maps is a web service that provides detailed information about geographical regions and sites worldwide. In addition to conventional road maps, Google Maps offers street views comprising photographs taken from vehicles. By typing terms such as vape shops or tobacco retailers in the search engine, Google provides names and addresses of stores that sell tobacco and nicotine within a given area.	The list is examined to identify potentially ineligible outlets that are known not to sell tobacco. Data from the previous year's field report are merged to the newest database, so that information can be updated and outlets known to be out of business or duplicate corporate names are eliminated. The Department of Alcoholic Beverage Control officers update addresses and other information based on personal knowledge of the area and/or Synar inspections.
The Kentucky Lottery List	1	A list of all the stores in Kentucky that sell Kentucky lottery tickets. The list is generated by the Kentucky Lottery association at the request of the Kentucky Synar Program coordinator.	The Kentucky Synar Program has been using the lottery list since 2013. The Kentucky Synar Program coordinator receives an updated list every year from the Kentucky Lottery Corporation. The list was checked against the updated list and found to be very accurate.
Dunn and Bradstreet	1	Commercial list generated for the Synar Evaluation Team (REACH of Louisville	Continual updates throughout the year. The list is examined to identify potentially ineligible

		Inc.) , purchased each year prior to drawing the sample.	outlets that are known not to sell tobacco. Telephone calls are made to determine if the vendor is still in business and if the address is correct. Data from previous year's field report are merged to the newest database so that information can be updated and outlets known to be out of business or duplicate corporate names are eliminated. The Department of Alcoholic Beverage Control officers update addresses and other information based on personal knowledge of the area and/or Synar inspections.
Kentucky Hemp-based THC Registry	1	As of 2024, all retailers of hemp-based THC are required to register with the Department for Public Health. This list is shared with the Kentucky Synar Program. The Synar statistician conducts research on the outlets in the registry to determine which ones sell tobacco/nicotine products. These outlets are then checked against the list frame. Any outlet not in the list frame is added.	Stores are required to register annually. The list is examined to identify potentially ineligible outlets that are known not to sell tobacco. Telephone calls are made to determine if the vendor is still in business and if the address is correct. Data from previous year's field report are merged to the newest database so that information can be updated and outlets known to be out of business or duplicate corporate names are eliminated. The Department of Alcoholic Beverage Control officers update addresses and other information based on personal knowledge of the area and/or Synar inspections.

**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 and young adults.
- ☒ State has a contract with the FDA and is actively enforcing the vending machine requirements of the Family Smoking Prevention and Tobacco Control Act.
- ☐ Other (Please describe.) \_\_\_\_\_

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

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

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

- ☐ **Census** (STOP HERE: Appendix B is complete.)

**Unstratified statewide sample:**

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

**Stratified sample:**

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

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

**7. Provide the following information about stratification.**

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

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

- ☐ **Yes** (Go to Question 8.)

☐ No (Go to Question 9.)

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

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

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

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

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

☒ Yes (Respond to part b.)

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

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

☒ State Level (Respond to Question 10a.)

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

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

The SSES Sample Size Calculator was used to determine the minimum adequate sample size. Below is the formula it uses for calculating a sample size using a 1-tailed test: Effective Sample Size:

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

where P is the expected violation rate, which is the previous year's RVR; s.e. is the standard error of the estimate for 3% margin of error for a one-sided confidence interval and N is the total number of outlets in the sampling frame. The target sample size (nt) is the effective sample size multiplied by the design effect (estimated to be 1).

The original sample size is determined by:

$$n_o = (1+s) \frac{n_t}{r_l r_c}$$

where s is a safety margin of 50%, rl is the expected eligibility rate, and rc is the expected completion rate (as estimated by the eligibility and completion rates from the previous year's survey).

**10. Provide the following information about sample size calculations for the Synar survey conducted in FFY 2025.**

- a. If the state uses the sample size formulas embedded in the SSES Sample Size Calculator to calculate the state level sample size, please provide the following information:**

**Inputs for Effective Sample Size:**

RVR: 8.3

Frame Size: 4,915

**Input for Target Sample Size:**

Design Effect: 1.0

**Inputs for Original Sample Size:**

Safety Margin: 50%

Accuracy (Eligibility) Rate: 89.8

Completion Rate: 99.8

- 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:**

Single stratum only

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



## APPENDIX C: SYNAR SURVEY INSPECTION PROTOCOL SUMMARY

State: KY  
FFY: 2026

*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 and young adult 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 and young adult 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): Department for Alcoholic Beverage Control

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.

Investigative aides are instructed to ask for a pack of cigarettes. No brand is specified in the protocol. This is to allow for flexibility as changes in youth brand preferences occur. Brand preferences are determined by focus groups conducted by the nicotine prevention enhancement specialist and input from RPC staff. The same methodology is applied to smokeless tobacco inspections. The brand may change periodically depending on changes in the market and youth preferences. The youth investigative aide is instructed to ask for a single disposable e-cigarette. If there are no advertisements for e-cigarettes visible in the store, the youth investigative aide will simply ask for a pack of Marlboro cigarettes.

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

Adult supervisors are the ABC enforcement officers. They are recruited and trained according to the Department's tobacco enforcement protocol

- 5b. Describe the methods used to recruit, select, and train youth and young adult inspect

*ABC recruits youth 16-20 years of age from youth groups and school organizations. Notices are also placed on the ABC website, where interested youth can download the application and parental consent forms.*

*Local health departments and RPCs assist in recruitment by distributing investigative aide recruitment flyers to local coalitions and youth groups when needed. Two ABC investigators train the investigative aides (IAs).*

*Youth who are interested in the investigative aide program submit an application to participate. The application must include a recent photo, a copy of the youth's birth certificate, and the parent's or guardian's signature giving permission for the youth to work as an IA. When the application is accepted, the youth is sent a welcome letter, and the investigators are informed of the new recruit.*

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

**a. Legal**

☒ Yes ☐ No

*(If Yes, please describe.)*

*Kentucky Revised Statute (KRS) [438.330](#) (1) states that inspections shall be conducted to enforce KRS 438.305 to 438.440. Youth may be used in these inspections if they are conducted under the direct supervision of ABC, the sheriff, or the chief of police, and written consent has been obtained from the parent(s). Otherwise, [KRS 438.311](#) (1) states, "it shall be unlawful for a person who has not attained the age of twenty-one (21) years to purchase a tobacco product."*

**b. Procedural**

☒ Yes ☐ No

*(If Yes, please describe.)*

*The investigative aide must be between 16 and 20 years old and have been trained by two investigators. During inspections, two adult investigators will be with the IA at all times. The IA is not allowed to drive; for this reason, the investigator will pick up the IA. Investigative aides must complete inspections during daylight hours. The IAs are instructed to dress casually and look their age. Boys may not have facial hair. Girls are only permitted to wear light, neutral makeup. IAs will not complete tobacco inspections in their home county, unless it is Jefferson or Fayette County, where they will not be working in the neighborhoods close to where they live. IAs are asked not to discuss the survey with anyone except their*

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

**a. Legal**

☒ Yes ☐ No

*(If Yes, please describe.)*

*Investigative aides must complete inspections during daylight hours. They must wear seat belts at all times while riding with enforcement officers. Adults must observe child labor laws at all times and will watch for IAs becoming too tired or hungry.*

**b. Procedural**

☒ Yes ☐ No

*(If Yes, please describe.)*

*As per the Kentucky Synar Inspection Protocol, the ABC enforcement officer always enters the store first. If the ABC enforcement officer quickly exits the premises, that is a sign that it is not safe for the investigative aide to enter. Investigative aides never enter a business that either they or the enforcement officer perceive as unsafe. They are never taken into bars or liquor stores. Safety of the*

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

**a. Legal**

☒ Yes ☐ No

*(If Yes, please describe.)*

[KRS 438.330](#) (1) states that assurance is needed that inspections shall be conducted at retail outlets where, and when, youth under 21 frequently buy tobacco products.

**b. Procedural**

☒ Yes ☐ No

*(If Yes, please describe.)*

*The investigative aide must be between 16 and 20 years old and have been trained by two ABC enforcement officers. During inspections, two adult investigators are with the investigative aide at all times. The IA is not allowed to drive; for this reason, the investigator will pick up the IA. Investigative aides must complete inspections during daylight hours. The IAs are instructed to dress casually, look their age. Boys may not have facial hair. Girls are only permitted to wear light, neutral makeup. Investigative aides will not complete tobacco inspections in their home county, unless it is Jefferson or Fayette counties, where they will not be working in the neighborhoods close to where they live.*

*IAs are asked not to discuss the survey with anyone except their parents*

*The investigative aides are trained to ask for cigarettes, smokeless tobacco (if it is an inspection for smokeless tobacco), and e-cigarettes. No brand names are specified in the protocol to allow for differences in regional brand preferences, as well as any future brands that youth may prefer.*

## APPENDIX D: LIST SAMPLING FRAME COVERAGE STUDY

(LIST FRAME ONLY)

State: KY

FFY: 2026

1. Calendar year of the coverage study: 2025

2.     a. Unweighted percent coverage found: 93.8%  
      b. Weighted percent coverage found: N/A%  
      c. Number of outlets found through canvassing: 180  
      d. Number of outlets matched on the list frame: 169

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

*Areas for sampling were defined as Census Tracts, as recommended by the CSAP Coverage Study Guide.*

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

☐ Yes ☒ No

*If Yes, please explain.*

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

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

☒ Census (Go to Question 6.)

**Unstratified statewide sample:**

☐ Simple random sample (Respond to Part b.)

☐ Systematic random sample (Respond to Part b.)

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

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

**Stratified sample:**

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

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

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

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

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

b. Describe the sampling methods.

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

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

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

☐ Yes ☐ No

6. Were all sampled areas visited by canvassing teams?

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

a. Was the subset of areas randomly chosen?

☐ Yes ☐ No

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

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

☒ Yes ☐ No

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

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

☒ Yes ☐ No

*If No, respond to Question 9. If Yes, describe any instructions given to the field observers to*

*Instructions given to the field observers:*

*1. The Synar Program coordinator recommends that (2) field workers (canvassers) be employed when field checking for tobacco outlets, one canvasser can drive, while another canvasser checks the map and records tobacco outlet information on the Canvassing Sheet.*

*2. We have provided you a canvassing map(s) depicting census tract study areas that your organization will use to canvass for tobacco retailing outlets. Additional maps with closer views may be provided and are indicated on the first map in this packet with red outlines and numbers. The canvassers are to check every road within (and also on the boundary of) the census tract, shaded in yellow on the map, and record every tobacco selling outlet in (and on the boundary of) the census tract using the Synar Field Canvassing Sheets included in your packet.*

*(NOTE: be sure to inspect and record outlet info for both sides of the streets that are on the boundary of the tract, which is shaded in yellow on your canvassing map).*

*3. Field workers may use Google Maps in addition to the printed canvassing maps included in this packet. You can view a map of all the census tracts online here:*

*<https://bit.ly/2RmCM7z>. In order to access this map in your Google Maps app on your phone or tablet, you will need to be individually given access to the map.*

*4. Synar Field Canvassing Sheets on which the field staff will record the existence and necessary identifying information for each eligible outlet encountered in the field are included within this document (enclosed with your canvassing map). An electronic version is available to download at: <https://bit.ly/2N83gem>. Personnel will use the Synar Field Canvassing Sheets to record the name and address/location of each outlet and any other relevant information (e.g., telephone number if possible).*

*5. The field worker will carefully check the eligibility of each identified outlet by determining whether tobacco products are sold and whether the outlet is accessible to youth under the legal age (21). Do not record information for tobacco outlets that are inaccessible to minors such as night clubs and bars. For shopping centers or enclosed malls, field canvassers will check throughout the entire complex or speak with the management to identify tobacco outlets operating within the complex. If a particular location appears unsafe, do not put yourself in harm's way to canvass the location.*

*6. When the field canvassing is completed, the field worker will make a final check that all roads on the maps have been covered and all necessary information about the identified outlets has been gathered and prepared for transmission."*

**9. If a full canvassing was not conducted:**

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

**b. What were the starting points for each area? \_\_\_\_\_**

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

☐ Yes ☐ No

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

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

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

*Field observers were instructed to enter the store to look for tobacco/nicotine products if no tobacco/nicotine signage was visible on the store windows or doors.*

**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.)**

*Matches were determined using a combination of business name, address, and phone number.*

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

N/A