ANNUAL SYNAR REPORT

42 U.S.C. 300x-26

OMB № 0930-0222

FFY 2027

State: Kentucky

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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 2026 Compliance Progress) and future plans to ensure compliance with the Synar requirements to reduce youth and young adult tobacco access rates (FFY 2027 Intended Use Plan). These data are required by 42 U.S.C. 300x-26 and will be used by the Secretary to evaluate state compliance with the statute. Part of the mission of the Center for Substance Abuse Prevention (CSAP) is to assist states[1] by supporting Synar activities and providing technical assistance helpful in determining the type of enforcement measures and control strategies that are most effective. This information is helpful to CSAP in improving technical assistance resources and expertise on enforcement efforts and tobacco control program support activities, including state Synar program support services, through an enhanced technical assistance program involving conferences and workshops, development of training materials and guidance documents, and onsite technical assistance consultation.

How the Synar report can help states

The information gathered for the Synar report can help states describe and analyze substate needs for program enhancements. These data can also be used to report to the state legislature and other state and local organizations on progress made to date in enforcing youth 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

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

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, 2026 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 2027 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 2027 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 2027: FUNDING AGREEMENTS/CERTIFICATIONS

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

PUBLIC HEALTH SERVICES ACT AND SYNAR AMENDMENT
42 U.S.C. 300x-26 requires each state to submit an annual report of its progress in meeting the requirements of the Synar Amendment and its implementing regulation (45 C.F.R. 96.130) to the Secretary of the Department of Health and Human Services. By signing below, the chief executive officer (or an authorized designee) of the applicant organization certifies that the state has complied with these reporting requirements and the certifications as set forth below.
SYNAR SURVEY SAMPLING METHODOLOGY
The state certifies that the Synar survey sampling methodology on file with the Center for Substance Abuse Prevention and submitted with the Annual Synar Report for FFY 2027 is up-to-date and approved by the Center for Substance Abuse Prevention.
SYNAR SURVEY INSPECTION PROTOCOL
The state certifies that the Synar Survey Inspection Protocol on file with the Center for Substance Abuse Prevention and submitted with the Annual Synar Report for FFY 2027 is up-to-date and approved by the Center for Substance Abuse Prevention.
State: Kentucky
Name of Chief Executive Officer or Designee: Dr. Steven Stack
Signature of CEO or Designee: Steven J. Stack, MD
Title: _____ **Date Signed:** 11/3/2026
If signed by a designee, a copy of the designation must be attached.

FFY: 2027

State: Kentucky

SECTION I: FFY 2026 (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 2027 ASR was posted to this Web address.)*

   Web address: https://www.chfs.ky.gov/agencies/dbhdid/Pages/synar.aspx

   Date published: 10/29/26

   ☐ 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 Deparment 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 Kentucky 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 Kentucky 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 Kentucky Tobacco Prevention and Cessation Program is the state agency that receives Centers for Disease Control and Prevention (CDC) funding. The program lost all of its staff after the CDC funding cuts. But with the restoration of funding, they have been able to hire three new staff members.

   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 Kentucky Synar Program Coordinator regularly requests feedback from Kentucky Tobacco Prevention and Cessation staff on new vendor education material and updates to the Tobacco Retail Underage Sales Training. The Kentucky Synar Coordinator also regularly attends joint planning meetings with Prevention and Cessation staff.*
☐ 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 ABC to recruit and train youth investigative aides, conduct Synar inspections and submit inspection sheets on time. ABC hosts the Synar program's TRUST program on their website and has a portal where tobacco retailers can order Tobacco 21 Toolkits. As of this year, ABC enforcement officers will distribute Tobacco 21 Toolkits to the retailers they visit. It*

is estimated that an additional 500 toolkits will be distributed as result of this agreement.

☐ 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 2026 *(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 citations issued	NA	10	10
Number of fines assessed	NA	10	10
Number of permits/licenses suspended	NA		NA
Number of permits/licenses revoked	NA		NA
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:

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 aide says, "Thank you," and leaves. In the event of a successful purchase, the aide takes the cigarettes, e-cigarettes, or smokeless tobacco to the car with the waiting officer. The officer in the store issues a civil citation to the clerk, which consists of 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 an irate retailer may wish to retaliate against what they consider a "sting." Also, by not informing the 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 Synar checks are being performed, the number of stores that might call and 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 Tobacco 21 Toolkits to retailers throughout the state. Each toolkit contains signage required by Kentucky law, WE ID pins, and a brochure advertising Tobacco Retail Underage Sales Training, tobacco and vape retailer FAQs, and information about Kentucky's new tobacco licensing laws. During the state fiscal year (SFY) 2026, 205 tobacco/and vape shop outlets received Tobacco 21 Toolkits. The Kentucky Synar Program Coordinator recently finalized an agreement with the Kentucky Department of ABC under which its enforcement officers will distribute Tobacco 21 Toolkits to the stores they inspect. This will significantly increase the number of retailers receiving the toolkits.

Kentucky's merchant education program, the Tobacco Retail Underage Sales Training (TRUST), was updated to include new federal and state penalties, information on Kentucky's tobacco licensing law, as well as fines for selling unauthorized vapor products. The training was also reformatted to comply with new ADA laws. During SFY 2026, 2,671 tobacco/nicotine retail clerks received TRUST training certification, a 47% percent increase over last year's number of 1,718. A survey of 360 TRUST training participants revealed that 93% were satisfied or very satisfied, with the training, 94 5% found the training useful or very useful, and 42% had no previous training about tobacco laws and age verification. The TRUST training can be accessed at: https://training.chfs.ky.gov/01222025_BHDID_TRUST_MOD_02/index.html

☐ 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)

In the past, the Kentucky Synar Coordinator funded and coordinated annual statewide Reward and Reminder programs. This effort was discontinued in 2020 on the advice of the Department of ABC Enforcement Director, who felt that the program could conflict with state tobacco laws, which require that a retailer be issued a citation in the event of non-compliance.

☒ Community education regarding youth and young adult access laws

Educating community members on state and federal tobacco and vapor product laws is a key component of the Synar Program's Kentucky Tobacco and Vapor Product Retail Survey Project. The goal of the project is to reduce youth access to tobacco and nicotine products by conducting environmental scans of local retailers. The project is youth-based. Each group must submit an application detailing their proposed goals and activities, number of stores to be scanned, timeline for completion, evaluation plan, and budget. Each youth coalition receives detailed training on federal and state tobacco laws before surveying their selected stores. The youth groups attempt to secure agreements from retailers to change product placement and/or post signage to limit youth access to all tobacco/nicotine and THC products. Each store visited is provided with a Tobacco 21 Toolkit.

The data from the scans are presented to community stakeholders in the form of:

Photovoice project developed from photos taken during the scan project

Articles in the local paper about scan project findings

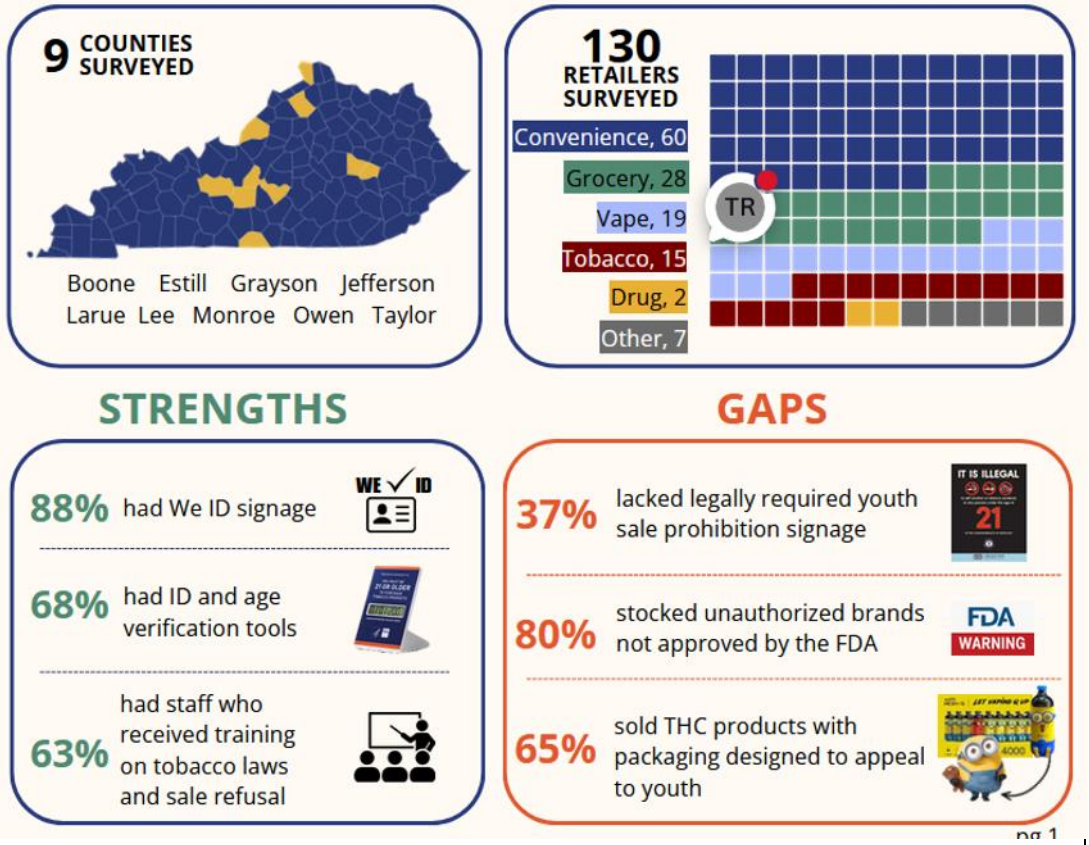
Social media posts about scan project findings

Presentations that display/s scan project findings for community members, elected officials, law enforcement, local school board officials, etc.

Each group must create a one pager of their findings.

The Synar Program Coordinator and the Nicotine Prevention Specialist analyzed data from the 2025 Kentucky Tobacco and Vapor Product scans and created a report which will be distributed to RPC staff and health departments. The findings

will also inform the development of new merchant education material. An excerpt of the report has been included below.



pg 1

Follow-Up Activities & Community Impact

Community Outreach Outcomes

21	200	12,000
FORMAL PRESENTATIONS	ESTIMATED DIRECT COMMUNITY REACH	ESTIMATED INDIRECT MEDIA REACH

KEY THEMES AND TAKEAWAYS

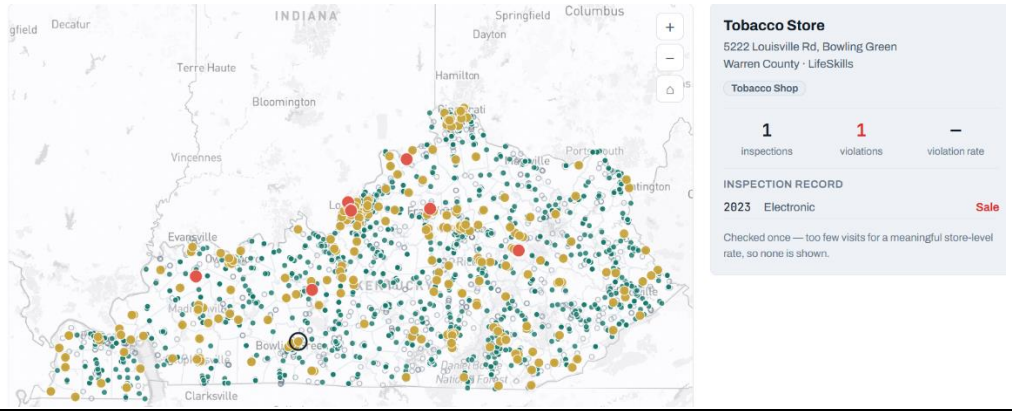
- Youth leadership and engagement were hallmarks of this project — youth were trained, conducted scans, created media, and presented findings to elected officials and community leaders.
- Presentations were delivered to a broad spectrum of stakeholders including **city councils**, **fiscal courts**, **school boards**, **chambers of commerce**, **Agency for Substance Abuse Policy (ASAP) boards**, **state legislators**, and **churches**.
- Multiple counties produced media products (radio PSAs, newspaper articles, social media, one-pagers) to maximize community reach beyond the immediate presentations.

☐ Media use to publicize compliance inspection results

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

Community mobilization is the centerpiece of the Kentucky Tobacco and Vapor Product Retailer Project. Youth coalitions that participate are required to develop a one-pager of the data collected from their environmental scans and share it with health departments, law enforcement, elected officials, and other local stakeholders. The goal is to leverage this data to make changes in the retail environment that reduce illegal access to tobacco and nicotine products, and monitor compliance with Kentucky's tobacco and vapor product laws.

The Kentucky Synar Dashboard was extensively revised this year to make it easier for prevention service providers and community coalitions to use. The dashboard provides trend data on violation rates for all products as well as by product category, combustible cigarettes, e-cigarettes, and smokeless tobacco, from 2014 through 2026. Synar violation rates per service region, county, and store type are also provided. The dashboard has a geomapping feature that displays inspection records for every store that has received a Synar inspection over the last 12 years. (See screenshots below.)



Violation rate by business type & product

Sale rate per business type, overall and split by product. The "All" column is the combined rate for each venue.

2018–2026 · combined

BUSINESS TYPE	ALL	CIGARETTE	SMOKELESS	E-CIG	MENTHOL
Gas Station	10.9	9.5	11.4	15.6	6.7
Convenience Store	10.5	9.5	12.6	10.8	5.9
Grocery Store	10.1	10.5	8.1	12.8	5.6
Tobacco Shop	9.8	7.1	10	10.4	·
Vape	8.6	·	·	8.6	·
Dollar Store	4.7	4.2	5.6	5.9	0
Department Store	3.8	0	9.1	·	·
Pharmacy	2.4	2.6	0	3.3	·

☒ Other activities *(Please list.)* *The Kentucky Synar Coordinator continues to serve on the Networking for Kentucky Youth Tobacco Conference committee. Last year's conference brought together 62 youth, 36 adult champions, and seven planning committee members (114 total). Eleven counties were represented. The event culminated in mock hearings with youth teams, mock judges, and tobacco executives. Two Kentucky youth who spoke at the conference were recently honored as Youth Ambassadors by the Campaign for Tobacco-Free Kids.*

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 2026 (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 <u>right limit</u> of the right-sided 95% confidence interval.

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

Accuracy rate _____

Completion rate _____

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

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

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

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

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

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

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

f. Was a cluster sample design used?

☐ **Yes** ☐ **No**

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

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

Were any certainty primary sampling units selected this year?

☐ **Yes** ☐ **No**

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

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

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

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

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

☒ **Yes** ☐ **No**

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

a. The calendar year of the latest Sampling frame coverage study: 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 06/01/26 **to** 09/18/26
MM/DD/YY MM/DD/YY

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

25

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 2027 (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 2027. 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. ABC has hired additional enforcement officers to conduct inspections to fulfill the requirements of the new tobacco licensing law. ABC is currently conducting 600 additional inspections a month. However, these inspections do not involve underage youth. They are focused solely on monitoring compliance with Kentucky's new licensing law and illegal vapor products.

   The Kentucky Tobacco and Vapor Product Retail Survey supports enforcement efforts by raising community awareness of illegal vapor products being sold in their community. Communities are encouraged to submit a complaint through the ABC portal in the event of violations.

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

   Lack of enforcement has long been a challenge in reducing underage access to tobacco and nicotine products. However, as of July 1, 2026, enforcement of state tobacco laws has increased by 600 additional inspections a month due to the new licensing law which requires that every retailer in the state receive at least one inspection per year. These inspections do not involve purchase attempts with underage youth, instead they check for posted tobacco licenses and unauthorized vapor products.

   ☐ 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

☐ Limited expertise in survey methodology

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

☒ Difficulties recruiting youth and young adult inspectors

The Kentucky Synar Program Coordinator learned through conversations with the ABC Assistant Director of Enforcement that it is becoming more difficult to recruit youth investigative aides. The reasons cited are:

More and more high schools are allowing students to have facial hair. Males with facial hair are ineligible for Synar inspections under the current protocol.

The Kentucky minimum wage is $7.25 an hour. That is half the hourly wage of an investigative aide, but the youth can make more money working other jobs with more hours.

Competing priorities – summer sports, family vacations, etc.

There have been discussions about raising the hourly wage for youth investigative aides, but after conferring with other states, the Kentucky rate of $15 an hour is consistent with other states. So, it seems unlikely that a wage increase will remedy the situation. The Kentucky Synar Program has reached out to ABC to offer assistance with recruiting youth investigative aides.

☐ 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)

☐ Issues regarding sources of tobacco under tribal jurisdiction

☒ Other challenges *(Please list.)* Difficulty in establishing communication links with retailers.

Establishing contact with tobacco/vape retailers has long been a significant challenge for the Kentucky Synar Program. In the past, the Kentucky Synar Program Coordinator created a Tobacco Retailer Advisory Board. The purpose of the board was to:

Suggest effective ways to market the online merchant education training (TRUST) to retailers throughout Kentucky;

Provide input on any retail-oriented media campaigns;

Suggest effective messaging to retailers about the youth access problem in Kentucky;

Help recruit other tobacco merchants to participate in the Kentucky Tobacco Retail Advisory Council; and

Provide input on what kinds of additional educational tools and resources would be helpful to tobacco retailers in Kentucky.

The effectiveness of the advisory board was limited due to low membership and attendance problems. However, the group was helpful in crafting messaging to support the launch of the Tobacco Retail Underage Sales Training. The Board disbanded after one year.

Recently, the Kentucky Synar Program Coordinator secured an agreement for ABC to provide a list of names and email addresses of all Kentucky tobacco and vape retailer licensees. This information will be used to create a listserve where all of the retailers in the state can be reached with information about merchant education materials and updates on new federal and state tobacco laws. This idea came via the Connecticut Synar Program, which has been using a listserve to contact retailers as part of their Connecticut Clearinghouse program. This listserve has been in place in Connecticut for many years and has been effective in engaging retailers.

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 2027). Provide the remaining information by stratum if stratification was used. Make copies of the form if additional rows are needed to list all the strata.

Column 1: *If stratification was used*:

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

If no stratification was used:

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

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

Column 2: 2(a) Report the number of over-the-counter (OTC) outlets in the sampling frame in each stratum.
2(b) Report the number of vending machine (VM) outlets in the sampling frame in each stratum.
2(c) Report the combined total of OTC and VM outlets in the sampling frame in each stratum.

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

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

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

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

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

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

Summary of Synar Inspection Results by Stratum

State: _____

FFY: 2027

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

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

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

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

Instructions for Completing Form 2: In the top right-hand corner of the form, provide the state name and reporting federal fiscal year (FFY 2027).

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: 2027	
(1) Stratum Name	(2) **N** Number of Outlets in Sampling Frame	(3) **n** Original Sample Size	(4) **n1** Number of Sample Outlets Found Eligible	(5) **n2** Number of Outlets Inspected	(6) **x** Number of Outlets Found in Violation	(7) **p=x/n2** Stratum Retailer Violation Rate	(8) **N'=N(n1/n)** Estimated Number of Eligible Outlets in Population	(9) **w=N'/Total Column 8** Relative Stratum Weight	(10) **pw** Stratum Contribution to State Weighted RVR	(11) **s.e.** Standard Error of Stratum RVR
Total										

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

FORM 3 (Required when a cluster design is used for all states not using the Synar Survey Estimation System [SSES] to analyze the Synar survey data.)

Complete Form 3 to report information about primary sampling units when a cluster design was used for the Synar survey.

Instructions for Completing Form 3: In the top right-hand corner of the form, provide the state name and reporting federal fiscal year (FFY 2027).

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: 2027

(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 2027).

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:	2027
(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) *(Describe.*)	
Other ineligibility reason(s) *(Describe.)*			
Total		**Total**	

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

Complete Form 5 to show the distribution of outlet inspection results by age and gender of the youth 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 2027).

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 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:** 2027		
	(1) Attempted Buys	(2) Successful Buys
Male		
15 years		
16 years		
17 years		
18 years		
19 years		
20 years		
Male Subtotal		
Female		
15 years		
16 years		
17 years		
18 years		
19 years		
20 years		
Female Subtotal		
Other		
Total		

APPENDIXES B & C: FORMS

Instructions

Appendix B (Sampling Design) and Appendix C (Inspection Protocol) are to reflect the state's CSAP-approved sampling design and inspection protocol. These appendixes, therefore, should generally describe the design and protocol and, with the exception of Question #10 of Appendix B, are not to be modified with year-specific information. Please note that any changes to either appendix must receive CSAP's advance, written approval. To facilitate the state's completion of this section, simply cut and paste the previously approved sampling design (Appendix B) and inspection protocol (Appendix C) and respond to Question #10 of Appendix B to provide the requested information about sample size calculations for the Synar survey conducted in FFY 2026.

APPENDIX B: SYNAR SURVEY SAMPLING METHODOLOGY

State: Kentucky
FFY: 2027

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

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

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

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

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

Name of Frame Source	Type of Source	Description	Updating Method and Cycle
Statewide retail license	4	The Kentucky Tobacco Retailer Licensing list is maintained by the Kentucky Department of Alcoholic Beverage Control (ABC). It has been made available to the Kentucky Synar Program through an informal agreement.	The Kentucky Tobacco License list is updated annually when retailers renew or discontinue their licenses.

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.)* **The Department of ABC recently discovered three vending machines in the state. All three of these machines were in bars. They dispense e-cigarettes. A valid ID must be scanneed by the machine prior to purchase. Our inspection protocol does not allow youth investigative aides to carry IDs, so these locations are ineligible for Synar inspections.**

*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:

$$n_e = \frac{1}{\left(\frac{(s.e.)^2}{P(1-P)} + \frac{1}{N}\right)_{50}}$$

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 2026.

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: 10.1
Frame Size: 4,452

Input for Target Sample Size:
Design Effect: 1.0

Inputs for Original Sample Size:
Safety Margin: 50%
Accuracy (Eligibility) Rate: 92.6%
Completion Rate: 100%

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: Kentucky
FFY: 2027

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): **The Department of Alcoholic Beverage Control (ABC)**

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

☒ Always ☐ Usually ☐ Sometimes ☐ Rarely ☐ Never

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

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

☒ Cigarettes
☐ Small Cigars
☐ Cigarillos
☒ Smokeless Tobacco
☒ Electronic Cigarettes/Electronic Nicotine Delivery Systems (ENDS)
☐ Other

b. Describe the protocol for identifying what types of products and what brands of products are requested during an inspection.

Youth 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. The same methodology is applied to smokeless tobacco inspections. The brand may change periodically depending on changes in the market and youth preferences. For e-cigarettes, 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 Department of 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 inspectors.

The Department of 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 regional prevention centers (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 all of 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 Statutes (KRS) 438.330 (1) state 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 the Department 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 minor must be between 16 and 20 years old and have been trained by two investigators. During inspections, two adult investigators will be with the aides at all times. The aide is not allowed to drive; for this reason, the investigator will pick up the IA. Aides must complete inspections during daylight hours. The IAs are instructed to dress casually and look their age. Males may not have facial hair. Females are only permitted to wear light, neutral makeup. Aides will not complete tobacco inspections in their home county unless it is Jefferson or Fayette counties, where they will not work in neighborhoods close to where they live. Aides are asked not to discuss the survey with anyone except their parents.

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.)*

Aides must complete inspections during daylight hours. They must wear seat belts at all times while riding with an enforcement officer. Adults must observe child labor laws at all times and will watch for aides 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 it is not safe for the youth investigative aide to enter. Investigative aides never enter a business that either they or the enforcement officer perceives as unsafe. They are never taken into bars or liquor stores. The safety of the youth investigative aide is the number one priority.

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 minor 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 aides at all times. The aide is not allowed to drive; for this reason, the investigator will pick up the youth investigative aide. Aides must complete inspections during daylight hours. The youth investigative aides are instructed to dress casually and look their age. Males may not have facial hair. Females are only permitted to wear light, neutral makeup. Aides will not complete tobacco inspections in their home county unless it is Jefferson or Fayette counties, where they will not work in the neighborhoods close to where they live. Aides are asked not to discuss the survey with anyone except their parents

The youth 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: Kentucky
FFY: 2027

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 ensure the entire area was canvassed, then go to Question 10.*

Instructions given to the field observers:

1. The Synar Program Coordinator recommends that two 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