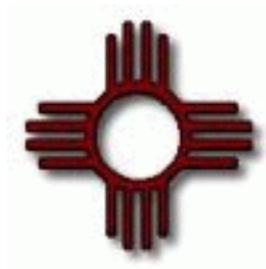# Local DWI Grant Program FY 2005 Program Evaluation Final Report

NEW MEXICO DEPARTMENT OF FINANCE AND ADMINISTRATION
LOCAL GOVERNMENT DIVISION
LOCAL DWI GRANT PROGRAM

Prepared by: Toltec Evaluation &
Educational Research Services Ltd.
Soaring Hawk, Ph.D. and James Lopez

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New Mexico Department of Finance and Administration
LOCAL GOVERNMENT DIVISION
LOCAL DWI PROGRAM

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Summary of Evaluation Contract Activities
July 1, 2004 to June 30, 2005

Contract # 04-341-P543-0047

Prepared by:
Toltec Evaluation &
Educational Research Services Ltd.

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EXECUTIVE SUMMARY

Since 1982, the State of New Mexico has consistently ranked above the national average for the rate of alcohol involved fatalities per 100 million Vehicle Miles Traveled (VMT), and ranked 6th in the nation in 2003. In 1982, New Mexico's alcohol related fatality rate was 92.68 percent above the national rate; by 2003, it was slightly over 54 percent above the national rate. Nonetheless, New Mexico's fatalities per 100 million VMT has decreased since 1992, and has fallen from 3.16 to 0.87.

GENERAL COMMENTS

During the period that we monitored the Local DWI Grant Program (LDWI), the staff has made significant progress in addressing the major deficiencies summarized in the Legislative Finance Committee's (LFC) 2003 audit. Highlights are listed below:

1) From 1994 until 2002 the LDWI program operated at a budget below recommended levels. Its total administrative and oversight budget was $1,500,000 over 9 years. This represented an annual average of 2.03 percent of the budget, which came to 2.97 percent below the Legislative Finance Committee's (LFC) audit recommendation of 5 percent. Lack of funding significantly limited the Department of Finance and Administration's (Local Government Division) capacity to exercise its oversight responsibilities. This was an important cause of many of the deficiencies noted in the LFC audit.

2) LDWI has oversight responsibility for 199 individual components operated at the county level. It must also exercise fiscal oversight for 251 separate budgets utilized to fund the 199 components at the local level.

3) 67 site-visits and 33 audits were conducted during FY 2005.

4) During the first quarter of FY 2005 the LDWI staff developed a strategic plan, which contains quantifiable goals and objectives. The plan was adopted on November 1, 2004.

5) Implementation of the ADE, Inc. online web-based offender tracking system was completed. Bernalillo Metro Court is the only local program not participating in the web-based system at this time. This significantly affects the analysis of the ADE online offender tracking system data.

6) LDWI staff expended considerable staff hours on monitoring the local county programs' contractors. The audit policies and procedures provide a detailed structure for the review of all contracts and contractor outcome data.

7) During FY 2005, LDWI staff, ADE Inc., and Toltec Evaluation Ltd., provided training and technical assistance site-visits to local programs and several multi-day training sessions.

8) Toltec Evaluation conducted four regional trainings throughout the state on program evaluation.

9) The LDWI program staff designed and implemented an audit program. The audit program provides a detailed step-by-step list of how an audit will be conducted and the documents a local county should have available for review. In support of the audit program, LDWI staff developed a protocol that governs the audit process.

10) The LDWI program has made efforts to improve the allocation process and to provide training to local program coordinators. This has allowed the LDWI program to improve

its fiscal oversight function and has significantly improved its review process for budget adjustments and progress reports.

FUNDING AND PROGRAM SERVICES

An amount of $11.6 million was funded to local programs in fiscal year 2005.

33	Distributions funded totaling $6.9 million.
31	Competitive Grants funded totaling $1.9 million.
6	Detoxification Grants funded totaling $2.8 million.

Local programs provide services in the areas of Prevention; Enforcement; Screening; Treatment; Alcohol Involved Domestic Violence; Compliance Monitoring and Tracking; Coordination, Planning and Evaluation; and Alternative Sentencing. Services provided by local county programs included the following.

87,767	Number of students receiving prevention activities.
4,189	School-based DWI/substance abuse prevention activities provided.
514	Number of schools receiving prevention activities.
176	Number of enforcement activities (i.e., checkpoints, saturation patrols, underage enforcement)
37,229	Treatment service hours provided.
11,582	Number of DWI offenders tracked.
6,371	Offenders screened (this excludes Bernalillo Metro Court, which represents approximately one-third of New Mexico's DWI data.)
4,762	Hours of alcohol-related Domestic Violence education or counseling provided.

RECOMMENDATIONS

1) Investigate whether services delivered to offenders are culturally and linguistically appropriate.
2) Investigate the technical feasibility of merging the DWI Master (DWIM) database, (Motor Vehicle Division, New Mexico Taxation and Revenue Department) with the ADE online offender tracking system to create an online offender tracking system. This database would provide a more complete profile of offenders and improve real-time data access for monitoring offenders.
3) LDWI staff should continue to work with the Bernalillo Metropolitan Court to reduce the backlog of offender data input.

4) The New Coordinator Training sessions should be provided to local program coordinators within 30 days of hire.
5) All contracts executed by local programs should include an evaluation section that requires contractors to furnish evaluative data. This will assure the efficiency and the efficacy of funded programs.
6) The DWI grant council and LDWI program staff continue to refine criteria that clearly establishes procedures to be followed in the event of serious program deficiencies at the local level.
7) Detoxification Programs should be included in the online managerial data system.

SECTION 1: FY 2005 EVALUATION

PART 1: 2005 EVALUATION

The evaluation of New Mexico's anti-DWI efforts is difficult because of the inherent problem of using the most rigorous scientific methods in evaluating a specific program's efforts. The gold standard of research methodology, random assignment to treatment, and the use of placebos would be very difficult to implement with DWI offenders. Therefore, researchers and evaluators must typically utilize quasi-experimental designs whose findings are typically less robust than those that result from the utilization of a true experimental design.

Another factor that dilutes the efficacy of evaluative efforts is the numerous anti-DWI programs that are being operated by different agencies throughout the state. For example, it is difficult to measure the efficacy of any single prevention program's efforts because it is very likely that a participant will be exposed to other DWI prevention messages. Another example is the difficulty of measuring the deterrent effect of saturation patrols and checkpoints on other members of the population who drive while intoxicated.

The DWI program has been the subject of numerous evaluation projects that were primarily designed to examine the efficacy of its efforts. During Fiscal Years 2004-2005, the local DWI program in conjunction with the local program coordinators, reviewed and revised the client-tracking database, which is based upon ADE Incorporated's proprietary Needs Assessment instrument. ADE and DFA staff initiated a program to convert the ADE screening and tracking database to a web-based system. The DFA Web-based Tracking System Conversion committee was established to oversee the transition to this system. Concurrent with this effort the committee also worked to modify the ADE screening and tracking database with a primary goal of improving client-tracking, gathering dosage data, and improving the interface to allow LDWI and the county programs to utilize data.

Toltec Evaluation was contracted to initiate a review of the existing evaluation plan and to implement improvements as needed. The evaluation plan recognized that further efforts in evaluating recidivism and efficacy would need to be delayed until the ADE database became fully operational and all of the counties' existing data was converted. It was therefore determined that the primary objectives for Fiscal Year 2005 would be to review the existing county reporting system and to implement a new system to facilitate LDWI's oversight and accountability functions. Previously, the counties submitted a narrative report that did not contain uniform data that could be compared with that of other counties or reviewed to assess a county program's efficiency. During FY 2005, a quarterly report system was developed in conjunction with LDWI staff and local program coordinators (see Exhibit 2). Several meetings were held at various locations throughout the state in order to solicit input from local coordinators.

Scope Of Evaluation

Given the size and complexity of the LDWI program the evaluation plan will be implemented over a three-year period. During the first year (FY 2005), the primary tasks were:

1) To develop LDWI goals and objectives
2) To develop and pilot a local county managerial data system
3) To train local program coordinators on evaluation methodologies
4) To conduct a technical assistance visit to local programs as requested
5) To interface with the organization of local county program coordinators (DWI Affiliate).

With the advent of a web-based ADE screening and tracking database, and given the plan to convert 33 counties during FY 2005, longitudinal studies of recidivism became unfeasible. Additionally, evaluation of the detoxification centers operated by six counties would be initiated in FY 2006.

PART 2: COMMENTS

General Comments

During the period that we monitored the Local DWI Grant Program (LDWI) its staff has made significant progress in addressing the major deficiencies summarized in the Legislative Finance Committee's (LFC) 2003 audit. The LDWI program has made significant progress in addressing systemic problems noted in the LFC audit.

1. From 1994 until 2003 the LDWI program operated at a budget below recommended levels. Its total administrative and oversight budget was $1,500,000. This represented an annual average of 2.03 percent of the budget, which came to 2.97 percent below the Legislative Finance Committee's (LFC) audit recommendation of 5 percent.
2. Lack of funding significantly limited the Department of Finance and Administration (Local Governments Division) capacity to exercise its oversight responsibilities.
3. Administrative under funding was an important cause of many of the deficiencies noted in the LFC audit.
4. LDWI has oversight responsibility for the 199 components operated at the county level. It must also exercise fiscal oversight for the 251 different budgets utilized to fund the 199 components at the local level.
5. 67 site-visits and 33 audits were conducted for a total of 100 site visits during FY 2005.
6. During the first quarter of FY 2005 the LDWI staff developed a strategic plan, which contains quantifiable goals and objectives. The plan was adopted on November 1, 2004.
7. During FY 2005, as part of its plan to develop an online web-based offender tracking system, the ADE (ADE Inc. of Clarkston Michigan) database was reviewed and revised and now contains dosage data.
8. Implementation of online web based offender tracking system was completed during September 2005.
9. Bernalillo Metro Court is approximately two-years behind in entering its tracking data. This significantly degrades the quality of the ADE online offender tracking system.
10. LDWI staff expended considerable staff hours on monitoring the local county programs' contractors. The audit policies and procedures provide a detailed structure for the review of all contracts and contractor outcome data.
11. During FY 2005, LDWI staff, ADE Inc., and Toltec Evaluation Ltd provided training and technical assistance to local programs, specifically, training and technical site visits and several multi-day training sessions.

12. LDWI staff created a new coordinator-training curriculum and placed interactive screening and tracking tutorial content on the Internet.
13. Toltec Evaluation conducted 4 regional trainings throughout the state on program evaluation.
14. The LDWI program staff designed and implemented an audit program. The audit program provides a detailed step-by-step list of how an audit will be conducted and the documents a local county should have available for review. In support of the audit program, LDWI staff developed a protocol that governs the audit process.
15. The LDWI program has made efforts to improve the allocation process and to provide training to local program coordinators. This has allowed the LDWI program to improve its fiscal oversight function and has significantly improved its review process for budget adjustments and progress reports.
16. Increased staffing allowed the program to fill the staff position responsible for developing and implementing an audit process.
17. Toltec Evaluation reviewed budget adjustments and provided timely information to county programs to minimize future audit findings related to budget revisions.
18. The majority of local program coordinators we contacted are highly motivated and dedicated to reducing the incidence of DWI fatalities and injuries in the state of New Mexico.
19. Given the nature of this position and the limited resources available for coordinator salaries we expect that the LDWI program and the local county programs will continue to face consistent turnover. This may tend to limit overall program efficacy.

During FY 2005, LDWI distributed $11,572,064.39 to the local county programs who operated 199 component areas funded by distribution and grants are shown in Table 6 (see also Exhibit 3).[1] LDWI has oversight responsibility for the 199 components operated by the 33 local programs, it must also exercise fiscal oversight for the 251 different budgets (Table 7) that are utilized to fund the 199 components at the local level (Exhibit 4).[2] Each of the two oversight functions constitute discrete areas, and while some overlap does exist, the function of program and fiscal oversight are guided by separate policy and procedures.[3] In the case of fiscal oversight LDWI monitors program budgets to assure:

1) The programs follow the New Mexico procurement code.
2) That purchase orders and contracts are in compliance with state regulations.
3) That all invoices have been properly approved and disbursed.
4) That all requisitions for payment involving DWI funds meet all regulations.
5) That all fees collected have been accounted for and forwarded to the fiscal agent.

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[1] The state of New Mexico's fiscal year 2005 is from July 1, 2004 to June 30, 2005.
[2]. A component may be funded by distribution and grant funds, and each type of revenue stream must have its own budget, as a result there are significantly more budgets than component programs.
[3]. Department of Finance and Administration, Local Government Division/DWI, Local DWI Coordinator Administrative Manual, October 2004 (Revision #1). All local DWI grant and/or distribution programs must set up a separate Local DWI Grant and Distribution Program Fund in the County's budget or in the budget of the municipality designated by the County. This fund must be included in the entity's budget process and financial reports. It is highly recommended that In-Kind Matches for the grant and distribution programs also be segregated in the budget and clearly identifiable.

As LDWI's oversight function extends to the component level; the LDWI program's workload is better understood by examining the number of programmatic components and the budgets that fund their operation. In sum, LDWI staff is responsible for a total of 450 program components and budgets. The fact that many counties contract for the delivery of program services increases the complexity of LDWI's programmatic and fiscal oversight functions. Table 6 provides the number of counties operating component programs by type and the percentage of the 33 counties that operate a specific component

Table 1 Number of components operated by local programs

Component	Number of programs operated	Percent of New Mexico counties (33)	Rank
Compliance Monitoring /Tracking	32	96.97%	1
Coordination. Planning & Evaluation	32	96.97%	1
Screening	31	93.94%	2
Treatment	31	93.94%	2
Prevention	29	87.88%	3
Enforcement	22	66.67%	4
Alternative Sentencing	18	54.55%	5
Domestic Violence	4	12.12%	6
Number of Components (Programs)	199		

Table 2 Number of budgets

Component	Number of Budgets
Prevention	43
Enforcement	30
Screening	19
Domestic Violence	5
Treatment	41
Compliance Monitoring /Tracking	41
Coordination. Planning & Evaluation	49
Alternative Sentencing	23
Number of individual budgets	251

Component Expenditures

In fiscal year 2005, the LDWI program allocated $11,572,064 to local county programs in distribution and grants. Table 3 shows the expenditure of LDWI funds by component. The treatment component accounted for approximately 50 percent of the funds expended by local programs, while screening, enforcement, and domestic violence combined consumed slightly more than 5 percent.

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Table 3 FY 2005 component expenditures by rank

Component	Total expenditure	Percent	Rank
Treatment	5,647,437.36	50.97%	1
Coordination. Planning & Evaluation	1,676,076.86	15.13%	2
Prevention	1,333,606.96	12.04%	3
Compliance Monitoring /Tracking	1,086,858.44	9.81%	4
Alternative Sentencing	767,400.55	6.93%	5
Screening	318,587.72	2.88%	6
Enforcement	197,399.58	1.78%	7
Domestic Violence	53,630.74	0.48%	8
Total expenditures	11,080,998.21	100.00%	

The top five funded counties consumed nearly 63 percent of the total LDWI budget while the top ten counties expended three of every four dollars. The top five counties accounted for 54 percent of New Mexico's population and expended 63 percent of LDWI funds. The top five counties per capita expenditure ($7.11) were greater than the state's ($6.09). While these levels of expenditures may be justified, the fact remains that the top ten counties percentage of total expenditures is above their percentage of the state's population, and their per capita expenditure is higher than the state average.

During FY 2005, the 33 counties had access to a budget of $11,572,064, of this $11,080,998 was expended, leaving a total of $491,066 unexpended. As Table 9 indicates, the return of unexpended funds suggests that some local programs may have problems with their budgeting or fiscal tracking operations.

Table 4 top ten counties by expenditures

County	Population 2004	Total Expenditure $	Percent of population	Percent of expenditure	Expenditure per capita $
Bernalillo	556,678	3,818,117.36	30.60%	34.46%	6.86
San Juan	89,908	1,068,633.99	4.94%	9.64%	11.89
Santa Fe	129,292	954,491.84	7.11%	8.61%	7.38
Sandoval	30,126	575,604.83	1.66%	5.19%	19.11
Dona Ana	174,682	554,653.93	9.60%	5.01%	3.18
Total	980,686	6,971,501.95	53.91%	62.91%	7.11
McKinley	74,798	479,508.79	4.11%	4.33%	6.41
Rio Arriba	41,190	394,295.18	2.26%	3.56%	9.57
Chaves	61,382	262,800.44	3.37%	2.37%	4.28
Valencia	66,152	216,670.91	3.64%	1.96%	3.28
Eddy	51,658	212,279.86	2.84%	1.92%	4.11
Total	295,180	1,565,555.18	16.23%	14.13%	5.30
Total top ten	1,275,866	8,537,057.13	70.14%	77.04%	6.69
State Population	1,819,046	11,080,998.21	100%	100%	6.09

Table 5 Local DWI Distribution, Grant, and Detoxification Program Expenditures—FY 2005

County	Total expenditures	Funding level (budget)	Expenditures as percent % of funding	Unexpended balance
Bernalillo	3,818,117.36	3,946,082.23	96.76%	127,964.87
Catron (Reserve)	74,228.85	74,360.35	99.82%	131.50
Chaves	262,800.44	262,800.44	100.00%	0.00
Cibola	172,834.25	173,530.70	99.60%	696.45
Colfax	67,250.96	67,250.96	100.00%	0.00
Curry	195,657.65	197,165.55	99.24%	1,507.90
De Baca (Fort Sumner)	56,360.35	56,360.35	100.00%	0.00
Dona Ana	554,653.93	607,612.90	91.28%	52,958.97
Eddy	212,279.86	212,279.86	100.00%	0.00
Grant	132,497.91	143,048.63	92.62%	10,550.72
Guadalupe	62,110.10	63,460.35	97.87%	1,350.25
Harding	62,528.33	64,360.35	97.15%	1,832.02
Hidalgo	58,431.79	64,360.35	90.79%	5,928.56
Lea	186,115.55	207,327.03	89.77%	21,211.48
Lincoln (Ruidoso)	49,566.39	96,875.80	51.16%	47,309.41
Los Alamos	69,360.35	69,360.35	100.00%	0.00
Luna	134,603.77	136,014.59	98.96%	1,410.82
McKinley	479,508.79	490,308.79	97.80%	10,800.00
Mora	65,951.17	70,360.35	93.73%	4,409.18
Otero	192,919.94	192,919.94	100.00%	0.00
Quay	117,537.74	119,880.07	98.05%	2,342.33
Rio Arriba	394,295.18	448,222.19	87.97%	53,927.01
Roosevelt (Portales)	114,269.85	116,441.12	98.14%	2,171.27
San Juan	1,068,633.99	1,068,633.99	100.00%	0.00
San Miguel	142,322.75	142,322.79	100.00%	0.04
Sandoval	575,604.83	590,878.04	97.42%	15,273.21
Santa Fe	954,491.84	980,962.01	97.30%	26,470.17
Sierra (Truth or Consequences)	126,220.12	133,095.52	94.83%	6,875.40
Socorro	195,814.36	209,177.59	93.61%	13,363.23
Taos	150,535.83	178,967.24	84.11%	28,431.41
Torrance	70,462.72	119,360.35	59.03%	48,897.63
Union	46,360.35	46,360.35	100.00%	0.00
Valencia (Los Lunas)	216,670.91	221,923.26	97.63%	5,252.35
Totals	11,080,998.21	11,572,064.39	95.76%	491,066.18

Offender Profile

1. 80.02 percent of offenders were male.
2. While Hispanics comprise 42.1 percent of the population, 52.41 percent of offenders screened and entered into the ADE database were identified as "Hispanic."
3. While they comprise 9.5 percent of the population, 21.48 percent of offenders screened were identified as Native Americans.
4. 73.89 percent of offenders screened were "Hispanics" or Native Americans.
5. 80.49 percent of offenders screened were age 21 through 50.
6. Three out of four offenders had 12 years of education or less.
7. 28.91 percent indicated that they had less than 11 years of education.
8. 45.68 percent had an annual income of less than 10,000 dollars. Over 70 percent of offenders listed an annual income of less than 20,000 dollars.
9. 47.39 percent of offenders began consuming alcohol between the ages of 13 and 20.

Utilizing the ADE database, Figures 3 through 7 provide a profile of offenders who were administered the ADE Needs instrument. The data for the analysis that follows is for the period January 1, 2000 to June 30, 2005.[4] For the five years between 2000 and 2004, 8 out of every 10 offenders were male. In 2003, for example, according to the United States Census Bureau 43.40 percent of New Mexico's population identified themselves as "Hispanic". During 2003, 54.43 percent of offenders screened and entered into the ADE database were "Hispanic". In the same year, census data indicates that Native Americans comprised 9.1 percent of the population while 19.14 percent of offenders screened during this year were Native Americans. Taken together, during 2003, "Hispanics" and Native Americans were 73.58 percent of offenders who were screened. During 2003, the United States Census Bureau estimated per capita income of New Mexico to be $18,353. During 2003, 45.42 percent of offenders screened had incomes of less than $10,000, and 72.93 percent of offenders had incomes below $20,000.

With regard to educational attainment, over the five-year period between January 1, 2000 and December 31, 2004, slightly over 30 percent of offenders screened had less than 12 years of education. The ADE Needs instrument asks respondents to give the age at which they first consumed alcohol. The highest number of responses was for the 16-18 age group. For 2000 through 2005, 28.14 percent of offenders first consumed alcohol between the ages of 16-18. The second highest response is for the period between 21-24 years of age with 16.69 percent of offenders reporting their first consumption of alcohol between these ages. A majority of offenders (56.81 percent) indicated that they first consumed alcohol between the ages of 16 to 24.[5] The ADE Needs instrument uses a proprietary formula to assess the severity of an individual's alcohol/drug use problem. For the period in question, 41.83 percent of offenders screened had a "severe problem" in regard to substance abuse. Only 3.14 percent of offenders had "no apparent problem".

The two primary databases utilized to track DWI offenders in the state of New Mexico are the DWI Citation Tracking File maintained by the Motor Vehicle Division (MVD) of the New

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[4] Some of the analysis for this section is based on the period of January 1, 2000 to December 31, 2004 and is noted when this time period is utilized

[5] It should be noted that of the 33,068 records examined 7,957 listed 0 years for this category. This is a significant percentage and may be attributable to offenders not responding to this question or a data entry error.

Mexico Taxation and Revenue Department, and the ADE Incorporated (Clarkston, MI) Screening and Tracking database. The DWI Citation Tracking File database has a minimum of demographic data; the primary source for demographic data on DWI offenders is the ADE Screening and Tracking database. Table 5 provides data on the percent of offenders convicted who completed the ADE Needs assessment. It is not possible to utilize the ADE database to provide a demographic profile of persons who received a DWI citation as this database provides information on those offenders who were convicted and screened utilizing the ADE Needs instrument. The offenders are overwhelmingly male and either "Hispanic" or Native American. Significant numbers of offenders are below the state per capita income figure. A majority of offenders (56.81 percent) reported that they began to consume alcohol between ages 16-24. Over 40 percent of offenders had a "severe problem" with substance abuse. This data indicates that a significant problem is the overrepresentation of "Hispanics" and Native Americans. The data is silent with regard to the causal factors driving overrepresentation of these two groups. Further, there is limited information available on prevention programs targeted at these two populations. Nonetheless, it seems clear that a primary focus of anti-DWI efforts in the state of New Mexico should address methods that will impact these offenders.

Table 6 Percent of Convictions Screened

Year	Convictions	Screenings	Percent of convictions screened
2000	13,630	6376	46.78%
2001	13,419	6111	45.54%
2002	12,749	5616	44.05%
2003	12,395	5515	44.49%
2004	9,668	6339	65.57%

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Figure 1 Race of offenders screened 2000-2005
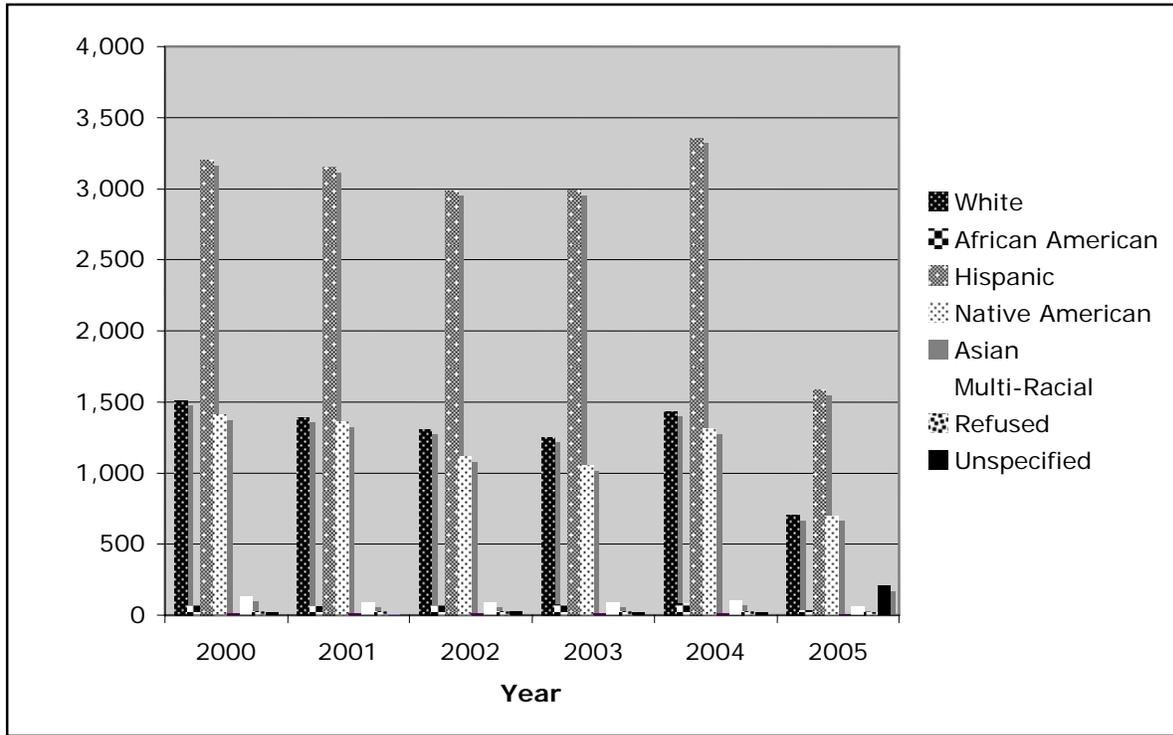
Figure 2 Gender of offenders screened 2000-2005
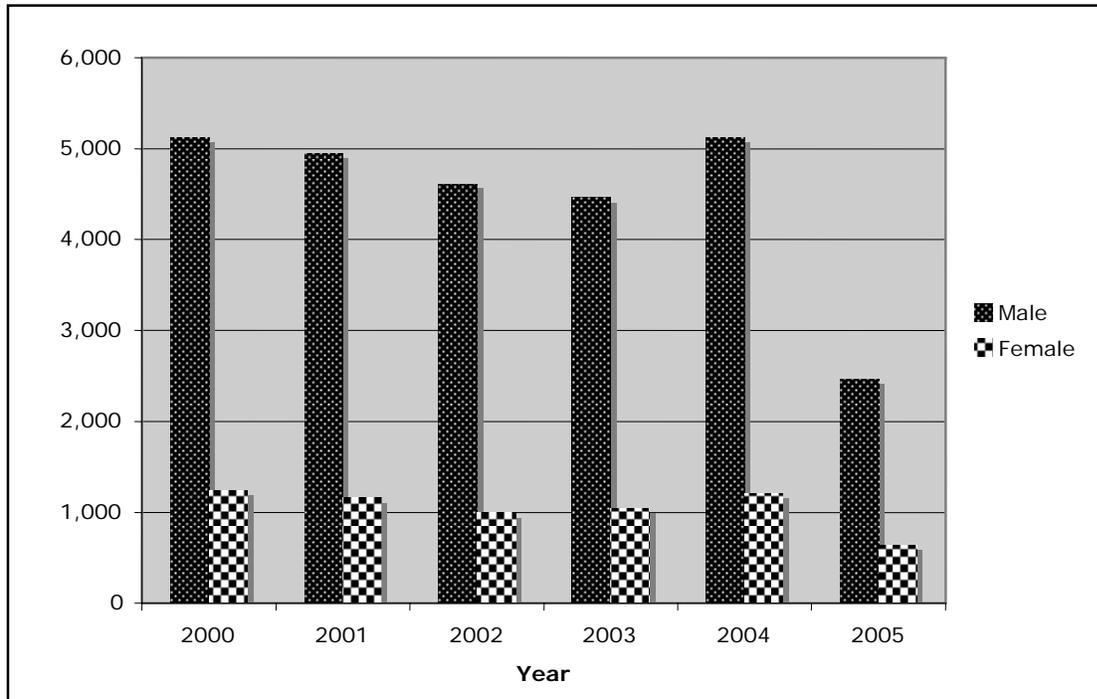
Figure 3 Educational attainment level of offenders screened 2000-2005
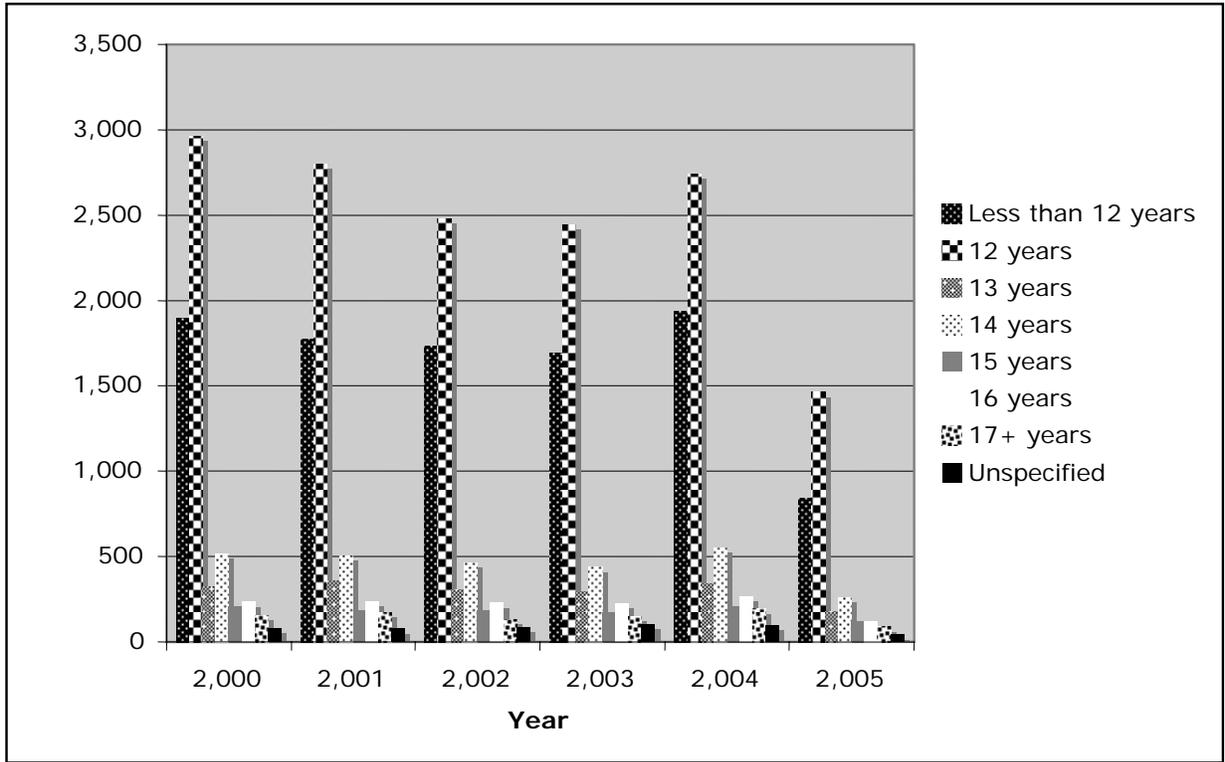
Figure 4 Income level of offenders screened 2000-2005
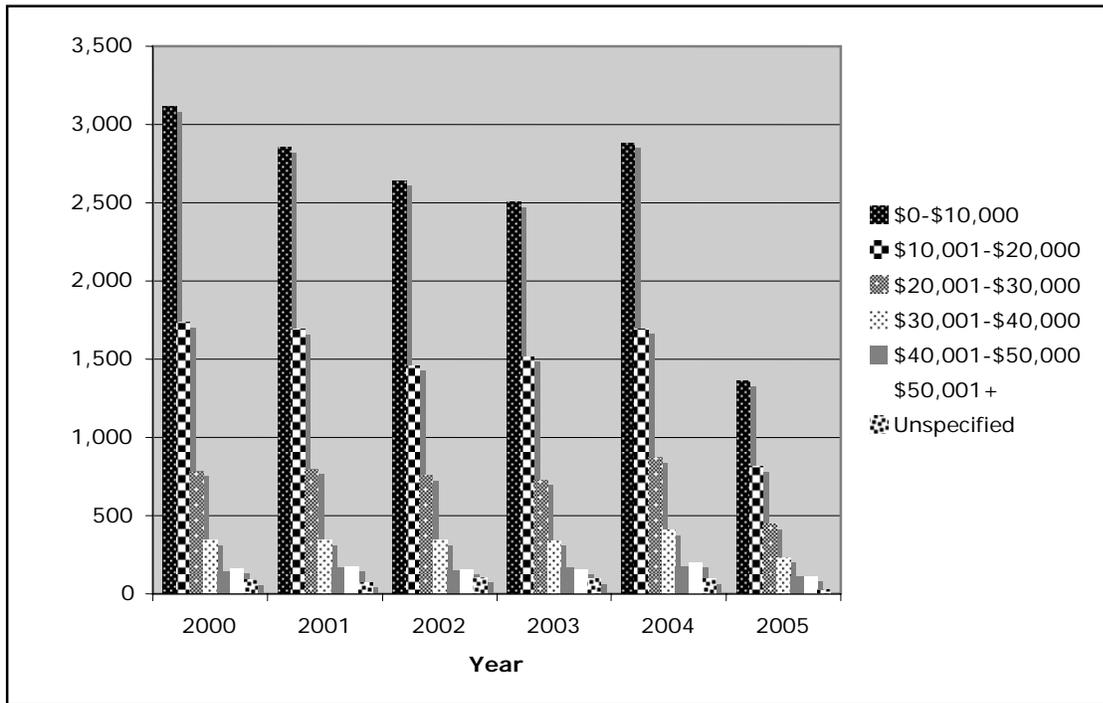
Figure 5 Level of alcohol problem of offenders screened 2000-2005
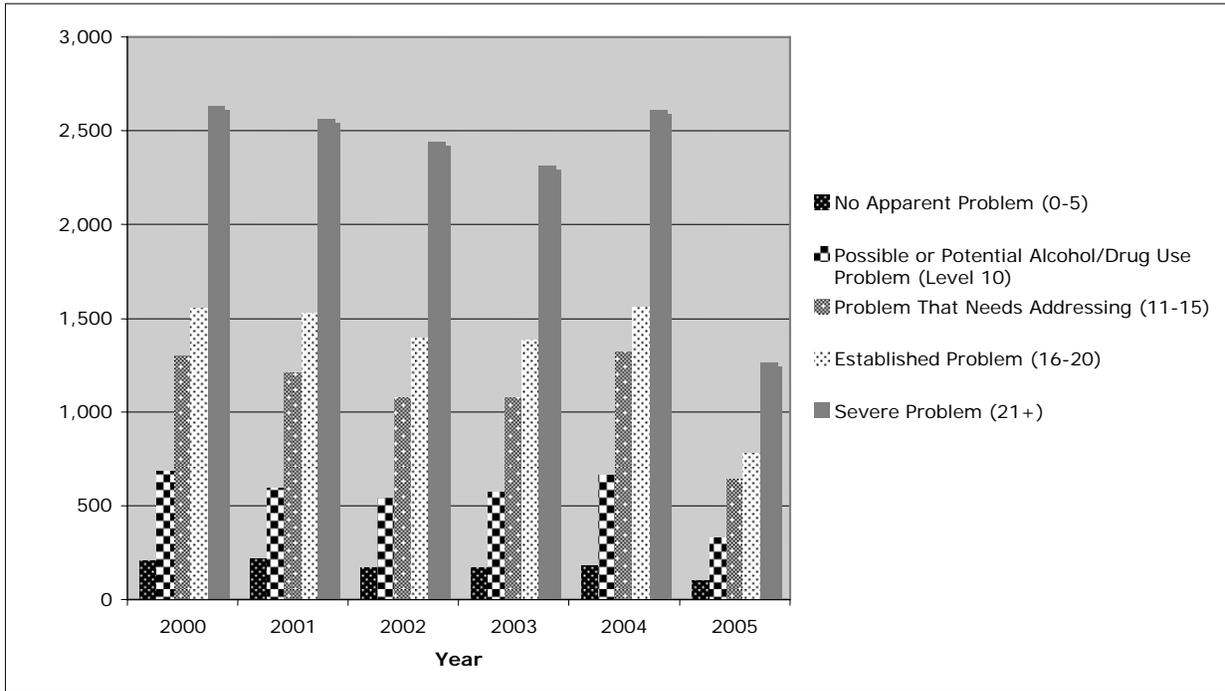
Figure 6 Age at which offenders screened 2000-2005 first consumed alcohol
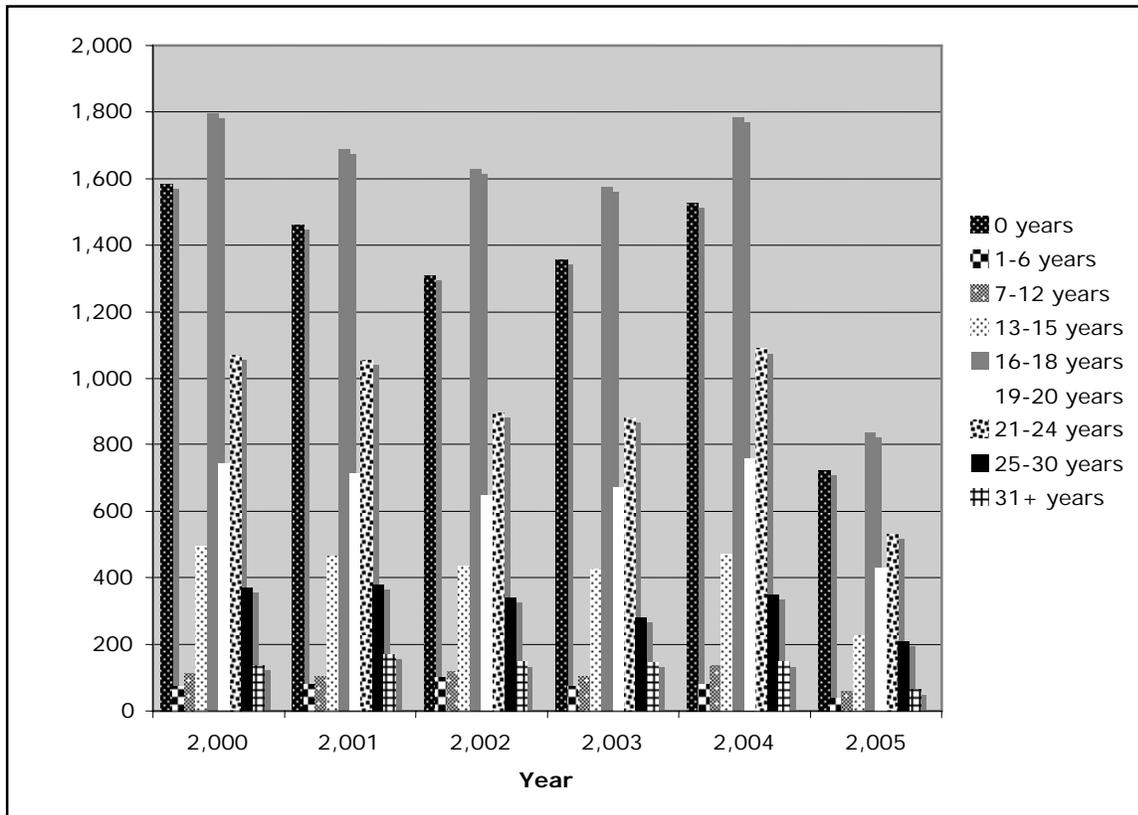
FY 2005 Offender Demographic Profile Tables

Table 7 Age at screening FY 2005

Age	Number	Percent
1-15 years	6	0.09%
16-18 years	133	2.09%
19-20 years	449	7.05%
21-25 years	1342	21.06%
26-35 years	1768	27.75%
36-50 years	2018	31.67%
51-70 years	610	9.57%
70+ years	37	0.58%
Unspecified	8	0.13%
Total	6371	100.00%

Table 8 Gender at screening FY 2005

Gender	Number	Percent
Male	5113	80.27%
Female	1257	19.73%
Total	6370	100.00%

Table 9 Race at screening FY 2005

Race	Number	Percent
White	1425	22.41%
African American	77	1.21%
Hispanic	3333	52.41%
Native American	1366	21.48%
Asian	14	0.22%
Multi-Racial	115	1.81%
Refused	27	0.42%
Unspecified	2	0.03%
Total	6359	100.00%

Table 10 Educational attainment level at screening FY 2005

Years of Education	Number	Percent
1-5 years	180	2.83%
6-8 years	359	5.63%
9 years	332	5.21%
10 years	405	6.36%
11 years	566	8.88%
12 years	2884	45.27%
13 years	360	5.65%
14 years	522	8.19%
15 years	226	3.55%
16 years	257	4.03%
17+ years	195	3.06%
Unspecified	85	1.33%
Total	6371	

Table 11 Income level at screening FY 2005

Income level	Number	Percent
$0-$10,000	2872	45.68%
$10,001-$20,000	1666	26.50%
$20,001-$30,000	892	14.19%
$30,001-$40,000	437	6.95%
$40,001-$50,000	196	3.12%
$50,001+	224	3.56%
Unspecified	0	0.00%
Total	6287	100.00%

Table 12 Level of Alcohol problem at screening FY 2005

Level of problem	Number	Percent
No Apparent Problem (0-5)	195	3.06%
Possible or Potential Alcohol/Drug Use Problem (Level 10)	653	10.26%
Problem That Needs Addressing (11-15)	1316	20.68%
Established Problem (16-20)	1584	24.89%
Severe Problem (21+)	2617	41.12%
Total	6365	100.00%

Table 13 Age began consuming alcohol at screening FY 2005

Age	Number	Percent
0 years	1506	23.64%
1-6 years	77	1.21%
7-12 years	135	2.12%
13-15 years	473	7.43%
16-18 years	1738	27.28%
19-20 years	808	12.68%
21-24 years	1104	17.33%
25-30 years	396	6.22%
31+ years	133	2.09%
Unspecified	0	0.00%
Total	6370	100.00%

COMPONENT COMMENTS

Prevention

1. 2,620 prevention activities provided with a total attendance of 159,184.
2. 4,189 school-based DWI/substance abuse prevention activities with a total attendance of 87,767 students. These activities were conducted in 514 schools (unduplicated).
3. 10,134 DWI related public awareness or media activities provided reaching a total of 15,543,381 people.
4. Local programs participated in 338 community outreach prevention activities (health fairs, community events, etc.).

Enforcement

1. 176 Check Points, Saturation Patrols, and other enforcement activities funded by Local DWI programs. These activities comprised 19 checkpoint activities, 140 saturation patrol activities, and 17 other enforcement activities (Cops N Shops, etc).
2. 634,968 people reached by LDWI funded Check Point and Saturation Patrol media and public awareness activities.
3. 892 citations, 70 arrests, and 43 DWI arrests generated by LDWI enforcement activities.
4. LDWI funds generated 1,368 officer hours.

Screening

1. 6371 offenders were screened. *
2. The ADE Needs Assessment categorizes the level of the offender's alcohol problem. Using this index, 2617 (41.12 percent) of offenders had a "severe" problem.
3. A total of 86.68 percent of offenders were assessed in the following categories:
   a) Problem That Needs Addressing, 1316 (20.68%).
   b) Established Problem, 1584 (24.89%).
   c) Severe Problem, 2617 (41.12%).

*This data excludes Bernalillo Metro Court, which represents approximately one third of New Mexico's DWI data.

Domestic Violence (Alcohol Involved)

1. 184 offenders referred to domestic violence program.
2. 4,762 hours of classroom or counseling provided.
3. 65 offenders completed domestic violence programs.

Outpatient Treatment

1. 5,365 offenders referred to funded treatment programs; of these 95.84 percent started treatment.
2. 383 (7.45 percent) were terminated from treatment.
3. 1,442 offenders referred to non-DWI funded treatment programs were monitored.
4. LDWI funded 37,229 hours of treatment services as shown in Table A.

Table 14 FY 2005 LDWI funded treatment hours

Type of counseling service	Hours
DWI funded hours of substance abuse education	5,359
DWI funded hours of individual treatment/counseling	8,927
DWI funded hours of family counseling	1,057
DWI funded hours of group counseling	15,595
DWI funded hours of case management/care coordination	4,409
DWI funded hours of traditional healing (sweat lodge, etc.)	1,882
Total DWI funded treatment service hours provided	37,229

Compliance Monitoring and Tracking

1. 11,582 offenders were monitored (June 30, 2005). *
2. 448 offenders were non-compliant (June 30, 2005). *

*This data excludes Bernalillo Metro Court, which represents approximately one third of New Mexico's DWI data.

Coordination, Planning and Evaluation

1. 1,708 DWI related meetings attended by local program staff/contracted employees.
2. 477 DWI related meetings coordinated by local program staff/contracted employees.
3. 148 training activities attended by local program staff/contracted employees.
4. Local program staff/contracted employees provided 148 training activities.
5. 2,303 participants attended LDWI training activities.
6. 786 information dissemination activities delivered by LDWI local program staff.
7. 2,063 media/public awareness activities delivered by LDWI local program staff.
8. LDWI local program media/public awareness activities 19,087,675 people.
9. 56,010 flyers, posters, or newsletters were distributed.
10. 268 billboards/banners displayed.
11. $452,634 in fees collected from DWI offenders.

Alternative Sentencing

1. 2,591 offenders referred to alternative sentencing.
2. 2,076 offenders began alternative sentencing.
3. 936 offenders completed probation.

Local County Managerial Data Reporting System

One of the primary objectives of the current evaluation was to develop a local data reporting system that would allow for collection of standardized data from the 33 local programs. The previous evaluator, Dr. Paul Guerin had submitted a draft of a Local County Data Reporting System (LCDRS) at the completion of his contact. This document formed the basis of the reporting system developed by the current contractor Toltec Evaluation. Unfortunately, Dr. Guerin was unable to solicit input from the local programs, although a small group of program coordinators did review the document. At the outset of the development of the LCDRS counties determined that a successful system necessitated input from the coordinators. The counties expended substantial time developing the LCDRS. The system consists of three components, the reporting form spreadsheet, contractor report forms, and a spreadsheet to aggregate local data. On September 23rd, the Principal Evaluator (PE) and Research Assistant (RA) met with Dr. Guerin to discuss the IRS's evaluation of LDWI.

Several discussions with LDWI staff, produced a revised LCDRS draft, and these changes essentially created a new system, leading to workshops conducted in Grants, December 6th;Truth or Consequences, (December 8th; Las Vegas, December 9th; and Roswell, December 13th. The goals of the workshop were twofold:

1) To provide basic information on program evaluation; and
2) To gather input from coordinators concerning the quarterly report form.

The feedback received during the workshops was very beneficial and LCDRS forms were revised following every session. Following the workshops, e-mail feedback was received from coordinators and was incorporated into the main program and contractor report forms. At the request of local program coordinators the first version of the quarterly report system was delivered to the counties in December 2004. The initial plan was to develop the quarterly report system as an MS Excel document, which would facilitate calculation of totals and other data analysis. The county coordinators agreed that they should submit first quarter data even though most counties had already submitted a narrative report. After the initial distribution, the counties submitted their data. Not all counties reported data. During the third quarter, county coordinators provided additional information to further streamline the reporting process. As is typical in the development of a large-scale reporting system, work has continued throughout the fiscal year to improve the system to allow local program coordinators to report program data to LDWI. The system will be available online at the ADE database website in mid November 2005.

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Prevention

Table 15 Fiscal Year 2005 Prevention Summary

	1st Qtr	2nd Qtr	3rd Qtr	4th Qtr.	Annual
LDWI funded prevention activities	381	859	791	589	2,620
Number of persons who attended LDWI funded prevention activities	63,058	30,992	34,935	30,199	159,184
LDWI funded school-based DWI/substance abuse prevention activities	143	572	421	3,053	4,189
Schools at which LDWI funded prevention activities occurred (unduplicated)	88	139	145	142	514
Students who received LDWI funded prevention activities	11,657	21,932	17,795	36,383	87,767
LDWI funded DWI related public awareness or media activities	1,667	4,920	1,735	1,812	10,134
People reached by LDWI funded media activities	1,455,851	10,661,407	1,202,855	2,223,268	15,543,381
Community outreach prevention activities (health fairs, community events, etc.)	50	65	51	172	338
Number of prevention personnel on staff and in certification training	39	39	50	40	

Enforcement

Table 16 Fiscal Year 2005 Enforcement Summary

Enforcement	1st Qtr	2nd Qtr	3rd Qtr	4th Qtr.	Annual
LDWI funded checkpoint activities	12	5	0	2	19
People reached by LDWI funded Check Point media and public awareness activities	317,927	103,097	55,000	56,000	532,024
LDWI funded saturation patrol activities	37	88	1	14	140
People reached by LDWI funded saturation patrol media and public awareness activities	0	57,694	0	45,250	102,944
Other LDWI funded enforcement activities (Cops N Shops, etc)	1	9	6	1	17
LDWI funded Check Points, Saturation Patrols, and Other enforcement activities	50	102	7	17	176
Number of officer hours expended on LDWI funded Check Points, Saturation Patrols, and Other enforcement activities	416	735	10	208	1,368
Total number of citations issued at LDWI funded Check Points, Saturation Patrols, and Other enforcement activities	210	478	6	198	892
Arrests at LDWI funded at Check Points, Saturation Patrols and Other enforcement activities	6	41	1	22	70
DWI arrests at LDWI funded Check Points, Saturation Patrols and Other enforcement activities	2	26	1	14	43
Total number of DWI Arrests in County (Funded and Non-Funded)	287	1,324	92	97	1,800

Screening

Table 17 Fiscal Year 2005 Screening Summary

Screening: Administration of ADE Needs Survey only	1st Qtr	2nd Qtr	3rd Qtr	4th Qtr.	Annual
Total number of offenders referred to ADE screening by Magistrate Court	697	1,008	297	136	2,138
Total number of offenders referred to ADE screening by Municipal Court	348	517	50	50	965
Total number of offenders referred to ADE screening by District Court	17	29	9	1	56
Total number of offenders referred to ADE screening by Metro Court	1	3	74	0	78
Total number of offenders referred to ADE screening	736	1,391	143	142	2,412
Total number of offenders Administered ADE Needs Survey	1,010	1,336	332	154	2,832
Total number of other court mandated screenings from all courts	145	149	19	44	357

Domestic Violence (Alcohol Involved)

Table 18 Fiscal Year 2005 Domestic Violence Summary

Domestic Violence	1st Qtr	2nd Qtr	3rd Qtr	4th Qtr.	Annual
Offenders referred to domestic violence program	41	43	62	38	184
Offenders that began domestic violence program	37	43	62	53	195
Offenders that completed domestic violence program	8	33	10	14	65
Domestic violence intervention hours (total offender-hours in classroom or counseling setting)	1228	1388	1104	1042	4762
Total number of offender "no shows"	4	6	0	0	10
Offender who failed to attend a Domestic Violence sentenced activity	4	6	1	21	32
Domestic violence media/public awareness activities	0	0	1	2	3

Table 19 Out-Patient Treatment

Fiscal Year 2005 DWI-funded and non-DWI funded Outpatient Treatment summary

Outpatient Treatment	1st Qtr	2nd Qtr	3rd Qtr	4th Qtr.	Annual
Offenders who received (started) DWI funded or non-funded treatment	737	708	1432	661	3538
Other alcohol related offenders who were referred to DWI funded or non-funded treatment	473	232	1322	734	2761
Drug/alcohol tests administered (DWI funded)	0	17	0	1	18
Offenders that failed drug/alcohol test (administered by treatment provider).	233	445	1750	2	2430

Table 20 Fiscal Year 2005 DWI-funded Outpatient Treatment hours summary

Outpatient Treatment	1st Qtr	2nd Qtr	3rd Qtr	4th Qtr.	Annual
DWI funded hours of substance abuse education	1,026	1,194	1,980	1,160	5,359
DWI funded hours of individual treatment/counseling	1,484	1,357	4,564	1,522	8,927
DWI funded hours of family counseling	455	381	167	54	1,057
DWI funded hours of group counseling	2,314	2,494	8,668	2,119	15,595
DWI funded hours of case management/care coordination	2,299	2,110	0	0	4,409
DWI funded hours of traditional healing (sweat lodge, etc.)	602	562	539	180	1,882
Total DWI funded treatment service hours provided	8,179	8,097	15,918	5,035	37,229

Compliance Monitoring and Tracking

Table 21 Fiscal Year 2005 Compliance Monitoring summary

Compliance Monitoring	1st Qtr	2nd Qtr	3rd Qtr	4th Qtr.	Annual
Number of offenders currently being tracked (active)	6,954	9,512	9,202	7,537	33,205
Offenders who successfully completed all court ordered sanctions	692	3,959	1,048	997	6,696
Offenders who failed to attend a scheduled contact with compliance monitor (phone in or in person)	541	798	374	342	2,055
Offenders noncompliant (with J&S—unduplicated)	608	521	10	9	1,148
Offenders who failed to attend a sentenced activity (unduplicated)	906	573	397	605	2,481
Hours compliance monitors expended reviewing cases with judges	880	1,145	73	79	2,177
DWI funded FTE compliance monitors.	14.73	71.23	50	132.33	
Average compliance monitor caseload	472.10	133.54	184.04	56.96	123.77
Drug/alcohol tests ordered or administered by compliance monitor/DWI Program (DWI funded)	2,247	2,342	2,256	0	6,845
Failed drug/alcohol tests ordered or administered by compliance monitor/DWI Program (DWI funded)	149	168	180	0	497
Drug tests administered by treatment provider and/or compliance monitor)	279	1,468	1,824	0	3,571
Failed drug tests administered by treatment provider and/or compliance monitor	92	141	146	0	379

Coordination, Planning, and Evaluation

Table 22 Fiscal Year 2005 Coordination, Planning, and Evaluation staff summary

Coordination, Planning, and Evaluation	1st Qtr	2nd Qtr	3rd Qtr	4th Qtr.	Annual
Number of LADACS on staff	16	15	11	16	
Number of substance abuse interns	8	8	6	6	
Number of Certified Prevention Specialists on staff	6	4	6	6	

Table 23 Fiscal Year 2005 Coordination, Planning, and Evaluation DWI Planning Council summary

Coordination, Planning, and Evaluation	1st Qtr	2nd Qtr	3rd Qtr	4th Qtr.	Annual
Number of DWI Planning Council members	611	470	483	492	
Number of DWI Planning Council meetings conducted	66	76	68	69	279
Average DWI Planning Council member attendance (per meeting)	300	297	304	312	
Total number of non-voting participants at all DWI Planning Council meetings	191	194	217	121	723

Table 24 Fiscal Year 2005 Coordination, Planning, and Evaluation coordination and training activities summary

Coordination, Planning, and Evaluation	1st Qtr	2nd Qtr	3rd Qtr	4th Qtr.	Annual
Number of DWI related meetings attended by staff/contracted employees	385	394	407	522	1,708
Number of DWI related meetings coordinated	94	112	124	147	477
Number of training activities attended	90	96	85	104	375
Number of training activities provided	28	35	40	45	148
Number of participants or staff at provided training activities	749	637	340	577	2,303
Number of coalitions that DWI coordinator is a member	126	111	126	121	484

Table 25 Fiscal Year 2005 Coordination, Planning, and Evaluation information dissemination summary

Coordination, Planning, and Evaluation	1st Qtr	2nd Qtr	3rd Qtr	4th Qtr.	Annual
Number of information dissemination activities provided	91	287	343	65	786
Number of media/public awareness activities	151	1,624	122	166	2,063
Number of people reached by media/public awareness activities	2,004,395	10,768,083	5,342,639	972,558	19,087,675
Number of media interviews given	24	35	34	36	129
Number of flyers, posters, or newsletters produced	12,087	11,623	11,423	8,362	43,495
Number of flyers, posters, or newsletters distributed	14,704	13,998	15,931	11,377	56,010
Number of billboards/banners funded	62	59	75	72	268
Number of days billboards or banners were displayed	664	595	1,027	847	3,133

Table 26 Fiscal Year 2005 Coordination, Planning, and Evaluation Fees collected summary

	1st Qtr	2nd Qtr	3rd Qtr	4th Qtr.	Annual
Total amount of fees collected	$161,350	$82,282	$130,103	$78,898	$452,634

2005Alternative Sentencing

Table 27 Fiscal Year 2005Alternative Sentencing summary

Alternative Sentencing	1st Qtr	2nd Qtr	3rd Qtr	4th Qtr.	Annual
Offenders referred to alternative sentencing	576	868	421	726	2,591
Offenders who started alternative sentencing	543	786	303	444	2,076
Offenders who completed probation	321	271	166	178	936
Offenders that were non-compliant with court ordered sanctions	253	73	99	395	820

PART 3 RECOMMENDATIONS

1. Investigate whether services delivered to offenders are culturally and linguistically appropriate.
2. Investigate the technical feasibility of merging the DWI Master (DWIM) database, (Motor Vehicle Division, New Mexico Taxation and Revenue Department) with the ADE online offender tracking system to create an online offender tracking system. This database would provide a more complete profile of offenders and improve real-time data access for monitoring offenders.
3. LDWI staff should continue to work with the Bernalillo Metropolitan Court to reduce the backlog of offender data input.
4. The New Coordinator Training sessions should be provided to local program coordinators within 30 days of hire.
5. All contracts executed by local programs should include an evaluation section that requires contractors to furnish evaluative data. This will assure the efficiency and the efficacy of funded programs.
6. The DWI grant council and LDWI program staff continue to refine criteria that clearly establishes procedures to be followed in the event of serious program deficiencies at the local level.
7. Detoxification programs should be included in the online managerial data system.
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SECTION 2: LEGISLATIVE FINANCE COMMITTEE AUDIT

PART 1: ACTIVITIES IN RESPONSE TO LFC AUDIT

Background

During FY 2003, the Legislative Finance Committee (LFC) conducted an audit of the LDWI program. The audit team presented 18 findings that have been used as the basis for evaluating the LDWI program. The program's interim and final responses are found in Exhibit 5 and 6 respectively. In the section that follows, each of the LFC audit team's findings are listed and the actions the LDWI program took to address the specific findings. Please note that the LFC findings are numbered and in boldface type. The Legislative Finance Committee Audit Team noted in their finding number 8 that "insufficient administrative funding has greatly limited DFA/LGD's ability to adequately manage the LDWI Program" (Legislative Finance Committee Audit 2003). We feel that finding number 8 would have been more properly listed as finding number 1 since it provides the context for many of the deficiencies the Audit Team noted.

From 1994 until 2003, the LDWI program had an administrative and oversight budget of $100,000. As can be seen in Table 9, the administrative and oversight percentage of total funding utilized by the LDWI program for program oversight declined from 2.20% in 1994 to 0.84% in 2002. The administrative budget was increased to $600,000 during the 2003 Legislative Session and became effective in fiscal year 2004. In 2005, the administrative and oversight budget totaled 5.09% of total funding. The increase in funding for the LDWI program to 5% was a recommendation contained in the LFC audit report. Between FY 1994 and FY 2002, the LDWI program operated with an average of 1.41% per fiscal year. Figures 9 and 10 graphically depict the problem that LDWI staff faced from the inception of the program in FY 1994 through FY 2002. While the program's funding increased by 161.75%, the percentage of funding available for administrative and oversight functions declined by 1.36%. In FY 2001 and FY 2002, the percentage of funding available for administration and oversight was below 1%.

The increase in program funding undoubtedly resulted in a much more complex system which placed an additional strain on LDWI's under-funded staff. The staff was responsible for oversight and accountability of the state's 33 counties, and it should be noted that New Mexico is the fifth largest state in the United States by area. It is the current evaluation team's opinion that under funding resulted in a staffing pattern that rendered oversight and accountability nearly impossible. The response to and implementation of actions designed to address the audit team's findings stand as further evidence that insufficient funding significantly contributed to many of the LFC audit team's negative findings. We conclude that the additional funding was a prerequisite in improving the efficacy and efficiency of the LDWI program's accountability and oversight functions.

Ambiguities in the initial statute as regards to the scope of the LDWI program's oversight and accountability functions may have also contributed to several of the findings contained in the LFC audit. We have previously noted that the tension between centralization and local control

will inevitably produce a situation in which oversight and accountability by the state agency assigned these tasks is problematic. It is beyond the scope of the current evaluation to fully investigate this issue; however, we suggest that no government organization will be able to fulfill its mission if its statutory legislation is deficient in this regard.

Figure 7 Total LDWI funding 1994-2002
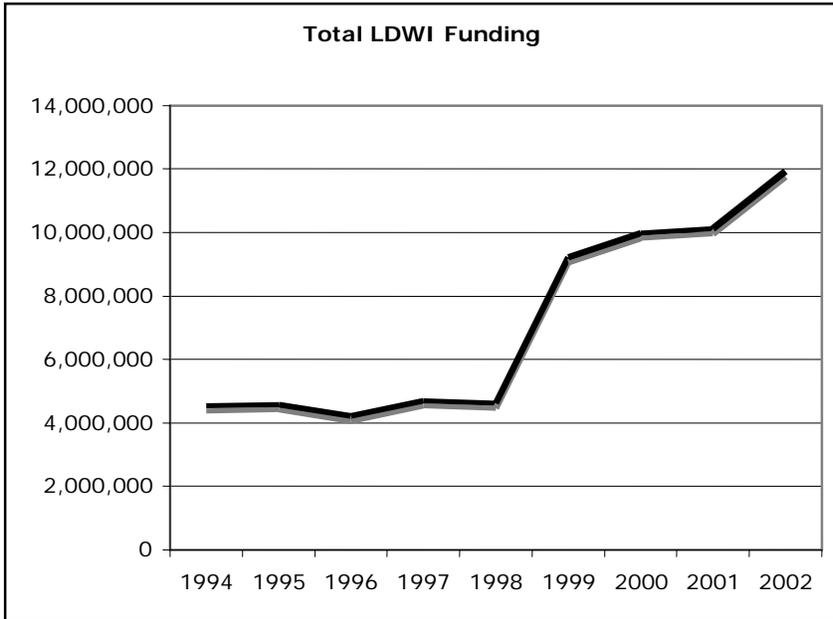
Figure 8 Percent of funding allocated to administration oversight
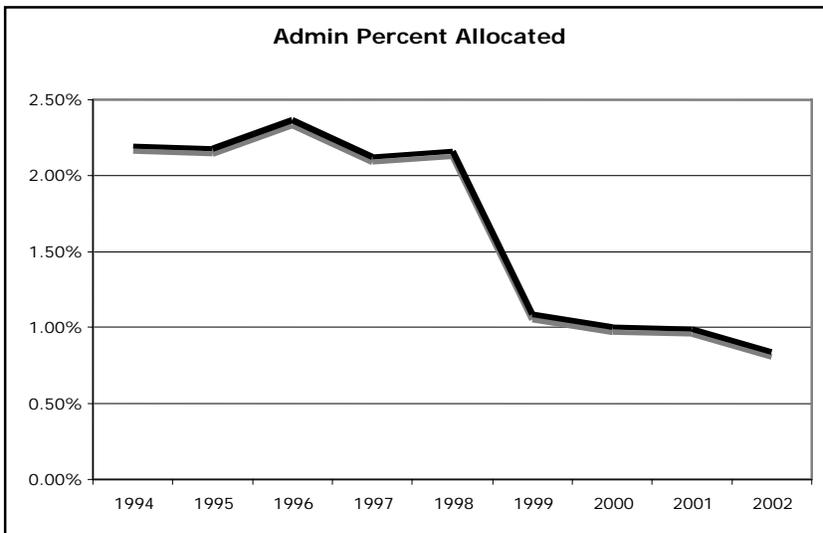
Table 28 LDWI Administrative Budget FY 1994 - FY 2002 (dollars)

Fiscal Year	Total	Administrative Budget	Percent of Total	Difference
1994	$4,554,699	$250,000	5.49%	
1995	$4,595,534	$250,000	5.44%	-0.44%
1996	$4,226,043	$250,000	5.92%	-0.92%
1997	$4,711,361	$250,000	5.31%	-0.31%
1998	$4,630,324	$100,000	2.16%	2.84%
1999	$9,222,390	$100,000	1.08%	3.92%
2000	$9,976,306	$100,000	1.00%	4.00%
2001	$10,118,071	$100,000	0.99%	4.01%
2002	$11,921,977	$100,000	0.84%	4.16%
Total	$63,956,705	$1,500,000	2.35%	2.65%
2005	$11,572,064	$600,000	5.18%	-0.18%

LFC Audit 2003

Strategic Plan

1. Strategic Plan. The department has not established a strategic plan for the implementation and monitoring of the Local DWI (LDWI) Grant Fund Program.

Development of Goals and Objectives for Strategic Plan

The Legislative Finance Committee audit of the LDWI program noted in its general conclusions "Non-implementation of a strategic plan at the very beginning has led to many of the program's deficiencies" (Legislative Finance Committee Audit 2003). The LFC audit team recommended, "In developing the plan, DFA/LGD should seek the cooperation and participation of other state agencies." As a result of Governor Richardson's focus on lowering DWI fatalities in the state, the New Mexico Multi-Agency DWI Strategic Plan Committee was constituted with the mission of developing an overall state DWI strategic plan, a list of this plan's strategic initiatives is found in Exhibit 7. During the first quarters of FY 2005 the LDWI staff held three meetings to design a strategic plan this plan was adopted on November 1, 2004 (Exhibit 8). The evaluation team provided technical assistance to LDWI staff in regards to the development of goals and objectives. Such quantifiable goals and objectives are important in evaluating a programs performance. The current evaluation contract stipulates that the Principal Evaluator (PE) will assist the LDWI staff in the development of goals and objectives for the strategic plan. The PE attended two daylong sessions in Santa Fe to assist in the development of LDWI goals and objectives.

Allocation

2. Grant Fund Allocation Methodology. From inception of the DWI Grant Program, the allocation process for funds at DFA/LGD discretion has been arbitrary and highly subjective. An adequate formula-driven methodology that justifies and documents allocations does not exist.

We are in general agreement with the findings of the LFC audit team in regard to grant fund allocation and note that the program has review criteria for distribution of allocation and grant funding. We further note that while the grant council members are not "intimately involved" with the allocation and grant review process, we note that the board is comprised of persons in management positions who render budgetary decisions regularly on the basis of reports by their staff. It is doubtful that a rating system could be constructed that would satisfy the requirements of all of the stakeholders. We observe that the program has made serious efforts to improve the allocation process and to provide training to local program coordinators to improve their applications. The allocation process limits participation to the 33 counties. If a county does not desire to act as a fiscal agent another political entity in the county may choose to do so. We conclude that the primary goal of the LDWI program staff and the DWI grant council is to provide funding throughout the state in the furtherance of the program's mission. This does not mean that difficult decisions and allocations should not be taken in hand if the situation requires. We recommend that the grant council and LDWI program staff should develop criteria that clearly establishes procedures to be followed in the event of serious program deficiencies at the local level.

Training and Technical Assistance

3. Training and Technical Assistance. Training and technical assistance (T/TA) to build capacity at the local level has been inadequate.

During FY 2005, the LDWI staff conducted several multi-day training sessions for local DWI coordinators. In addition, the staff created a new coordinator-training curriculum and placed interactive screener training content on the Internet. Another important aspect of evaluation was to provide local program coordinators with training in the evaluation process. The evaluation team should conduct regional evaluation workshops to provide technical assistance to the local programs and solicit feedback on the LCDRS. A primary goal of the workshops was to provide the local coordinators with a brief overview of the methods and practice of evaluation, and a 76-page manual was developed for the coordinators.

In addition, evaluation team collected 30 books, articles, instruments, and data sources as PDF files which were distributed to coordinators on a CD. Workshops conducted: (1) December 6th in Grants, (2) December 8th in Truth or Consequences, (3) December 9th in Las Vegas, and (4) December 13th in Roswell. In addition, a Local Program Coordinator Evaluation Curriculum (LPCEC) was developed. This document has been included with this report, see: *Training Seminar: Local DWI Program Evaluation Draft*. In addition, ADE Inc., provide training for the local program staff on the implementation of the web-based offender tracking system. ADE staff also made two trips to New Mexico for general training and development purposes.

Budget Adjustments and Progress Reports

4. Budget Adjustment and Progress Reports Review. Approval of budget adjustments is not well documented and often very informal due to limitations in staffing levels, inadequate supervision of DFA/LGD program managers and inconsistent file management.

The LDWI program has significantly improved its review process for budget adjustments and progress reports. Increased staffing allowed the program to fill the staff position whose primary responsibility was developing and implementing an audit process and assuring that budget adjustments were reviewed and timely information was provided to county programs to minimize the number of faulty budget adjustment submissions. Policy governing these activities can be found in the LDWI Local DWI Coordinator Administrative Manual.

The quarterly report system is a primary component of LDWI's review of program records. Interviews conducted with LDWI staff confirmed that the quarterly report system enhanced the timely review of program records.

Local Program Audits and Site Visits

5. Site Visits and Audits of Local Programs. Few in-depth site visits of local programs are made.

Site Visits

As part of its programmatic oversight responsibilities, during FY 2005, LDWI staff conducted 67 site visits to local programs. (Exhibit 9)

Technical Assistance Site Visits

During the coordinator evaluation workshops, several coordinators requested technical assistance in developing goals and objectives for their program and for use in the application process. The technical assistance workshops focused on developing quantifiable goals and objectives for the various components operated by the programs that attended. Attendees actually developed goals and objectives for their programs at the workshops.

Audit Site Visits

One of the important findings of the Legislative Finance Committee's audit of the LDWI program was a deficiency in oversight and accountability of local programs. The LDWI program staff designed and implemented an audit program (see Exhibit 10). The audit program provides a detailed step-by-step list of how an audit will be conducted and the documents a local county should have available for review. In addition to the audit program, LDWI staff developed a protocol document that governs the audit process (see Exhibit 11). In addition, LDWI Policy now mandates that each Program Manager must visit each county program in their respective caseloads at least once each fiscal year in addition to the audit visit. During FY 2005 LDWI staff conducted audit site-visits at all of the local programs. In all 97 days were spent onsite review program financial records, in addition to time on-site, staff expended significant time review local programs' records and reports. (Exhibit 12)

Driver's License Revocations

6. Drivers License Revocations. DFA/LGD and the LDWI Grant Fund Programs have not been sufficiently involved in the license revocation process. DFA/LGD acknowledges that it has not encouraged local programs to seek solutions to the problem of officers not appearing at license revocation hearings.

The LFC audit team found that the LDWI program (LGD) was not sufficiently involved in the license revocation process. The team included data that indicated that a significant percentage of license revocations were rescinded "because the arresting officer did not appear at a hearing." While the evidence that we have gathered is anecdotal, the evaluation team feels constrained to point out that while LDWI encourages local programs to advocate that they should seek solutions to officer non-attendance at revocation hearings, it is highly unlikely that such encouragement will produce tangible results. The law enforcement officers interviewed for this evaluation indicated that the primary reason for officer non-attendance at revocation hearings was a scheduling conflict with other court dates. This is especially true in the case of checkpoint and saturation patrols where not only the arresting officer is required to attend court hearings, the supervising officer of the activity is also required to attend. If the officer's comments are applicable to the entire state then, clearly, this finding is problematic. We have included the LDWI program response to this particular item and concur in its central argument.

> The LGD does not have statutory authority over the agencies responsible for the license revocation hearing process. Leadership in this area necessarily falls to law enforcement agencies, the Taxation and Revenue Department (TRD) and the Governor's DWI Coordinator.

> Since the LGD has no control over other agencies, we disagree with any assumption that we can be held responsible for their success in resolving issues surrounding license revocation hearings. Nevertheless, we will offer to the Governor's DWI Coordinator and other pertinent agencies any assistance we can provide to address this issue.

Screening and Tracking

7. Screening and Tracking of DWI Offenders. Most local government programs do not collect, compile and analyze program and DWI offender data adequate for assessment of DWI curtailment and recidivism. In fiscal year ending June 30, 2000, screening of only 58 percent of convicted DWI offenders was reported.

The LDWI Program has statutory authority to determine the client tracking/screening instrument to be utilized by all responsible authorities within the state. The program has contracted with ADE Incorporated and utilizes the ADE Needs instrument as the basis for client screening and tracking. The LDWI Program created a committee consisting of LDWI staff, ADE staff, local coordinators, and Department of Health to review the data collection system used for client tracking. The committee recommended converting the data entry process to a web-based system. This required extensive participation by the six county programs chosen to pilot the system. A significant amount of time was expended by ADE staff in providing technical assistance and developing the web-based system. In order to assure backwards compatibility of the data, ADE

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scheduled counties would be scheduled for a phased conversion. All counties are currently online with the exception of Bernalillo County.

The web-based system should significantly reduce data entry errors and provide real-time access to offender data. Additionally, the web-based system provides dosage data for the treatment component. While the system only provides basic dosage data for treatment, it is a significant improvement over the old system and as the system evolves should provide more robust dosage data.

Administration and Oversight

8. Funding for Program Administration and Oversight. Insufficient administrative funding has greatly limited DFA/LGD's ability to adequately manage the LDWI Program.

New Mexico's sizeable geographic area and rural development complicates the administration and oversight of New Mexico's LDWI program by LDWI. Historically, the administration and oversight functions have been under funded and LDWI program staff has needed to develop policies and procedures necessary to fulfill these core functions. Please see additional comments made on pages 25-27 under Legislative Finance Committee Audit.

Policies, Financial Reporting and Internal Controls

9. Policies, Financial Reporting and Internal Controls. Most local programs do not maintain standardized written policies and controls that adequately illustrate administrative procedures and minimize the risk of improprieties. Many also do not have standardized methods for reviewing payments. Invoices are often paid without confirmation that goods or services have been received.

The LDWI program has developed audit policies and procedures that govern the issues raised in this finding.

Contractor Monitoring

10. Contractor Monitoring and Questionable Costs. Many local governments do not adequately monitor contractors, sub-grantees or other recipients of local DWI Grant Fund monies.

LDWI staff expended considerable staff hours on monitoring the local county programs' contractors. The audit policies and procedures provide a detailed structure for the review of contracts and outcome data. Based on the evaluation team's interviews with program staff and the review of audit records we feel that the program has made significant progress in addressing this deficiency. We note, however, that the LDWI program has limited ability to control each program's contracting process. In interviews with local program coordinators we have been advised that the county's legal staff generally reviews contracts and, therefore, standardization of contracting language is problematic. Nonetheless, we recommend that all contracts contain sufficient financial controls to assure accountability. Further, all contracts should contain an evaluation section that requires contractors to furnish sufficient evaluation data in order to assure that funded programs operate at the highest possible level of efficiency and efficacy.

Local Planning Councils

11. Local Planning Councils. Many Local Planning Councils have administrative and procedural problems.

Local planning councils provide sufficient input to assure that all programmatic efforts at the local level are appropriate and needs based. While the LDWI program should encourage and review planning council operations, elected officials typically establish these councils, limiting the LDWI program's ability to significantly influence council operations. Through its coordinator-training program, the LDWI program has worked to provide information on how to assist local planning councils in the discharge of their responsibilities.

Program Merits

12. Program Merits. Despite many problems mentioned in this report, some local governments have implemented effective DWI Grant Fund Programs.

We agree with the LFC audit team's finding that many local programs operate effectively. The local program coordinator position requires a generalist's knowledge in many unrelated activities, but we suspect the high turnover rate contributes to a preponderance of inexperienced coordinators in place during any given year. While we have no data to support this conclusion, conversations with LDWI staff and local program coordinators indicate that approximately one year is required for a coordinator to become effective.

In spite of this we feel compelled to note that the majority of local program coordinators we contacted are highly motivated and dedicated to reducing the incidence of DWI fatalities and injuries in the state of New Mexico. The local coordinators who are judged by the LDWI staff and our evaluation team to be effective have very different and divergent educational and professional backgrounds. Given the nature of this position and the limited resources available for coordinator salaries we expect that the LDWI program and the local county programs will continue to face high turnover rates. This will have a tendency to limit overall program effectiveness and will probably have an impact upon the program's efficacy as well.

ISR Evaluation Report

13. DWI Grant Program Evaluation Report – August 2002. Recommendations reported in a *Local DWI Grant Program Statewide Evaluation* Report by the University of New Mexico (UNM) Institute of Social Research (ISR) include: increasing DFA/LGD staffing and funding; continuing standardization of some program aspects; designing and monitoring standards for Local DWI Program supervision; and standardizing and expanding data collection procedures.

In general, the Institute of Social Research (ISR) findings were similar to those of the LFC audit team. Responses to ISR's recommendations appear in this section.

Best Practices

14. Report on Best Practices – July 2002. An ISR report on *Best Practices and the State of New Mexico* discusses effects of general laws as well as specific sanctions on the problem of DWI. ISR reported that various research studies have concluded that the three legislative actions found to be most effective at preventing and deterring the general public from driving after drinking are raising the legal drinking age to 21 years; lowering the legal Blood Alcohol Content (BAC) to .08; and maintaining appropriate tax levels for sales of alcoholic beverages. New Mexico has these three legislative measures in place. The report also suggests that all applicable factors and circumstances must be considered when developing a DWI Program for a specific locality.

The ISR's best practices recommendations are generally outside the scope of the LDWI program. The legislature reduced the blood alcohol content level to .08 and has maintained funding for the LDWI program. Governor Richardson identified the reduction of DWI fatalities and injuries a primary goal of his administration. The New Mexico legislature continues the trend of strengthening sanctions against those who drive while intoxicated, and in their 2005 session enacted legislation, which increased the sanctions against drunk driving. In conversations with various stakeholders throughout the state it is obvious that many feel that much more needs to be done.

Nonetheless, we note, as did the LFC audit team, that New Mexico has significantly reduced the number of fatalities over the past 20 years and during the funding period that this program has been funded. New Mexico has one of the most diverse populations in the United States, and, as previously noted, two particular populations "Hispanics" and Native Americans have disturbingly high DWI rates. We recommend that further research is needed to determine the causal factors for these two populations being overrepresented in DWI data. We have recommended to LDWI staff and local program coordinators that a major goal for FY 2006 should be to review the cultural appropriateness of all services provided to these two populations.

Grant Fund Evaluation Report

15. DWI Grant Fund Program Evaluation Report – December 1996. There appears to be little progress toward addressing issues identified in the *New Mexico County Local DWI Grant Fund Program Evaluation* report issued by the Rocky Mountain Group in December 1996.

During the period that we have monitored the LDWI program it is clear that LDWI staff have made significant progress in addressing the major deficiencies summarized during the three evaluations. We feel that it is reasonable to conclude that the program has turned the corner in addressing the systemic issues that resulted in the deficiencies noted in previous evaluations. We recommend that funding for administration and oversight remain above the 5% level and suggest that an increase to 6.5% would allow more effective oversight and accountability. We recommend an increase to 6.5% for more effective oversight, accountability, and training. The size and the scope and, more importantly, the mission of limiting DWI fatalities and injuries is one of the most important public health issues facing the citizens and the government of the state of New Mexico.

The funding required to conduct science-based evaluation into the efficacy of the DWI program is probably unobtainable. Nevertheless, a properly designed and implemented evaluation program should provide sufficient data to judge the efficacy of DWI efforts in the state, especially those funded by LDWI.

San Juan County

16. San Juan County Detention Facility. The San Juan County Treatment Program is very costly, although it appears to have some positive impact on re-arrest rates for first and second time offenders.

The LFC audit team noted that the San Juan County Treatment Program although costly, appears to have positive impact on re-arrest rates for first and second time offenders. It should be noted that San Juan County has very high DWI arrest and fatality rates. While we concur that the expenditure of public funds should always provide the greatest benefit to the citizens of the state of New Mexico, we suggest that each program should be evaluated with regarded to its own success rates as well as to those of other county programs.

Approximately 36.9% of San Juan County's residents are Native Americans. Table 9 indicates that San Juan County has the fifth largest Native American population as a percentage of the total population in the nation. While the challenges faced by San Juan County are not greater in scope than that of New Mexico's other counties, census data indicates that the county's particular population may require different methods to address this issue. We therefore are uncertain if the LFC audit team's findings can be substantiated by a cost-benefit analysis. As to be effective this research would require significant funding, which is very likely not available.

Table 29 Top ten United States counties ranked by percent of American Indian/Alaskan Native population

County Name	State	Population	AIAN Population	AIAN % of total
Apache County	AZ	69,423	53,375	76.9
McKinley County	NM	74,798	55,892	74.7
Navajo County	AZ	97,470	46,532	47.7
Robeson County	NC	123,339	46,896	38.0
San Juan County	NM	113,801	41,968	36.9
Coconino County	AZ	116,320	33,161	28.5
Tulsa County	OK	563,299	29,316	5.2
Pima County	AZ	843,746	27,178	3.2
Maricopa County	AZ	3,072,149	56,706	1.8
Los Angeles County	CA	9,519,338	76,988	0.8

United States Census Bureau (2000)

The San Juan County DWI Detention & Treatment Facility has been the focus of nearly six years of study by the University of New Mexico – Center on Alcoholism Substance Abuse and Addictions (UNM-CASAA).

A 2004 paper published by the American Journal of Preventive Medicine states, "The importance of this paper stems from: (1) the Driving-While-Intoxicated (DWI) Treatment Program for first-time offenders reported on here being an example of how to avoid the 'prevention paradox' by intervening with DWI offenders early to produce positive outcomes, and providing an example of directing interventions at moderate problem cases and garnering positive outcomes rather than severe cases with weaker consequent outcomes; and (2) positive program effects across ethnic groups found, which is an important finding for multicultural intervention situations."

A recent report by the UNM-CASAA research team reinforces the preliminary findings of program efficacy released in November of 2002. In a presentation to the San Juan County Commission in June 2005, UNM-CASAA's Gill Woodall noted that initial findings continue to be supported by current study. Woodall also stated that, in contrast to initial assumptions, clients with antisocial personality disorder – typically the more recalcitrant population – experienced significant extended program effects. The San Juan County DWI Detention & Treatment Facility continues to receive empirical support for both innovation and effectiveness. Ongoing research suggests this is, indeed, a model program.

New Mexico DWI Trends

17. New Mexico DWI Trends. Although DWI continues to be a major concern in New Mexico, data obtained from the University of New Mexico (UNM) Division of Government Research (DGR) for the calendar years 1993 to 2001 shows some positive trends.

New Mexico DWI trends are discussed in section 1 of this document.

National Trends

18. National DWI Trends.

National DWI trends are discussed in section 1 of this document.

EXHIBITS

EXHIBIT 1 ESTIMATED 2000 ECONOMIC COSTS DUE TO MOTOR VEHICLE CRASHES

State	(Millions $)	% Total	Cost Per Capita	% Per Capita Personal Income
Alabama	$2,788	1.2%	$627	2.7%
Alaska	$475	0.2%	$758	2.5%
Arizona	$4,272	1.9%	$833	3.3%
Arkansas	$1,965	0.9%	$735	3.3%
California	$20,655	9.0%	$610	1.9%
Colorado	$3,278	1.4%	$762	2.3%
Connecticut	$3,596	1.6%	$1,056	2.6%
Delaware	$706	0.3%	$900	2.9%
District of Columbia	$732	0.3%	$1,279	3.4%
Florida	$14,403	6.2%	$901	3.2%
Georgia	$7,850	3.4%	$959	3.4%
Hawaii	$655	0.3%	$540	1.9%
Idaho	$856	0.4%	$661	2.7%
Illinois	$8,984	3.9%	$723	2.2%
Indiana	$4,346	1.9%	$715	2.6%
Iowa	$2,105	0.9%	$719	2.7%
Kansas	$1,884	0.8%	$701	2.5%
Kentucky	$3,114	1.4%	$771	3.2%
Louisiana	$4,000	1.7%	$895	3.8%
Maine	$912	0.4%	$715	2.8%
Maryland	$4,237	1.8%	$800	2.4%
Massachusetts	$6,276	2.7%	$988	2.6%
Michigan	$8,069	3.5%	$812	2.7%
Minnesota	$3,065	1.3%	$623	1.9%
Mississippi	$2,106	0.9%	$740	3.5%
Missouri	$4,737	2.1%	$847	3.1%
Montana	$621	0.3%	$688	3.1%
Nebraska	$1,629	0.7%	$952	3.4%
Nevada	$1,873	0.8%	$938	3.1%
New Hampshire	$1,014	0.4%	$820	2.5%
New Jersey	$9,336	4.0%	$1,110	3.0%
New Mexico	$1,413	0.6%	$777	3.5%
New York	$19,490	8.5%	$1,027	3.0%
North Carolina	$8,270	3.6%	$1,027	3.8%
North Dakota	$290	0.1%	$452	1.8%
Ohio	$11,090	4.8%	$977	3.4%
Oklahoma	$2,593	1.1%	$751	3.2%
Oregon	$1,948	0.8%	$569	2.0%
Pennsylvania	$8,170	3.5%	$665	2.3%
Rhode Island	$767	0.3%	$732	2.5%

South Carolina	$3,335	1.4%	$831	3.4%
South Dakota	$498	0.2%	$659	2.5%
Tennessee	$4,628	2.0%	$814	3.1%
Texas	$19,761	8.6%	$948	3.4%
Utah	$1,594	0.7%	$714	3.0%
Vermont	$221	0.1%	$362	1.3%
Virginia	$5,203	2.3%	$735	2.4%
Washington	$5,310	2.3%	$901	2.9%
West Virginia	$1,268	0.5%	$701	3.2%
Wisconsin	$3,756	1.6%	$700	2.5%
Wyoming	$424	0.2%	$859	3.2%
Total	$230,568	100.0%	$819	2.8%

EXHIBIT 2 MANAGERIAL REPORT SYSTEM

1 Total number of all prevention activities

2 Total number of persons who attended prevention activities

3 Total number of school-based DWI/substance abuse prevention activities

4 Total number of schools at which prevention activities occurred (unduplicated)

5 Total number of students who received prevention activities

6 Total number of DWI related public awareness or media activities: television, radio, newspaper, posters or flyers, etc.

7 Total number of people reached by media activities

8 Total number of community outreach prevention activities (health fairs, community events, etc.)

9 Total number of preventionists providing services or in certification training

10 Number of LDWI funded checkpoint activities

11 # DWI arrests

12 # Open container citations

13 # Under 21 possession/consumption citations

14 # Other citations

15 # Written warnings

16 # Other arrests

17 Number of LDWI funded saturation patrol activities

18 # DWI arrests

19 # Open container citations

20 # Under 21 possession/consumption citations

21 # Other citations

22 # Written warnings

23 # Other arrests

24 Number of other LDWI funded enforcement activities (Cops N Shops, etc)

25 # DWI arrests

26 # Open container citations

27 # Under 21 possession/consumption citations

28 # Other citations

29 # Written warnings

30 # Other arrests

31 Total number of LDWI funded Check Points, Saturation Patrols, and Other enforcement activities (sum of lines 10, 17, and 24)

32 Total number of DWI arrests (sum of lines 11, 18, and 25)

33 Total number of open container citations (sum of lines 12, 19, and 26)

34 Total number of under 21 possession or consumption citations (sum of lines 13, 20, and 27)

35 Total number of other citations (sum of lines 14, 21, and 28)

36   Total number of written warnings (sum of lines 15, 22, and 29)

37   Total number of other arrests (sum of lines 16, 23, and 30)

38   Total number of District Court offenders screened (ADE)

39   Total number of Magistrate Court offenders screened (ADE)

40   Total number of Metro Court offenders screened (ADE)

41   Total number of Municipal Court offenders screened (ADE)

42   Total number of Tribal Court offenders screened (ADE)

43   Total number of offenders, referral type: DWI

44   Total number of offenders, referral type: DV

45   Total number of offenders, referral type: Other

46   Total number of offenders referral, type: Other Drug/Alcohol

47   Total number of offenders, referral type: Referred not court ordered

48   Total number of offenders Administered ADE Needs Survey

49   Number of offenders referred to domestic violence program (referral type DV)

50   Number of offenders that began domestic violence program (referral type DV)

51   Number of offenders that completed (successful or closed by court) domestic violence program (referral type DV)

52   Total number of domestic violence intervention hours(total offender-hours in classroom or counseling setting)

53   Total number of offenders that missed treatment session

54   Total number of missed treatment hours

55   Number of domestic violence media/public awareness activities

56   Number of DWI offenders referred to DWI funded treatment (Referral: type DWI)

57   Number of other offenders referred to DWI funded treatment (Referral Types: Other, Other Drug/Alcohol, Referred not court ordered)

58   Total 56 and 57

59   Number of offenders referred to provider/s who started DWI funded treatment (Referral type DWI)

60   Number of offenders referred to provider/s who started DWI funded treatment (Referral Types: Other, Other Drug/Alcohol, Referred not court ordered)

61   Total lines 59-60

62   Number of offenders that completed DWI funded treatment (Referral type DWI)

63   Number of offenders that completed DWI funded treatment (Referral Types: Other, Other Drug/Alcohol, Referred not court ordered)

64   Total lines 62-63

65   Number of offenders that were discharged unsuccessfully from DWI funded treatment (Referral type DWI)

66   Number of offenders that were discharged unsuccessfully from DWI funded treatment (Referral Types: Other, Other Drug/Alcohol, Referred not court ordered)

67   65-66

68   Number of DWI offenders referred to non-DWI funded treatment (Referral: type DWI)

69   Number of other related offenders referred to non-DWI funded treatment (Referral Types: Other, Other Drug/Alcohol, Referred not court ordered)

70   Total lines 68-69

71   Number of offenders referred to provider/s who started non-DWI funded treatment (Referral type DWI)

72   Number of offenders referred to provider/s who started non-DWI funded treatment (Referral Types: Other, Other Drug/Alcohol, Referred not court ordered)

73   Total lines 71-72

74   Number of offenders that completed non-DWI funded treatment (Referral type DWI)

75   Number of offenders that completed non-DWI funded treatment (Referral Types: Other, Other Drug/Alcohol, Referred not court ordered)

76   Total lines 74-75

77   Number of offenders that were discharged unsuccessfully from non-DWI funded treatment (Referral type DWI)

78   Number of offenders that were discharged unsuccessfully from non-DWI funded treatment (Referral Types: Other, Other Drug/Alcohol, Referred not court ordered)

79   Totals lines 77-78

80   Total number of offenders who received (started) DWI funded or non-funded treatment (all referral types except DV) lines 61 and 73

81   Total number of other alcohol related offenders who were referred to DWI funded or non-funded treatment (sum of lines 58 and 70)

82   Number of DWI funded hours of Family counseling (not DV)

83   Number of DWI funded hours of group counseling (not DV)

84   Number of DWI funded hours of individual counseling (not DV)

85   Number of DWI funded hours of individual/group counseling (not DV)

86   Number of DWI funded hours of intensive outpatient treatment (not DV)

87   Number of DWI funded hours of Red Road (not DV)

88   Number of DWI funded hours of Sweat Lodge (not DV)

89   Number of DWI funded hours of Talking Circle (not DV)

90   Number of DWI funded hours of traditional healing (not DV)

91   Total number of DWI funded treatment service hours provided (not DV) (sum of 82-90)

92   Number of offenders currently being tracked (all active records)

93   Number of offenders currently being tracked (status: active)

94   Number of offenders currently being tracked (status: active-holding-not yet sentenced)

95   Number of offenders, (Status: Inactive 2-underwarrant) this quarter only

96   Total inactive offenders, (Status: all inactive types except under-warrant)

97   Number of offenders who successfully completed all court ordered sanctions

98   Number of drug screens administered, results: invalid

99   Number of drug screens administered, results: missed

100   Number of drug screens administered, results: negative

101   Number of drug screens administered, results: pending

102   Number of drug screens administered, results: positive

103   Total number of drug screens administered

104   Number of offenders who failed to attend a sentenced activity (unduplicated)

105   Number of offenders who failed to attend a scheduled contact with compliance monitor (phone-in or in person)

106   Number of component programs operated (distribution and grant)

107   Number of staff members full-time equivalent (FTE)

108   Number of LADACS on staff

109   Number of substance abuse interns

110   Number of Certified Prevention Specialists on staff

111   Number of DWI Planning Council members

112   Number of DWI Planning Council meetings conducted

113   Average DWI Planning Council member attendance (per meeting)

114   Total number of non-voting participants at all DWI Planning Council meetings

115   Number of DWI related meetings attended by staff/contracted employees

116   Number of DWI related meetings coordinated

117   Number of training activities attended

118   Number of training activities provided

119   Number of participants or staff at provided training activities

120   Number of information dissemination activities provided

121   Number of media/public awareness activities

122   Number of people reached by media/public awareness activities

123   Number of media interviews given

124   Number of flyers, posters, or newsletters produced

125   Number of flyers, posters, or newsletters distributed

126   Number of billboards/banners funded

127   Number of days billboards or banners were displayed

128   Number of coalitions that DWI coordinator is a member

129   Total amount of fees collected

130   Number of offenders referred to alternative sentencing

131   Number of offenders referred to Drug Court

132   Number of offenders referred to DWI School

133   Number of offenders referred to Victim Impact Panel

134   Number of offenders referred to Ignition Interlock

135   Number of offenders referred to Electronic Monitoring

136   Number of offenders referred to supervised probation

137   Number of offenders referred to un-supervised probation

138   Number of offenders referred to un-supervised monitored probation

139   Number of offenders referred to community service

140   Number of offenders referred to jail

141   Number of offenders who started alternative sentencing

142   Number of offenders who completed probation

143   Total number of offenders who missed drug court date

144   Total number of offenders by drug court closure type: closed by court

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EXHIBIT 3 FY TOTAL COMPONENTS OPERATED

Local DWI Distribution, Grant, and Detoxification Program Operating Components - Fiscal Year '05

County	Prevention	Enforcement	Screening	Domestic Violence	Treatment	Compliance Monitoring /Tracking	Coordination Planning & Evaluation	Alternative Sentencing	Number of Components (Programs)
Bernalillo	1				2	1	1	1	6
Catron (Reserve)	1	1	1			1	1		5
Chaves	1	1	1	1	1	1	1	1	8
Cibola	1	1	1		1	1	1	1	7
Colfax	1		1		1	1	1		5
Curry	1	1	1		1	1	1		6
De Baca (Fort Sumner)	1	1	1			1	1		5
Dona Ana	1	1	1		1	1	1	1	7
Eddy	1	1	1	1	1	1	1	1	8
Grant	1	1	1		1	1	1	1	7
Guadalupe	1	1	1			1	1		5
Harding	1	1	1		1	1	1	1	7
Hidalgo	1	1	1			1	1		5
Lea	1	1	1		1	1	1		6
Lincoln (Ruidoso)	1						1		2
Los Alamos	1	1	1		1	1	1		6
Luna	1	1	1		1	1	1	1	7
McKinley	1	1	1		1	1	1	1	7
Mora	1	1	1		1	1	1		6
Otero			1			1	1	1	4
Quay	1	1	1		1	1	1		6
Rio Arriba	1		1		2	1	1		6
Roosevelt (Portales)	1		1			1	1	1	5
San Juan			1		2	1			4
San Miguel			1		1	1	1		4
Sandoval	1	1	1	1	2	1	1	1	9
Santa Fe	1	1	1		2	1	1	1	8
Sierra (Tor C)	1	1	1	1	1	1	1	1	8
Socorro	1		1		2	1	1	1	7
Taos	1		1			1	1	1	5
Torrance	1	1	1		1	1	1	1	7
Union			1		1	1	1		4
Valencia (Los Lunas)	1	1	1		1	1	1	1	7
Totals	29	22	31	4	31	32	32	18	199

EXHIBIT 4 PROGRAM BUDGETS

Local DWI Distribution, Grant, and Detoxification Program Operating Budgets - Fiscal Year '05

County	Prevention	Enforcement	Screening	Domestic Violence	Treatment	Compliance Monitoring /Tracking	Coordination Planning & Evaluation	Alternative Sentencing	Number of components budgets
Bernalillo	1				2	1	1	1	6
Catron (Reserve)	1	1	1			1	1		5
Chaves	1	1	2	1	2	1	2	2	12
Cibola	2	1	1		1	1	2	1	9
Colfax	1				1		1		3
Curry	2	1			1	2	2		8
De Baca (Fort Sumner)	2	2				1	2		7
Dona Ana	1	1	1		2	1	1	1	8
Eddy	1	1	1	1	1	1	1	2	9
Grant	2	2			1	1	2	1	9
Guadalupe	2	2	2				2	1	9
Harding	1	2			2	2	2	2	11
Hidalgo	2	2					2	2	8
Lea	2	1			1	2	1		7
Lincoln (Ruidoso)	1						1		2
Los Alamos	1	2			1	2	2		8
Luna	2	1			1		2	1	7
McKinley	1	1	1		2	1	1	1	8
Mora	1	1	1		1	1	2		7
Otero			1			2	1	2	6
Quay	2	2			2	2	2		10
Rio Arriba	2				2	2	1		7
Roosevelt (Portales)	1					1	1	1	4
San Juan					3				3
San Miguel					2	1	1		4
Sandoval	2	2	1	2	3	2	2	1	15
Santa Fe	1	1	1		3	1	1	1	9
Sierra (Tor C)	1	1		1	1	1	2	1	8
Socorro	2		2		1	2	2	1	10
Taos	2						2	2	8
Torrance	2	1	1		1	1	1	1	8
Union			2		2	1	2		7
Valencia (Los Lunas)	1	1	1		2	1	2	1	9
Totals	43	30	19	5	41	41	49	23	251

EXHIBIT 5 UPDATE ON PROGRESS MADE IN RESPONSE TO LEGISLATIVE FINANCE COMMITTEE'S JANUARY 20, 2003 AUDIT

LFC Recommendations with Updates as of July 2004:

1. Establish a long-term strategic plan that clearly identifies milestones and time-lines.

> The Local DWI Grant (LDWI) staff worked closely with the Governor's Statewide Multi-Agency DWI Strategic Planning Committee over the summer and fall to develop a statewide, long-term approach to the DWI issues. The plan was presented to the Governor on December 15, 2003. LDWI staff is working on a program-specific strategic plan that builds on the Governor's Statewide Multi-Agency approach to DWI.

2. Develop an effective grant proposal scoring mechanism that objectively rates and ranks each proposal.

> An effective scoring mechanism was implemented for the April 2003 allocations. We continue to improve the review process each year.

3. Strengthen the Administrative Handbook to provide better guidance to local DWI Coordinators and establish orientation and on-going training curricula for DFA/LGD program managers and local program coordinators.

Administrative Handbook revision is on-going and will be completed by December 2004. Orientations and on-going training are listed below:

Training Program	Comments	For Local Program Staff	For DFA/LGD Staff
Individual Orientation	As needed	Yes	Yes
Implementation Workshop	Annual, 1-2 days	Yes	Yes
Application Workshop	Annual, 1-3 days	Yes	Yes
Screening & Tracking	Annual, 3 – 7 statewide sessions	Yes	Yes
Local Government Budget Workshop	Annual 2-3 days	Yes	Yes
Prevention Specialist Training (DOH)	Intensive 2 year training curriculum	Yes	Yes

Training Program	Comments	For Local Program Staff	For DFA/LGD Staff
Teen Court (NM Teen Court)	Annual, 1-2 days	Yes	Yes
NM Prevention Conference	Annual, 2-3 days	Yes	Yes
National Prevention Workshop Research Conference	Annual, 3-4 days	Yes	Yes
National OJJDP Audio-Video Conferences	Monthly, 1-2 hours	Yes	Yes
Native American Substance Abuse Conference	Annual, 2-3 days	Yes	Yes
Screening/Tracking Web-based Pilot Training	Being developed	Yes – 2 pilot programs	Yes
Media Relations & PIO Training (NM Broadcasters)	Annual, 1 day	Yes	Yes
Workforce Development Conference	Federal training, 2 day	No	Yes
Prevention Workforce Development Committee	Monthly, ½ day	No	Yes
Training Advisory Committee	Monthly, ½ day	No	Yes
MADD Policy Institute	Annual, 2 day	No	Yes

4. More closely monitor program expenditures; develop a formal process for approving budget adjustments; and implement a standard file management system.

> Program expenditures are scrutinized more closely now. As of March 1, 2004 the four additional staff approved in the 2003 legislative session are on board, developing the knowledge and skills specific to the LDWI program. County assignment to each Program Manager is reduced from 11 to 9.

> Adjustments to budgets now go through a written request and approval process. A standard file management system is in place for FY 05.

5. Establish a site visit schedule that provides sufficient time for program managers to visit each local program at least once during each fiscal year.

> Program Managers are required to conduct a site visit at each of their assigned programs at least once during each fiscal year.

> An audit schedule, program and protocol have been developed. All programs will be audited prior to the close of FY05. Beyond that, each program will be audited once every two years. As of July 28, 2004, 6 audits had been completed. LGD staff are currently receiving hands-on training regarding the audit process.

6. Work with other state agencies and local law enforcement to solve problems related to poor attendance by local law enforcement officials at license revocation hearings.

   We have contacted Traffic Safety Bureau, Department of Transportation, and asked them to make available to county programs the annual report on license revocation hearings. However, attendance is primarily the responsibility of local law enforcement agencies. Local DWI programs have no control or authority over local law enforcement. In fact, the success of local DWI programs is dependent on maintaining a good working relationship with local law enforcement. Individual law enforcement agencies hold strong opinions on the current license revocation process. It will not benefit local DWI programs to take sides in this highly charged and complex issue. The Taxation and Revenue Department, License Revocation Office, and Motor Vehicle Division all have roles in this process.

7. Continue efforts to overcome the problems related to the high percentage of unscreened and/or unreported screening DWI offenders.

   SB144 and SB207 introduced and passed during the January 2004 legislative session requires that upon any conviction pursuant to the section, an offender shall be required to participate in and complete, within a time specified by the court, an alcohol or drug abuse screening program approved by the Department of Finance and Administration. The high percentage of unscreened DWI offenders should decrease. However, Judge training is necessary for implementation of the law. Without the benefit of this law, the number of convicted offenders screened during FY01 increased by 10% from 9,033 to 9,918 according to the Office of Epidemiology, Department of Health's October 2003 "Alcohol Screening and Tracking for DWI Offenders in New Mexico July 1999 through June 2001" report. The Office of Epidemiology is working on data to reflect the current number of screened convictions for July 1999 through June 2003. A report is due July 2004. LDWI continues to work with the magistrate and municipal court associations and the Administrative Office of the Courts to improve voluntary participation by the courts.

8. Increase funding to the DFA/LGD for program management and oversight.

   HB190 passed and signed during the 2003 legislative session increased funding for management and oversight to $600,000 in FY04. With this increased funding, three additional Program Managers and an Accountant/Auditor have been hired. It was not until March 2004, however, that the program was fully staffed. Since that time, the Program Supervisor position has been vacated and must be filled. The State Personnel listing closed on July 16, 2004.

9. Develop guidelines that establish standardized written policies and controls of administrative and fiscal procedures.

   Local programs are now required to have local manuals with established standardized written policies and controls. Review of these manuals and the implementation of established procedures will be part of audits and annual site reviews.

10. Develop a training curriculum for local program coordinators that covers a broad spectrum of issues related to program management.

> Training curricula around prevention; screening and tracking; treatment, including brief intervention, continue to be expanded and implemented in coordination with the Department of Health's federal SIG prevention grant program, the Office of Epidemiology and the Behavior Health Division. Future plans include coordination with Department of Corrections and the Administrative Office of the Courts on compliance monitoring standardization and training.

> Training on fiscal management issues is addressed at the annual LDWI application and implementation workshops and the Annual LGD Budget Workshop. Additionally, the new auditor/accountant staff position is responsible for identifying and addressing training needs of local programs that surface during the audits.

11. Perform a cost-benefit analysis on San Juan County Treatment Facility to determine efficiency and economy of program.

> San Juan County cost benefit analysis of the San Juan County Treatment Facility, initially planned for completion by June 30, 2004, is postponed because the federal funding supporting this project was cut. They completed a local cost analysis but still hope to fund a more in-depth federally funded study. They anticipate the study being completed by June 30, 2005.

EXHIBIT 6 LDWI PROGRAM'S FINAL RESPONSE TO LFC AUDIT

September 15, 2004

Senator Ben D. Altamirano, Chair
Legislative Finance Committee
1123 Santa Rita Street
Silver City, New Mexico 88061

Dear Chairman Altamirano:

On August 17, 2004 the Legislative Finance Committee's (LFC) audit team presented to the LFC a report on the follow-up to the January 20, 2003 audit of the Local DWI Grant Fund Program. Thank you for the opportunity to respond to the follow-up audit. We are pleased to note that, with the exception of findings and recommendations over which we have no control, the audit recommendations generally build upon initiatives that have already been implemented by the Local Government Division (LGD) and create an opportunity to strengthen them.

As required by the follow-up audit, the Local Government Division of the Department of Finance and Administration (DFA) is required to provide a written response and corrective action plan within 30 days of the audit report. This letter serves as our response, and addresses each audit recommendation individually. Attachment A is our corrective action plan.

Listed below is each follow-up audit recommendation and LGD's response:

- Solicit input from the local DWI programs and other agencies and entities involved to ensure all strategic goals and objectives to curtail DWI occurrences are aligned.

    The mission of the Local DWI Grant Program is to reduce the incidence of DWI in New Mexico. We will seek to involve local programs as much as possible to develop local and statewide program and component-specific goals. The Local DWI Grant Program evaluator will engage in discussions with local program coordinators – individually and in groups – and LGD staff

to develop goals that are reflective of and integrated into our strategic plan. Through the strategic plan we will develop the measures against which the Local DWI Grant Program and local programs can be evaluated.

- Finalize and distribute the long-term strategic plan to assess the expected progress and overall success of the program.

  Our draft strategic plan was developed on August 2, 2004. We conducted a follow-up discussion on September 13, 2004. A finalization meeting is currently scheduled for October 5, 2004. The New Mexico DWI Czar, Rachel O'Connor has been invited to participate in both meetings. On September 10, 2004 staff met with Rachel O'Connor and representatives of the Office of the Governor and the Traffic Safety Bureau to discuss statewide goals. We will work with the evaluator and local programs to align LGD and local program goals and objectives with the DWI Czar's statewide goals.

- Administer new coordinator training and orientation to better educate, technically assist and encourage new local program coordinators.

  The original audit recommendation was to establish a training curriculum. That is accomplished and includes new coordinator training and orientation. Improving the quality of training is an on-going goal.

- Develop new and innovative training techniques and mechanisms to ensure the distribution of clear, concise and accurate instruction to implement standardized program practices and procedures by the local program coordinator.

  Audit findings and program coordinator feedback help us to identify pertinent training topics. Throughout the year, we make available various training opportunities. Workshop evaluations guide training improvement. Other training opportunities include interactive screener training via the Internet, the Local DWI Grant Program website and audio-video conferencing. In addition to training provided by our staff, we notify program coordinators of educational events sponsored by other state agencies and advocate groups.

  With the addition of staff members, we have been able to discuss policy issues as a group. As a result of these informed discussions, communications with program coordinators have been clearer and more consistent. However, it is still incumbent upon program coordinators to avail themselves of the training and technical assistance opportunities that exist at the LGD, with other state agencies and advocate groups, and with their peers.

- Finalize and post the administrative handbook on the LDWI web-site to provide total programs with guidance, directives, and definitions of program procedures, operations and standards.

  The Administrative Manual was distributed at the DWI Affiliate meeting, which took place in Silver City on August 17 & 18, 2004.

- Adhere to the LDWI site visit schedule to ensure that each program is audited yearly to:
  o enhance local program fiscal and operational accountability;
  o assess the progress and success of each local program; and
  o restore program confidence and a positive working relationship between LGD and the local programs.

  Thank you for recognizing our efforts to conduct site visits and program audits.

  Site visits are conducted by Program Managers. We have an internal goal of performing at least one site visit to each program each year. Additional site visits are performed, as needed. The purpose of site visits is to get an understanding of the program, address pressing program needs, and to strengthen communications and the relationship between LGD and local programs.

  The auditor on our staff, accompanied by the appropriate Program Manager, conducts audits. We have an internal goal of having all programs audited by June 30, 2005. Beyond FY05, each program will be audited once every two years; more than that would put an undue strain on LGD staff. The purpose of audits is to ensure compliance, test fiscal and operational accountability, assess program success, identify training and technical assistance needs, improve program implementation and strengthen communications and the relationship between LGD and local programs.

- Review and implement the recommendation made in the January 2003 audit report and increase cross-agency coordination efforts through the recently appointed DWI Czar and with local governments, law enforcement agencies, and other state agencies and entities to improve attendance of law enforcement officials at license revocation hearings.

  The LGD does not have statutory authority over the agencies responsible for the license revocation hearing process. Leadership in this area necessarily falls to law enforcement agencies, the Taxation and Revenue Department (TRD) and the Governor's DWI Coordinator.

  Since the LGD has no control over other agencies, we disagree with any assumption that we can be held responsible for their success in resolving issues surrounding license revocation hearings. As discussed during the exit conference, however, we will offer to the Governor's DWI Coordinator and other pertinent agencies any assistance we can provide to address this issue.

- LGD effectively train and educate local coordinators to track contracts accurately and regularly to avoid contract over-runs and possible procurement code violations. Training should include contract term development and amendment.

  Audits and site visits to local programs have revealed several areas for increased and on-going training and technical assistance. Among those areas are:

  - ➢ Compliance with the state procurement code;
  - ➢ Contract development and amendment;
  - ➢ Contract management; and
  - ➢ Contract evaluation.

  Our staff has begun to address those issues during our Implementation Workshops and audit exit conferences. Training and technical assistance on contract issues will be on-going.

- LGD establish and train local coordinators on guidelines and laws regarding the collection, reconciliation, and depositing of the various fee receipts associated with the program. Additionally DWI offender payments should be only in the form of checks, money orders or credit/debit cards.

  Training in this area has begun and will be on-going.

  A memorandum (Attachment B) that followed up on issues that were raised during the April 2004 Implementation Workshop illustrates our efforts to present a clearer and more consistent with the information we disseminate to program coordinators. It is also reflective of conversations we had with program coordinators regarding contracts and the separation of duties associated with fee collection.

- LGD effectively and diligently review quarterly reports for fiscal and technical merit to ensure their accuracy and integrity.

  Program Managers now review quarterly reports more thoroughly for fiscal and technical merit.

- The LGD and local programs collaborate to develop criteria, scientific techniques and methodologies for estimating the numbers of persons served by a component that will ensure more reliable, and realistic reporting of component service data that can be verified with documentation.

  A considerable amount of work has already been done in this area. Development of the ADE minimum data set and MSD-4 (in coordination with the Department of Health) has created avenues by which we are able to record offender screening and tracking information. Additionally, the prevention database tracks individuals and provides a basis for evaluating programs.

Through the Local DWI Grant Program evaluator we will seek to involve programs as much as possible to continue to refine criteria and methods to measure the numbers of individuals served in program components that will be used to measure success toward local and statewide program goals.

- The local programs exercise due diligence in reviewing, compiling and obtaining source documents for component data which will be included in quarterly reports and reviewed by persons charged with program oversight.

    Thank you for recognizing the vital role that local programs play in requiring service providers to supply component data, verifying its accuracy and reporting it to the LGD in quarterly reports. We will work with local programs to revise our quarterly report format so that it is easier and more meaningful.

- Establish a workload schedule that will allow each project representative to provide effective oversight, guidance and technical assistance to the local DWI Grant Fund programs.

    This has been accomplished. For new positions were filled as of March 1, 2004. Staff now includes three new program managers and one auditor. This staffing pattern and workload schedule will allow time for effective oversight, guidance and technical assistance.

- In addition to the proposed audit schedule visit local programs as often as necessary to provide ongoing technical assistance and one-on-one mentoring.

- This practice is already in place. LGD has an internal goal that all programs receive a site visit at least once each year. Additional site visits are conducted as necessary. Additionally, on-going technical assistance and one-on-one mentoring often takes place via telephone or email.

- Develop a written implementation plan for the web-based ADE, Inc. screening and tracking software that clearly identifies milestones and timelines.

    An implementation plan will be developed with input from ADE and local programs.

- Involve agency IT staff and the State Chief Information Officer (CIO) in the development and implementation of the web-based ADE, Inc. screening and tracking software to assist in identifying needs and necessary data fields.

    The web-based screening and tracking software has already been developed, as has a minimum data set. To recreate this type of software would be counter-productive.

    The funding required to implement the use of the web-based software does not reach the levels at which the CIO would necessarily get involved. However, our staff will

seek the advice of the CIO and follow any appropriate guidelines that might be recommended.

- Coordinate with the newly appointed DWI Czar and other agencies to effectively implement Governor Richardson's multi-agency DWI strategic plan.

  We will continue to meet with the Governor's DWI Coordinator to integrate our efforts with those of other agencies.

- Develop a comprehensive DWI offender tracking mechanism capable of tracking every DWI arrest from the time of the arrest by law enforcement officials and through all subsequent activity. Such a system must be capable of being used and shared by all the entities statewide to maintain data consistency.

  The LGD does not have statutory authority over the agencies from which this type of information would be required. However, we are partners in the current effort for automation of New Mexico's traffic records system. LGD staff serves on the Statewide Traffic Records Executive Oversight Committee (STREOC) and the Statewide Traffic Records Coordinating Committee (STRCC). Traffic Safety Bureau is the lead agency; the Administrative Office of the Courts heads the project. We will continue to work through these committees and Rachel O'Connor and the Governor's office to develop a statewide system.

- Develop standardized terminology and definitions to enhance consistent communication between all the entities.

  Again, leadership in this area might be better suited to the Governor's DWI Coordinator.

- Work with tribal courts to develop memorandums of understanding (MOU's) regarding the sharing of data regarding DWI offenders on pueblos and reservation lands.

  We do not have authority over tribal courts. However, we will continue to stress to local programs the importance of working with tribal entities in their counties and we will work with local programs to support and complement their efforts.

- Continue working with municipal and magistrate court associations, district courts, the Municipal League and the Administrative Office of the Courts to improve court participation.

  Thank you for recognizing our efforts to improve court participation in the mandatory use of the DFA-approved screening program. We will continue to work with the judiciary to increase participation in the screening program. However, because LGD does not have authority over courts, we cannot be held responsible for courts that do not follow the law. We will provide the courts with training and technical assistance on the screening program's value and usefulness. We will also work with Rachel

O'Connor to bring more courts into compliance with the law requiring them to use the DFA-approved screening program.

- Implement the web-based ADE, Inc. screening and tracking system as soon as reasonably possible to standardize data collection and reports.

  We will continue to work closely with ADE, Inc. and local programs to implement the web-based screening and tracking system as soon as reasonably possible.

- Coordinate with the AOC to develop the ignition interlock database to effectively track DWI offenders, ignition interlock sanctions and relevant court information to provide reliable information to measure program effectiveness and success.

  We will continue to work collaboratively with the Administrative Office of the Courts (AOC) through existing committees and taskforces, as well as any that might be formed in the future. We meet as necessary with the AOC to discuss common concerns and issues.

- Involve information technology personnel at both agencies to assist in determining necessary data fields and solicit input from other agencies and entities that may use the data maintained by the system.

  We will continue to work collaboratively with the Administrative Office of the Courts (AOC) through existing committees and taskforces, as well as any that might be formed in the future. We meet as necessary with the AOC to discuss common concerns and issues.

- Develop regular reports and reporting schedules that will provide useful ignition interlock data to agencies and entities involved in curtailing DWI.

  The Traffic Safety Bureau is responsible for the development of reports, reporting schedules and the ignition interlock database. We will continue to work collaboratively with the Traffic Safety Bureau and the Administrative Office of the Courts (AOC) through existing committees and taskforces, as well as any that might be formed in the future. We meet as necessary with the AOC to discuss common concerns and issues.

In closing, we thank you for the opportunity to respond to the follow-up performance audit of the Local DWI Grant Fund Program. As noted in the audit, the LGD has made significant progress toward improving the administration of the Local DWI Grant Program. This is due, in part, to the increased administrative funding that was recommended in the original audit. With these additional funds we have been able to hire additional staff, increase communications with local programs and provide additional training and technical assistance to local program coordinators. Through these efforts, we have become a more effective and accountable program.

The LGD continues to strive for improved administration of the Local DWI Grant Program. We concur with many of the recommendations made in the follow-up audit report and will work to implement them as fully as possible. At the same time, we do not agree that we can be held accountable for activities that are the responsibility of other state agencies. Through the guidance of the DWI Czar, we will continue to work collaboratively with other state agencies that are involved in the effort to combat DWI and alcohol-related problems in New Mexico, and will continue to participate on appropriate committees and task forces.

I hope this response and attached corrective action plan satisfy the requirement of the follow-up audit. If you require additional information, please do not hesitate to contact me at 505-827-8053 or Joyce Johnson at 505-827-4179.

Sincerely,

David Ruiz, Director

Attn:

cc: Representative Kiki Saavedra, Chair
        Audit & Computers Subcommittee

        Senator Phil Griego, Vice Chair
        Audit & Computers Subcommittee

        Representative Luciano "Lucky" Varela
        Vice Chair, Legislative Finance Committee

        David Abbey, Director
        Legislative Finance Committee

        James C. Jimenez, Secretary
        Department of Finance and Administration

        Dannette Burch, Deputy Secretary
        Department of Finance and Administration

EXHIBIT 7 NEW MEXICO MULTI-AGENCY DWI STRATEGIC PLAN INITIATIVES

5. List of Strategic Initiatives

The New Mexico Multi-Agency DWI Strategic Planning Process identified twenty-two Strategic Initiatives to support our vision **to eliminate New Mexico's DWI problem by utilizing everyone as a part of the solution**. The following is a list of the Task Force's priority initiatives broken down into the four core strategic areas: Prevention, Law Enforcement, Adjudication and Treatment and Rehabilitation.

Prevention (PREV)

PREV-1   Develop and implement evidence-based substance abuse curriculum in schools

PREV-2   Implement year-round after and out of school supervised prevention programs

PREV-3   Conduct study on impact of directing liquor excise tax to prevention and treatment

PREV-4   Develop statewide DWI prevention media campaign

LAW ENFORCEMENT (LE)

LE-1   Increase DWI checkpoints and operations

LE-2   Electronic scheduling to streamline DWI process

LE-3   Increase funding for equipment and personnel for Scientific Lab Division/ Department of Health and law enforcement

LE-4   Standardize license training and increased enforcement of laws

ADJUDICATION   (ADJ)

ADJ-1   Revise the 6-Month Rule

ADJ-2   Interlock: educate players in the justice system

ADJ-3	Balance funding for state agencies involved in DWI process
ADJ-4	Fund costs of mandatory sentencing to criminal justice system
ADJ-5	Vehicle forfeiture

Treatment and Rehabilitation (T&R)

T&R-1	Develop regional treatment pilot project (HB-117)
T&R-2	Early interventions for first time high-risk offenders
T&R-3	Ignition Interlock for all DWI offenders
T&R-4	Identify standard treatment protocols/trained providers

In addition, the Task Force identified five strategic initiatives that were highlighted as impacting or strengthening all of the four Core Strategic Areas (Prevention, Law Enforcement, Adjudication and Treatment and Rehabilitation).

Strengthens All Areas (ALL)

ALL-1	Create state-level position of DWI Coordinator
ALL-2	Establish performance for treatment and other interventions
ALL-3	Develop intergovernmental agreements
ALL-4	Expand DWI/Drug Courts
ALL-5	Establish comprehensive DWI data system

Department of Finance and Administration
Local Government Division
DWI program

Local DWI Program 5 Year Strategic Plan

Adopted November 1, 2004

Contents

SECTION 1: GOVERNORS PLAN FOR DWI REDUCTION IN NEW MEXICO

BACKGROUND

Reducing DWI related fatalities, increasing DWI awareness, and increasing the number of DWI arrests are an important priority for the administration of Governor Richardson. In his State of the State speech he stated, "This is the first step in my assault on DWI. Together we can pass the toughest DWI laws in the nation and make our highways safer for all New Mexicans." On June 3rd, 2004 the governor appointed Rachel O'Connor to be New Mexico's DWI "Czar" with the primary responsibilities of:

- Coordinating funding and expenditures related to DWI.
- Providing a single point of contact and referral for governmental agencies, community advocates, and the public.
- Leading the administration's efforts to draft, lobby, and implement aimed at reducing DWI.
- Creating and implementing statewide education campaigns through the Public Education Department
- Work with law enforcement, the courts, the healthcare system, and the legislature to create effective and innovative approaches to the enforcement of laws and the design and implementation of treat programs.

Ms. O'Connor has developed the following goals that directly address the issue of eliminating DWI in New Mexico.

NEW MEXICO DWI REDUCTION GOALS

Goal 1: To reduce the death rates due to DWI in New Mexico by 20 percent per year.

> Objective 1: .93 per 100,000 vehicle miles driven in NM in 2003 (213 deaths)
> Objective 2: .83 per 100,000 vehicle miles driven in NM in 2004 (194 deaths, down from 213 deaths in fy03 or .93 per 100,000 in fy03)
> Objective 3: .75 per 100,000 vehicle miles driven in 2005 (185 deaths)
> Objective 4: .67 per 100,000 vehicle miles driven in 2006 (173 deaths)

Goal 2: New Mexico will no longer be in the within the 10 ten states with regard to DWI fatalities.

Goal 3: Implement evidence based prevention program in school curriculum statewide. (for example, MADD's Protecting you, Protecting Me program)

Goal 4: Expand use of SCRAMS project to monitor hardcore, repeat offenders. This initiative needs more specific goals such as to reduce the number of crashes/deaths involving drivers convicted of multiple DWI offenses.

GOVERNOR RICHARDSON'S EXECUTIVE ACCOUNTABILITY AND TRACKING

Initiative Name: Reduce DWI Deaths

Narrative:

1. Currently, the State of New Mexico spends approximately $15.8 million dollars on specific efforts to reduce DWI. State agencies reporting DWI expenditures are as follows:
   a. Department of Finance and Administration (DFA): $11.8 million dollars that is allocated primarily by formula grants to New Mexico counties. Counties are required by law to spend 65% on alcohol treatment, and 10% or less on enforcement.
   b. Department of Transportation, Traffic Safety Bureau (TSB): TSB is the lead state agency on DWI. TSB spends about $3 million dollars a year on enforcement, public awareness and other projects.
   c. Department of Public Safety (DPS): approximately $1 million dollars a year on specific DWI enforcement.

2. Research indicates that 70% of all DWI deaths and injuries are caused by first time DWI offenders, and 70% of all deaths are in rural areas of New Mexico.

3. In the early 1990's New Mexico was ranked #1 in the nation in deaths due to DWI.

4. In 2003, New Mexico fell to #6 in the nation as a result of increased enforcement and public awareness.

5. State funded programs to reduce the number of DWI deaths include the following:

   a. Full Time Officers Project: This project is designed to increase DWI enforcement in high incidence areas of the State, with accompanying public awareness. Affected counties include Rio Arriba, Dona Ana, San Juan, McKinley, and Bernalillo. The Navajo Nation is also included in this project.
   b. Increase DWI Checkpoints and Blitzes: The Governor has increased the number of DWI Blitzes from 4 to 7 per year. In addition, we will be increasing the number of checkpoints conduced by law enforcement.
   c. Liquor Control Mobile Strike Unit: The Mobile Strike Unit will increase statewide enforcement of laws regarding underage drinking and sales to intoxicated patrons. Bars and restaurants will be targeted.
   d. State Police Units: New state police DWI units will be formed to increase enforcement of DWI in the rural areas.
   e. Using Technology to reduce recidivism: Ignition Interlock and other technologies will be used to target and reduce the rate of DWI repeat offenders.

Performance Measures: It is our goal to be outside of the national top ten ranking due to DWI deaths by 2006 by reducing death and injury by approximately 20% over a three year period as below:

Table 30 Proposed reduction in annual DWI fatalities

Year	Deaths per 100,000 vehicle miles driven	Number of deaths per year
2003	.93	213
2004	.83	194
2005	.75	185
2006	.67	173

Customer Service Benefits

A)   Each year DWI deaths and injuries result in an economic cost to New Mexicans of over $1 billion dollars including medical costs, lost income to victims and families, insurance costs, property damage, permanent disability and pain and suffering costs.

B)   Reduced economic loss to New Mexico due to DWI death and injury.

SECTION 2: FIVE YEAR STRATEGIC PLAN

MISSION: REDUCE THE INCIDENCE OF DWI IN NEW MEXICO.

BACKGROUND

Local DWI Program Legislation

During the early 1990s, New Mexico had one of the highest rates of recidivism for driving while intoxicated (DWI) offenders in the nation. Approximately 47 percent of DWI offenders had been previously arrested for this offense (Repeat DWI 1995). On Christmas Eve 1992, a serious alcohol-related crash united the public and legislature and resulted in the enactment of DWI legislation (Comparison of Trends 2002). The legislation created the Local DWI Grant Program and designated the Local Government Division (LGD) of the Department of Finance and Administration (DFA) to oversee and administer the fund created by a rate increase in the liquor excise tax. Local DWI programs are funded by two sources: *(a)* distributed allocation based on a percentage of gross sales tax receipts of each county; and on the total number of car crashes that are alcohol-related and result in an injury, and *(b)* DFA grants that are also awarded to the counties on a competitive basis.

DWI programs are operated in all thirty-three of New Mexico's counties, and any of the seven components listed here are eligible for funding, although the counties are not required to provide service in all of these areas.

1. Enforcement
2. Prevention
3. Screening
4. Outpatient Treatment
5. Intensive Supervision
6. Coordination, Planning, and Evaluation
7. Alternative Sentencing
8. Domestic Violence

STATEWIDE DWI PROGRAM EVALUATIONS

Rocky Mountain Group

Since the inception of the New Mexico Local DWI Grant Program, three statewide program evaluations have been conducted. In fiscal year 1994, the Rocky Mountain Group (RMG) (Contract No. 341. 80-96-5-31) was contracted to evaluate the local DWI program. The RMG evaluation primarily focused on the operation of the DWI program at the county level and the bulk of the report they tabled rated the county DWI local grant programs. Of the twenty-nine county programs reviewed, the lowest grade assigned was a C-: nineteen programs received B-range grades (B+, B, B–); four received an A- grade; and five received C-level grades (C+, C, C-). The RMG team reached several conclusions concerning the operation and evaluation of the

Local DWI Grant Program at the state level. This evaluation was conducted very early in the DWI Program's operation, and the recommendations should be viewed in that light.

> As a result of the variance of knowledge concerning evaluation design, the anticipated impacts/outcomes as contained in grant applications and project design documents limited the ability to measure activities in FY 1994.
> The failure to utilize standardized instrumentation raised serious validity and reliability issues with outcome measurements. The variance of county level evaluation design precluded any cross-site analysis. Measurement of objectives and outcomes did not occur contemporaneous with the operation of the program. (Rocky Mountain Group 1996).

Institute for Social Research

The next program evaluation of the Local DWI Program occurred in 2000, when the Institute for Social Research (ISR), Center for Applied Research and Analysis, at the University of New Mexico was contracted to provide evaluation research services, training, and technical assistance to the Local DWI Grant Program.[6] This report, completed six years after the initial program evaluation, essentially confirmed several of the RMG team's conclusion. Among the ISR team's recommendations were:

1. LGD should develop objective and consistent outcomes measures in collaboration with the counties and other impacted groups.
2. Increase the percentage of those convicted of DWI who are screened utilizing a standardized instrument.[7]

New Mexico Legislative Finance Committee

An audit team from the New Mexico Legislative Finance Committee conducted the most recent evaluation of the Local DWI Program. The audit team also reviewed the findings and recommendations of the two earlier evaluation studies with regard to program evaluation reports, best practices, and DWI statistics.[8] These recommendations are listed here and, as can be seen, essentially confirm the findings of the RMG and ISR evaluation teams:

1. Consider where practicable and/or appropriate, implementation the ISR recommendations.
2. Utilize the information presented in the ISR report to help assess and monitor the Local DWI Grant Programs. DFA/LGD should consider the specific benefits, limitations and conditions of each program or DWI project and understand that an effective strategy in one county may not work as well in another.

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[6] The final report for this evaluation states that the scope of work was amended twice during the contract. The first amendment involved a slight increase in the budget and contained language that focused the researchers' work on process evaluation (Guerin 2002).
[7] Nonetheless, this evaluation team did develop broad categories to compare program performance by the counties (p.8)
[8] New Mexico Legislative Finance Committee 2003. Among the recommendations contained in this report, the following address the evaluation process: "Standardized treatment criteria and mandate that local programs follow such established criteria; Develop measurable and consistent outcome measures; Continue to standardize and expand on data collection procedures; Design a web access database to collect data from every site" (2003, 29).

3. Use the ISR report to help in the development of an overall Local DWI Grant Program Strategic Plan.
4. Consider the recommendations of the RMG report in the development of the DWI strategic plan.
5. The failure to implement standard objective criteria renders comparison between county programs difficult.

CONCLUSIONS

Local DWI Grant Program staff has reviewed the three statewide Local DWI program evaluations and is in agreement with the conclusions. They observe that this conclusion is based on the sound methodological reasoning contained in each evaluation. Given the history of evaluation of the DWI Grant Program staff concurs that the most effective and efficient evaluation design should be based on the recommendations contained in the statewide evaluations referenced previously.

The conceptual framework for the evaluation of a local DWI program must recognize that it is imbedded in the statewide DWI program. That is to say, the sum total of programmatic outcomes of the local county DWI programs form the basis of statewide outcomes. In other words, the best-designed local evaluation cannot provide data suitable for measuring the efficacy of the interventions, which the local programs operate without recourse to a statewide evaluation plan designed to allow cross-site data analysis. Further staff agrees that evaluation of the Local DWI Grant Program rests on the foundation of the use of standardized instrumentation at all of the sites within the program.

In response to the Governors DWI initiatives and the recommendations contained in the previous DWI Local Grant program evaluations, staff developed the following goals and objectives to strengthen program operation, which will facilitate the implementation of the Governor's goals.

GOAL NO 1: CONDUCT EFFECTIVE AND EFFICIENT FISCAL OVERSIGHT OF LOCAL DWI PROGRAMS.

Objective 1: Ensure fiscal accountability through scheduled audits.

Performance Indicator: Audit each local program at a minimum of once every 24 months.

Performance Indicator: Conduct quarterly fiscal desk audits for each local program.

Objective 2: Provide fiscal technical assistance.

Performance Indicator: Conduct 3- 5 (?) technical assistance workshops per year. (Currently scheduled)

Performance Indicator: Achieve 90% satisfactory rating by workshop participants. (Currently being met)

Performance Indicator: Develop and implement a single LDG management tracking system to document processing time frame, technical assistance, number of workshops, workshop evaluation, site visits and other LDG program manager management tasks. (October 04)

Performance Indicator: Meet DFA performance time requirements for processing local DWI program requests for reimbursement. (In place now)

Objective 3: Conduct Site Visits

Performance Indicator: Conduct a minimum of one site visit to each local program annually. (This is in addition to any audit visit.)

Objective 4: Revise and standardize local DWI budget tools.

Performance Indicator: Review budget definitions and categories for LDWI programs by August 30th.

Performance Indicator: Revise budget definitions and categories for LDWI programs by September 30, 2004.

Performance Indicator: Issue budget definitions and categories for LDWI programs by October 20, 2004.

Performance Indicator: Train local programs on changes in budget definitions and categories for LDWI programs by October 20, 2004. (On going)

GOAL NUMBER 2: STANDARDIZE DATA COLLECTION AND REPORTING.

Objective 1: Implement minimum statewide data set for all program components to assure that components can be evaluated and that the persons served can be measured.

Performance Indicator: Implement statewide the web-based DFA approved tracking database by January 31, 2005. (Currently being implemented at 3 pilot programs)

Performance Indicator: Implement web-based DOH MDS4 (minimum data set) for prevention by December 31, 2004.

Performance Indicator: Develop and implement minimum data set for enforcement by October 31, 2004.

Performance Indicator: Develop and implement minimum data set for coordination, planning, and evaluation by October 31, 2004.

Performance Indicator: Issue Request for Proposal for expiring tracking contract by November 15, 2004.

Performance Indicator: Award the contract for the Request for Proposal by February 15, 2005.

Performance Indicator: Implement contract and data collection additions by July 1, 2005. (All components excluding prevention)

GOAL NUMBER 3: EFFECTIVELY COLLABORATE WITH OTHER STATE OFFICIALS, DEPARTMENTS, LOCAL GOVERNMENTS, AND NON-GOVERNMENTAL ORGANIZATIONS TO REDUCE THE INCIDENCE OF DWI IN NEW MEXICO.

Objective 1: Participate collaboratively with other state agencies.

Performance Indicator: Attend and contribute to 90% of all scheduled inter-agency meetings such as:

Those called by the governor's DWI Coordinator, the Governor's Ignition Interlock Task Force, STRCC, STREOC, IAG, TAC, and BHDWG, Inter-Agency Work Group.

Performance Indicator: The number of joint projects produced from collaborative work with other Departments such as the Department of Health to coordinate prevention programs (currently occurring – MSD-4 database, prevention specialist training program, evidence based programming in 9 (?), treatment services and screening criteria (currently occurring), Traffic Safety Bureau to coordinate enforcement activities and ignition interlock, AOC, probation and the court systems to coordinate DWI offender screening, tracking and alternative sentencing.

Objective 2: Work collaboratively with court systems to train judges on DFA screening program.

Performance Indicator: Attend and provide training at annual municipal judge meeting.

Performance Indicator: Attend and provide training at annual magistrate judge meeting.

Performance Indicator: Make web-based training available for all judges.

Objective 3: Implement standardized evidence-based prevention programming (adopted through a cross agency effort) in all LDWI programs. (Currently occurring—insert adopted schedule)

Objective 4: Work collaboratively with advocacy groups or nonprofits meetings such as: DWI AFFILIATE, THE DWI RESOURCE, MADD, TEEN COURT, ALCOHOL CONSORIUM, SAFER NEW MEXICO NOW.

Performance Indicator: Number of: meetings attended; projects implemented jointly; training provided. (Currently planned: October Policy Institute with MADD)

GOAL NUMBER 4: IMPROVE EFFECTIVENESS OF LOCAL DWI PROGRAMS THROUGH CAPACITY BUILDING EFFORTS.

Objective 1: Assess the ability of local programs to implement DWI grant program.

Performance Indicator: Develop general assessment tool. (Done)

Performance Indicator: Implement general assessment tool. (Initial work starting)

Performance Indicator: Develop in-depth assessment tool. (Completed—audit process)

Performance Indicator: Implement in-depth assessment tool. (Completed—audit schedule)

Objective 2: Provide training and technical assistance to local programs. (In place)

GOAL 5: IMPROVE INTERNAL OPERATION OF LGD-DWI.

Objective 1: Staff Development

Objective 2: Policy and Procedure Review

Objective 3: Formalize local DWI program monthly staff review process.

Objective 4: Review, revise and standardize policies and procedures for implementation and administration of the Detox Program.

GOAL 6: ENSURE EFFECTIVE ADMINISTRATION OF LDWI GRANT PROGRAM.

Objective 1: Participate in the process of developing the Governor's statewide DWI strategic plan. (Completed June 03-December 03)

Objective 2: Develop and implement LGD-DWI strategic plan. (In process; draft revisions: Sept 04; Completion October 04; BI-annual review first year; annual on-going)

Objective 3: Develop a standardized mechanism by which all grant applications are reviewed. (Completed for 04 allocation, refined for 05 allocation; on-going review and revision as needed in future years)

GOAL 7: EVALUATE EFFECTIVENESS OF LOCAL LEVEL DWI GRANT PROGRAM ADMINISTRATION AND IMPLEMENTATION.

Objective 1: Implement statewide a system for evaluating at each county program, the program's success implementing the web-based DFA approved tracking database and the MSD-4 prevention database.

Performance Indicator: January 1, 2005, complete development of evaluation system.
Performance Indicator: February 15, 2005, Select pilot programs & begin evaluation.
Performance Indicator: April 1, 2005, complete pilot implementation project and revise system as necessary.

Performance Indicator: May 1, 2005, plan statewide rollout.

Objective 2: Train local programs to use the database to provide performance reports for all program components to administer, evaluate, plan and implement effective programs.

Performance Indicator: April 1, 2005, initiate training for pilot local programs.
Performance Indicator: April 1, to June 30, 2005, provide technical assistance to pilot programs as needed.
Performance Indicator: January 1, 2006, initiate system evaluation statewide.

Objective 3: Develop and implement training for local program coordinators.

Performance Indicator: September 30, 2004, complete development of training for treatment standards, protocols, guidelines, and requirement.
Performance Indicator: November 30, 2004, complete local coordinator training.
Performance Indicator: December 1, 2004, - June 30, 2005, provide technical assistance as needed.

Objective 4: Review existing evaluation manual

Performance Indicator: September 30, 2004, complete review of evaluation manual.
Performance Indicator: September 30, 2004, review other relevant evaluation manuals (literature review).

Objective 5: Revise existing evaluation manual.

Performance Indicator: November 30, 2004, revise manual ready for LGD approval.

GOAL 8: IMPROVE CULTURAL COMPETENCY OF LDWI PROVIDERS.

Objective 1: Develop tool to assess cultural competency of providers.

Performance Indicator: December 31, 2004, Assessment tool completed
Performance Indicator: January 30, 2004, Pilot assessment tool.

Objective 2: Assist local programs in integrating cultural competency requirements into provider contracts or employee job descriptions.

Performance Indicator: December 31, 2004, Develop cultural competency language for contracts or job descriptions.
Performance Indicator: January 1, 2005, submit to DFA counsel for approval
Performance Indicator: February 1, 2006, Distribute contract/job description language to local program coordinators.

GOAL 9: CONDUCT EFFECTIVE AND EFFICIENT PROGRAMMATIC OVERSIGHT OF LOCAL DWI COMPONENT PROGRAMS.

SECTION 3: ACTION PLAN

The LDWI program has developed this action plan in order to implement the objectives of the Governor's DWI Initiative. The action plan has to objectives, a) to provide maximum support to the Governor's initiative and b) to improve the LDWI program oversight of Local DWI programs and strengthen internal operations.

FY06 APPLICATION PROCESS

1. The 10 percent limit for enforcement funding will not be calculated on dollar amounts budgeted for officer overtime if the overtime is for DWI checkpoints. (This applies only to DWI checkpoints, not to saturation patrols or underage drinking enforcement activities in FY06.)

2. Applications that include evidence-based prevention implemented through schools will be given bonus points in the rating and ranking process. The Governor and the Public Education Department support MADD's, Protecting You, Protecting Me programming in the schools. Some LDWI county programs are funding this school-based program now or are considering adding it. Those programs will earn more points in the rating and ranking process.

   a. This does not preclude other evidence-based programs if the programs are included in school curriculum. However, practically speaking it may take the Governor's influence to get accepted in the schools. MADD's program has the Governor's support.

3. Applications that include funding to support the use of the SCRAMS project to monitor hardcore, repeat offenders will be given bonus points in the rating and ranking process. The SCRAMS project uses an electronic monitoring system that is proven effective with hardcore users. It is costly, about $12 per day per offender. (SCRAMS is not the same as the Bernalillo system. 9.15.04 left a message with David Sims. He is arranging a presentation for Santa Fe County. We are asking him to move that presentation to the application workshop so all programs can be informed.)

4. If an applicant requests funding for any of these initiatives, that applicant must agree to give priority to these initiatives over other optional programs for FY 06.

IMPACT ON FY06 APPLICATION PROCESS: CONDITIONS FOR APPROVING FUNDING FOR THE ABOVE INITIATIVES:

1. Increased funding for DWI checkpoints
   a. LDWI will utilize a standard DWI checkpoint application form outlining details of proposal (This may be based upon a TSB form). The application form will contain the following information. Information contained in application will need to prove that the increased funding will increase DWI arrests.
      i. The planned number of checkpoints
      ii. Estimated Overtime rate for officers, # of officers, # of hours, estimated costs for each activity

      iii.   When, agencies to be funded with LDWI funds (county, municipal, state police)?

      iv.   Will the activity be totally funded by LDWI or do other agencies also fund it? If so, how much comes from elsewhere?

      v.   How the activity will be coordinated with the ODWI program—held in conjunction, in addition to.

      vi.   Area to report the arrests for 03, 04, est. of 05 and proposed for the new application year. (DWI arrest information for the prior two years, estimate of the current year and the goal for new year)

      vii.   Support for application from the law enforcement agency(ies) for which the funds are being requested. (Signature of Chief of Police, County Sheriff, State Police)

      viii.   Certification by the Local DWI Grant program that activities will be run in accordance with TSB's ODWI Checkpoint standards and that they will meet all reporting requirements. (At this point, may be monthly reports to Safer New Mexico Now and LGD's quarterly reports as revised by Soaring Hawk)

   b. Sample reporting form that meets the requirement of TSB will be part of application.

2. Evidence-based prevention implemented through schools
   a. Prevention application will include information that states the targeted age, number of students, school, etc? Form will include a separate section for reporting data for, Protecting Me, Protecting You.
   b. Letter from Local MADD chapter supporting program.
   c. Letter from school supporting introduction of program

3. SCRAMS project – just to hardcore, repeat offenders?
   a. Application will contain a separate form to differentiate it from other alternative sentencing proposals.
   b. Application will need to clearly state goal the goal of reducing the number of DWI deaths involving multiple offender driver.
   c. Applications will need to provide past year statistics for multiple offenders.

4. Prior to Finalizing Application and Cover letter announcing application
   a. Above changes need to be discussed, dissected, revised as needed by LDWI staff to assure they are feasible.
   b. Work with TSB and Safer New Mexico Now to determine the type of required reporting to TSB and to us in the quarterly reports (with Ruby & Soaring Hawk). Incorporate that information into the application.
   c. Small group of LDWI coordinators needed to be consulted for input prior to finalizing the application. Make sure representative of urban, large, small, regional, influential to others.
   d. Joyce & Rachel O'Connor will work with the DWI Grant Council to win agreement on these policy changes. David Ruiz & Joyce will meet with Bobby Duran soon.

PREVENTION

Goal 1 – Assure that all local prevention programs are 60% evidence-based in fiscal year 2006 and 60% evidence-based in fiscal year 2007.

Objective 1: Review local DWI program prevention component to assure all funded programs are evidenced-based.
Performance Indicator: September 30, 2004, review all local prevention programs.

Objective 2: Assist local programs to access information on evidenced-based model programs.
Performance Indicator: September 1, 2004, - June 30, 2005, provide technical assistance to local programs as needed.

Goal 2 – Enhance cultural appropriateness of prevention programs.

Objective 1: Assist local programs to develop policies and procedures to continually review cultural appropriateness of prevention programs.
Performance Indicator: September 30, 2004, conduct statewide or regional training on effective model programs for the cultures of New Mexico.

ENFORCEMENT

Goal 1 – Enhance LGD system for oversight of law enforcement component.

Objective 1: Develop reporting system to standardize law enforcement data.

Performance Indicator: November 30, 2004, complete development of reporting instrument and system.
Performance Indicator: December 31, 2004, complete local coordinator training.

Objective 2: Implement reporting system to standardize law enforcement data.

Performance Indicator: February 1, 2005, initiate reporting system implementation.
Performance Indicator: February 1, 2005, - June 30, 2005, provide technical assistance as needed.
Performance Indicator: January 1, 2006, initiate reporting system evaluation.

SCREENING

Goal 1 – Review and revise with DFA screening protocols, guidelines, and requirements.

Objective 1: Conduct review of local programs compatibility with screening protocols, guidelines, and requirements.

Performance Indicator: December 31, 2004, complete review process.
Performance Indicator: December 31, 2004, develop training for local program coordinators.

Performance Indicator: February 1, 2005, complete training of local program coordinators.

Objective 2: Review and revise with DFA screening protocols, guidelines, and requirements

Performance Indicator: December 31, 2004, complete revision of local programs screening protocols, guidelines, and requirements.
Performance Indicator: February 1, 2005, - June 30, 2005, provide technical assistance as needed.

DOMESTIC VIOLENCE

Goal 1 – Develop and implement system to review evaluation data of DWI/Domestic Violence programs.

Objective 1: Review local programs evaluation plan.

Performance Indicator: December 31, 2004, complete review evaluation plan.
Performance Indicator: January 1, 2005, to June 30, 2005, provide technical assistance as needed.

Objective 2: Develop LGD system for oversight of DWI/Domestic Violence programs.

Performance Indicator: December 31, 2004, develop oversight data system.
Performance Indicator: January 1, 2005, to June 30, 2005, provide technical assistance to LGD staff as needed.
Performance Indicator: January 1, 2006, initiate system evaluation.

TREATMENT

Goal 1 – Enhance LGD system to monitoring treatment outcomes.

Objective 1:

Performance Indicator: November 30, 2004, develop policies and procedures to enhance LGD's ability to use the web-based DFA approved tracking database to monitor treatment outcomes.
Performance Indicator: February 1, 2005, complete training of program managers and local coordinators.

Objective 2: Implement LGD treatment monitoring system

Performance Indicator: April 1, 2005, initiate treatment monitoring system implementation

Performance Indicator: April 1, 2005, - June 30, 2005, provide technical assistance as needed.
Performance Indicator: January 1, 2006, initiate monitoring system evaluation.

Goal 2 - Enhance local program's ability to monitor treatment contractor performance.

Objective 1: Develop contractor monitoring system

Performance Indicator: September 30, 2004, review local program's treatment contract compliance systems. (Done through audit process)
Performance Indicator: November 30, 2004, Develop standardized treatment contractor compliance reporting system.
Performance Indicator: November 30, 2004, Develop standardized treatment contractor compliance reporting system.

Objective 2: Develop and implement contractor treatment monitoring system

Performance Indicator: December 31, 2004, initiate treatment monitoring system implementation.
Performance Indicator: January 1, 2005, - June 30, 2005, provide technical assistance as needed.
Performance Indicator: January 1, 2006, initiate monitoring system evaluation.

Goal 3 – Improve cultural competency of treatment providers.
Objective 1: Develop tool to assess cultural competency of treatment providers.
Performance Indicator: December 31, 2004, Assessment tool completed
Performance Indicator: January 30, 2004, Pilot assessment tool.
Objective 2: Assist local programs in integrating cultural competency requirements into treatment contracts.
Performance Indicator: December 31, 2004, Develop cultural competency language for treatment contracts.
Performance Indicator: January 1, 2005, submit to DFA counsel for approval
Performance Indicator: February 1, 2006, Distribute contract language to local program coordinators.

Goal 4 – develop system to analyze treatment data longitudinally.

Objective 1: Coordinate with ADE and ASI to develop system to collect and report treatment data longitudinal.

Performance Indicator: December 31, 2004, working with ADE and DOH complete development of longitudinal data requirements.

Objective 2: Implement longitudinal offender tracking system.

Performance Indicator: July 1, 2005 initiate implementation.
Performance Indicator: July 1, 2005, - June 30, 2006, provide technical assistance as needed.
Performance Indicator: July 1, 2006, initiate system evaluation.

Goal 5 – Improve system of reporting offender drug screening failure to appropriate officials.

Objective 1: Develop standardized policies, procedures, and protocols for treatment providers to inform court and compliance monitors of offender drug screening failure.

Performance Indicator: September 30, 2004, develop standardized policies, procedures, and protocols for system.
Performance Indicator: November 30, 2004, training local program coordinators.
Performance Indicator: July 1, 2005 initiate implementation.
Performance Indicator: July 1, 2005, - June 30, 2006, provide technical assistance as needed.
Performance Indicator: July 1, 2006, initiate system evaluation.

COMPLIANCE MONITORING

Goal 1 – Enhance LGD oversight of local DWI program's compliance monitoring.

Objective 1: Incorporate into the web-based DFA approved tracking data bases a local program assessment system

Performance Indicator: December 31, 2004, develop system to track effectiveness of local program compliance monitoring.
Performance Indicator: November 30, 2004, train LGD staff.
Performance Indicator: December 1, 2005, - June 30, 2005, provide technical assistance as needed.

COORDINATION, PLANNING, & EVALUATION

Goal 1 – Develop and implement standardized local program core managerial data set.

Objective 1: Incorporate into the web-based DFA approved tracking data bases a standardized local program core managerial data set

Performance Indicator: September 30, 2004, complete development dosage instrument.
Performance Indicator: November 30, 2004, complete dosage instrument pilot project.

Objective 2: Implement standardized local program core managerial data set

Performance Indicator: December 31, 2004, initiate reporting system implementation.
Performance Indicator: January 1, 2005, - June 30, 2005, provide technical assistance as needed.
Performance Indicator: January 1, 2006, initiate reporting system evaluation.

Goal 2 – Review and revise current standardized evaluations plans and create quantifiable local level performance measures

　　Objective 1: Review current evaluation plan.

　　　　Performance Indicator: November 30, 2004, complete review process.

　　Objective 2: Revise current evaluation plan.

　　　　Performance Indicator: December 31, 2004, complete evaluation plan revision process.
　　　　Performance Indicator: January 1, 2005, - June 30, 2005, train local program, coordinators
　　　　Performance Indicator: January 1, 2006, provide technical assistance as needed.

Goal 3 – Develop policies and procedures for review of annual evaluation plans

　　Objective 1: Review and revise current annual evaluation review process

　　　　Performance Indicator: November 30, 2004, Complete review process.
　　　　Performance Indicator: November 30, 2004, train LGD staff on review process.

Goal 4 – Review local DWI program training needs.

　　Objective 1: Assess local DWI program training needs.

　　　　Performance Indicator: November 30, 2004, develop assessment tool to collect data from local coordinators on training and technical assistance needs.
　　Objective 2: Develop local DWI program training program.

　　　　Performance Indicator: January 1, 2005, develop local coordinator and staff training plan.
　　　　Performance Indicator: December 31, 2004, implement training plan.
　　　　Performance Indicator: January 1, 2005, - June 30, 2005, provide technical assistance as needed.

ALTERNATIVE SENTENCING

Goal 1 – Enhance LGD oversight of local DWI program's alternative sentencing component.

Objective 1: Incorporate into the web-based DFA approved tracking database a core set of data to track the effectiveness of alternative sentencing component programs.

Performance Indicator: December 31, 2004, develop system to track effectiveness of alternative sentencing programs.
Performance Indicator: November 30, 2004, train LGD staff.
Performance Indicator: December 1, 2005, - June 30, 2005, provide technical assistance as needed.

Goal 2 - *Wilderness Program*

Objective 1: Review local program's evaluation process of Wilderness Programs

Performance Indicator: October 31, 2004, complete review of local program's evaluation process.
Performance Indicator: November 30, 2004, recommend revisions to LGD and local program.
Performance Indicator: January 1, 2005, - June 30, 2005, provide technical assistance as needed.
Performance Indicator: July 1, 2005, review local program's evaluation data.

Goal 3 - *Electronic Monitoring*

Objective 1: Review local program's evaluation process of Electronic Monitoring.

Performance Indicator: October 31, 2004, complete review of local program's evaluation process.
Performance Indicator: November 30, 2004, recommend revisions to LGD and local program.
Performance Indicator: January 1, 2005, - June 30, 2005, provide technical assistance as needed.
Performance Indicator: July 1, 2005, review local program's evaluation data.

Goal 4 - *DWI/Drug Court*

Objective 1: Review local program's evaluation process of Drug Court programs.

Performance Indicator: October 31, 2004, complete review of local program's evaluation process.
Performance Indicator: November 30, 2004, recommend revisions to LGD and local program.
Performance Indicator: January 1, 2005, - June 30, 2005, provide technical assistance as needed.
Performance Indicator: July 1, 2005, review local program's evaluation data.

Goal 5 - *Ignition Interlock*

Objective 1: Review local program's evaluation process of Ignition Interlock programs

Performance Indicator: October 31, 2004, complete review of local program's evaluation process.
Performance Indicator: November 30, 2004, recommend revisions to LGD and local program.
Performance Indicator: January 1, 2005, - June 30, 2005, provide technical assistance as needed.
Performance Indicator: July 1, 2005, review local program's evaluation data.

EXHIBIT 9 FY 2005 PROGRAMMATIC SITE VISITS

County	Site Visit Date
Bernalillo	5/2/05
	5/5/05
	6/21-6/24/05
	6/21-6/24/05
	6/21-6/24/05
Catron (Reserve)	9/20-9/24/04
	3/14-3/17/05
Chavez	7/26-7/30/04
	11/30-12/3/04
Cibola	8/25/04
	11/16-11/17/04
	6/21-6/23/05
Colfax	
Curry	
DeBaca (Ft. Sumner)	7/26-7/30/04
	10/4-10/6/04
Dona Ana	11/12/04
	3/1-3/4/05
Eddy	
Grant (Silver City)	9/20-9/24/04
	2/1-2/3/05
Guadalupe	6/14-6/16/05
Harding	
Hidalgo	5/9-5/12/05
Lea	7/26-7/30/04
Lincoln (Ruidoso)	

Los Alamos	12/14-12/17/04
Luna	9/20-9/24/04
	2/3/05
	5/9-5/12/05
McKinley	7/27/04
	4/12-4/14/05
Mora	4/25-4/26/05
Otero	2/9-2/11/05
	5/31-6/4/05
	5/30-6/4/05
Quay	5/20/05
Rio Arriba	
Roosevelt (Portales)	7/26-7/30/04
San Juan	7/19-7/23/04
San Miguel	11/5/04
Sandoval	7/26/04
	11/3/04
	3/29-3/31/05
	6/9/05
Santa Fe	7/8/04
	8/12/04
	8/15/04
	9/3/04
	9/7-9/9/04
	9/22/04
	10/14/04
Sierra (T or C)	9/20-9/24/04
	10/12-10/14/04
	12/7-12/8/04
	2/1/05
Socorro	9/9/04
	9/24/04
	9/28-9/30/04

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	11/30-12/1/04
	4/27-4/28/05
	5/3-5/4/05
Taos	8/19/04
	9/14-9/16/04
	12/2/04
	1/7/05
	5/6/05
Torrance	9/16/04
	4/21/05
Union	11/1-11/4/04
Valencia (Los Lunas)	3/14-3/17/05

EXHIBIT 10 FY 2005 LOCAL PROGRAM AUDIT SITE-VISITS

County	Actual Audit Date	Days
Bernalillo	6/21 - 6/24	4
Catron	3/14 - 15/05	2
Chaves	11/30 - 12/2/04	4
Cibola	11/16 - 17/04	2
Colfax	4/27 - 28/05	2
Curry	2/14 - 16/05	3
De Baca	10/4 - 7/04	4
Dona Ana	3/1 - 3/4/05	4
Eddy	5/25 - 27/04	3
Grant (Silver City)	2/1 - 3/05	3
Guadalupe	6/14 - 16/05	3
Harding	6/22 - 25/04	4
Hidalgo	5/9 - 11/05	3
Lea	12/8 - 9/04	2
Lincoln	6/11/04	1
Los Alamos	12/14 - 17/04	4
Luna	5/11 - 12/05	2
McKinley	4/12 - 14/05	3
Mora	4/25 - 26/05	2
Otero	5/31 - 6/3/05	4
Quay	2/16 - 18/05	3
Rio Arriba	7/5 - 7/8	4
Roosevelt	12/6 - 7/04	2
San Juan	7/20 - 23/04	4
San Miguel	7/6 - 7/04	2
Sandoval	3/29 - 31/05	3
Santa Fe	9/7 - 9/04	3
Sierra (T or C)	10/12 - 14/04	3
Socorro	9/28 - 30/04	3
Taos	9/14 - 16/04	3
Torrance	5/11 - 13/04	3
Union	11/2 - 3/04	2
Valencia (Los Lunas)	3/15 - 17/05	3
Total		97

EXHIBIT 11 AUDIT PROGRAM

Department of Finance and Administration
Local Government Division
Local DWI Grant Program

Audit Program

A.   Pre-Audit
    1.   Review current year grant agreement to identify:
        a.   Amount of distribution funding
        b.   Amount of grant funding
        c.   Amount of detox funding
        d.   Funded components and proposed programming
    2.   In order to identify any fiscal irregularities, review current year:
        a.   Request for Reimbursement Reports
        b.   Distribution Expenditure Reports
        c.   Breakdown of expenditures by budget category
        d.   Breakdown of expenditures by program components
    3.   Review current year quarterly program report(s) to identify any outstanding issues for consideration during the site visit.
    4.   Review previous site visit notes to identify any on-going areas of concern and attempts to address them, as well as program strengths.
    5.   Review one-page application summary used to justify funding recommendations.
    6.   Review most recent County audit report to identify any areas of concern surrounding the local DWI Grant Program.
    7.   Talk with Program Manager to identify any program strengths and areas of concern.
    8.   Talk with Financial Management Bureau budget analyst to identify any issues currently facing the county that might impact implementation of the Local DWI Grant Program.
    9.   Coordinate with Program Manager and local DWI Grant Program Coordinator to schedule:
        a.   Time
        b.   Location
        c.   Participants
        d.   Key Contacts
    10.   Share with local DWI Grant Program Coordinator who will need to be available and which documents must be accessible.

B.   Audit
    1.   Entrance Conference
        a. Invitees: DWI Coordinator and Appropriate Staff
                     County Manager

Planning Council Chair and/or Members

b. Purpose:
   i. To discuss the reason for the audit/site visit.
   ii. To discuss audit procedures to be performed and identify key contacts, location, needed documents, and proposed time line.
   iii. To discuss how audit findings/results will be reported and documented.

2. Audit Procedures
   a. Financial
      i. Review county General Ledger with local DWI Grant Program activity for the current fiscal year to ensure that:
      i-a. A separate fund has been established for local DWI Grant and Distribution funds
      i-b. All revenues, such as fees, generated through programs supported with grant and/or distribution funds revert to the separate local DWI fund and are spent in accordance with local DWI Grant Fund guidelines and regulations.
      i-c. Donated funds are accounted for separately.
      i-d. All expenditures can be traced to supporting documents (purchase orders/vendor invoices, vouchers, payroll registers, etc.)
      ii. Review the county's procurement policy to ensure that it complies with the New Mexico Procurement Code, Section 12-1-28 through 13-1-199, NMSA 1978.
      iii. Review internal fiscal controls to ensure that:
         iii-a. One person has been designated to:
            1. Review and approve all purchase orders and contracts
            2. Receive and approve invoices
            3. Review and approve requisitions for payment
            4. Account for and remit to County finance all fees collected.
         iii-b. No one person can:
            1. Purchase and receive materials, authorize payments and write checks.
            2. prepare payrolls and handle related paychecks.
         iii-c. Lines of responsibility are clearly established and adhered to.
         iii-d. All persons who handle financial transactions are bonded in accordance with State law.
      iv. Review expenditures to ensure that they are appropriately charged to the local DWI Grant Program and properly documented – trace expenditures from supporting documents to the County General Ledger.
      v. From the County General Ledger, trace the expenditure to the Request for Reimbursement Reports, Distribution Expenditure Reports, Breakdown of expenditures by budget category and Breakdown of expenditures by program components to ensure that they are properly recorded.
      vi. Review the process by which providers/sub-grantees are paid for services.
      vii. Verify that equipment purchased with DWI Grant Program funds are properly inventoried and used by appropriate staff.

       viii. Review the process of establishing, collecting, depositing, accounting for and expending fees collected by the program.

          viii-a. Review fee receipt book.

          viii-b. Trace receipts to cash receipts ledger and cash receipts reconciliation worksheet.

          viii-c. Trace reconciliation to copy of deposit slip prepared and submitted to the County Treasurer.

          viii-d. Identify into what fund fees are deposited and for what purpose they will be used (they must be used only to fund DWI-related activity).

       ix. Verify that all funding caps are maintained.

       x. Verify that match requirements are being met.

       xi. Verify that funds are not being used to support ineligible activities.

       xii. Verify that all unexpended funds have been reverted.

   b. Program

       i. County Government

i-a. Review pertinent documents to ensure program compliance:

          1. Resolution

i-b. Interview local DWI Grant Program staff and County staff to determine adequate County oversight

          i-d. Attend meeting, if possible/necessary

       ii. Staff

          ii-a. Verify which positions are funded, filled and vacant

ii-b. Verify staffing patterns, such as extended vacancies, turnovers, etc.

ii-c. Determine where the program is located within local government structure

ii-d. Interview appropriate staff and obtain documentation that will support program and fiscal information/data

       iii. Planning Council

          iii-a. Review pertinent documents to ensure program compliance:

             1. By-laws

             2. Membership

             3. Attendance records

             4. Sign-in sheets

             5. Minutes

          iii-b. Attend a meeting, if possible

iii-c. Interview Chair and/or select members to get an understanding of the Council's perceived role, involvement and relationship with the local DWI Grant Program

       iv. Interview program staff and Planning Council members to determine coordination with local resources and community stakeholders

          iv-a. Courts

          iv-b. Treatment providers

          iv-c. Law enforcement agencies

       v. Review program files to determine that required Documents are on File

          v-a. Copy of grant/distribution application(s)

v-b.	Copy of award letter	
v-c.	Current Grant Agreement(s)	
v-d.	Requests and Approvals of amendments to the Grant Agreement(s)	
v-e.	Amended Grant Agreement(s)	
v-f.	Supporting documentation for project services and program (see Local Program Management Checklist)	
v-g.	Current year:	
	1.	Request for Payment Reports
	2.	Financial Status Reports
	3.	Breakdown of expenditures by budget category
	4.	Breakdown of expenditures by program component
v-h.	Copies of individual employee signed and approved time sheets, which identify rate of pay, number of hours, job title and recap sheet	
v-i.	Copies of approved travel vouchers	
v-j.	Copies of contracts or contractual service agreements and, where appropriate, RFP records, and LGD approval of each	
v-k.	Support for operating/other costs	
v-l.	Copies of current year quarterly progress reports	
v-m.	Copy of current year screening protocol and DFA's Screening Guidelines	
v-n.	Copy of current year treatment protocol	
v-o.	Copy of current year screening and tracking data - ADE	
v-p.	Copy of job descriptions for all program staff, including intensive supervision monitors	
v-q.	Annual and cumulative list of all capital outlays, including capital purchase bid documentation	
v-r.	Current, cumulative inventory of office equipment and furniture purchased with DWI Program funds	
v-s.	Correspondence	
v-t.	Miscellaneous: local newspaper articles, etc.	
v-u.	Updated Administrative Manual	
v-v.	Clean backup computer disk with financial reporting spreadsheets and application material and forms	
v-w.	List of key deadline dates	
v-x.	Access to copies of the State and County procurement codes	
vi.	Review program files to ensure that they are properly maintained	
vi-a.	Standardized	
vi-b.	Accessible	
vi-c.	Orderly	
vii.	Review offender data to ensure that the program is tracking activity properly	
vii-a.	Number of clients arrested, screened, tracked	
vii-b.	Verification against court database (FACTS)	

        viii.   Review contracts to ensure compliance
                viii-a.   Provider selection – RFP process and documentation
                viii-b.   How is the provider monitored?
                viii-c.   How does the provider report activity and impact? Viii-d. Who reviews reports?
                viii-e.   How is the provider paid for services?
                viii-f.   Are there sanctions for non-compliance? Are they properly documented in the contract?
                viii-g.   Does screener have on file confidentiality and release of information statements for all clients?
        ix.   Evaluation
                ix-a.   Review the program's Evaluation Plan
                ix-b.   Review any evaluation Reports
                ix-c.   Ensure that evaluation is in line with desired program goals and outcomes

3. Exit Conference
    a. Invitees: DWI Coordinator and Appropriate Staff
                   County Manager
                   Planning Council Chair and/or Members
    b. Purpose:
      i. To review audit procedures performed.
      ii. To discuss audit/site visit findings/results and program strengths.
      iii. To make recommendations for how to address findings/results.
      iv. To discuss required changes, if any, and a time frame during which they must be made and potential sanctions for non-compliance.
      v. To discuss how findings/results will be documented and reported:
              v-a.   Formal write-up for the program file
              v-b.   Letter to the local DWI Grant Program
      vi. Plans for any follow-up and time line for doing so:
              vi-a.   Telephone calls
              vi-b.   Faxes
              vi-c.   E-mail
              vi-d.   Site visits

C. Post-Audit
    1. Write-up that documents:
        a.   Audit/Site visit date
        b.   Audit/Site visit procedures conducted
        c.   Key contacts
        d.   Findings/results and recommendations/requirements for remedying them
    2. Work paper organization
    3. Letter to the local DWI Grant Program that:
        a.   Thanks them for their time.
        b.   Documents findings, recommendations and potential sanctions, if appropriate.

        c.   Outlines required changes, if any, and a time frame during which they must be made.

4.   Update county file

5.   Audit/Site visit follow-up

EXHIBIT 12 AUDIT PROTOCOLS

Department of Finance and Administration
Local Government Division
Local DWI Grant Program

Audit Protocol

A.   Pre-Audit
   11.   Review pertinent documents
   12.   Interview LGD staff
   13.   Schedule the audit/site visit
   14.   Share with local DWI Grant Program Coordinator who will need to be available
          and which documents must be accessible.

B.   Audit
   4.   Entrance Conference
   5.   Audit Procedures
         a. Financial
             i.   Review county General Ledger - separate fund for local DWI Grant and
                   Distribution funds.
             ii.   Review the process of establishing, collecting, depositing, accounting for
                   and expending fees collected by the program.
             iii. Review process for receiving, accounting for and expending all donated
                   funds.
             iv.   Trace all expenditures to supporting documents (purchase orders/vendor
                   invoices, vouchers, payroll registers, etc.) then to the County General
                   Ledger.
             v.   From the County General Ledger, trace the expenditure to the Request for
                   Reimbursement Reports, Distribution Expenditure Reports, Breakdown of
                   expenditures by budget category and Breakdown of expenditures by
                   program components to ensure that they are properly recorded.
             vi.   Review the county's procurement policy to ensure that it complies with
                   the New Mexico Procurement Code, Section 12-1-28 through 13-1-199,
                   NMSA 1978.
             vii. Review internal fiscal controls.
             viii. Review the process by which providers/sub-grantees are paid for services.
             ix.   Verify that equipment purchased with DWI Grant Program funds are
                   properly inventoried and used by appropriate staff.
             x.   Verify that all funding caps are maintained.
             xi.   Verify that match requirements are being met.
             xii. Verify that funds are not being used to support ineligible activities.
             xiii. Verify that all unexpended funds have been reverted.

               b. Program
- i. Identify all staff associated with the local DWI Grant Program, where they are located within the local government structure.
- ii. Verify all offender data.
- iii. Ensure that the local DWI Grant Program has on file an Evaluation Plan.
- iv. Ensure that all required documents are on file.
- v. Review the process of selecting, awarding and monitoring all contracts, JPAs, MOUs, etc.
- vi. Ensure that file maintenance procedures are standardized, accessible and orderly.
- vii. Ensure that all relevant Planning Council documentation is properly maintained and attend a meeting if possible.
- viii. Ensure that all relevant County government documentation is properly maintained and attend a meeting if possible/necessary.
- ix. Verify and document coordination with local resources and community stakeholders

    6.   Exit Conference

C.   Post-Audit
- 4. Prepare write-up
- 5. Organize work papers
- 6. Document the audit/site visit through a letter addressed to appropriate County official(s)
- 4. Update county file
- 5. Conduct necessary audit/Site visit follow-up