

2020

**KENTUCKY
DUI ASSESSMENT
REPORT**

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TABLE OF CONTENTS

EXECUTIVE SUMMARY 5

BACKGROUND 9

SECTION 1: INTRODUCTION 13

SECTION 2: DEMOGRAPHICS 15

SECTION 3: SUBSTANCES INVOLVED IN DUI ARREST 17

SECTION 4: SCREENING AND DSM-5 20

SECTION 5: TREATMENT REFERRALS 24

SECTION 6: COMPLIANCE 27

SECTION 7: COMMUNITY MENTAL HEALTH CENTER REGIONS 29

SECTION 8: DUI REGIONS 34

REFERENCES 39

APPENDICES 41





EXECUTIVE SUMMARY

In calendar year 2020, 11,448 DUI assessment records were submitted to the Kentucky Division of Program Integrity by approximately 118 licensed and certified DUI Assessment Programs. This represents a 30.9% decrease from the 16,559 submitted in 2019 – a decrease likely the result of widespread service disruption throughout the state due to the COVID-19 pandemic.

DUI assessment records include education and treatment information for persons convicted of DUI who were assessed and referred for an intervention. Using the web-based Kentucky DUI Assessment Instrument (KDAI), records are submitted by certified DUI assessors once the initial substance use assessment is performed. The University of Kentucky Center on Drug and Alcohol Research is contracted by the Department for Behavioral Health, Developmental and Intellectual Disabilities to receive these records from DUI assessment programs and to maintain this information in a database. This report provides information on assessments conducted from January 1, 2020 through December 31, 2020 and also provides 5- and 10-year trends using assessment data from 2011 to 2020.

The typical person receiving a substance use assessment as a result of a DUI conviction in Kentucky in 2020 a) was a low-income, White male with an average age of 37 years old, who was convicted of a first offense DUI with a blood alcohol level between 0.08 and 0.15 g/dL; b) met DSM-5 diagnostic criteria for a substance use disorder in the past 12 months; and c) was referred to either a 20-hour education intervention or to outpatient substance use treatment.

DEMOGRAPHICS

Seven out of every ten DUI assessments were for males, and more than 80.0% were for White persons (of those who reported race). The majority of DUI assessments were also for clients between 21 and 39 years old, with 5.1% of assessments being for persons younger than 21. Of DUI clients reporting income, 60.7% reported a yearly household income less than \$20,000.

SUBSTANCES INVOLVED IN DUI ARREST

More than one third of DUI assessments (37.2%) were for DUIs that involved drugs – an increase from previous years. Females (45.2%) and White (41.6%) DUI clients were more likely to have driven under the influence of drugs in relation to males (34.0%) and non-Whites (21.9%). Age was also related to drug involvement. Drug-involved DUI clients were more likely to be younger than 21 (53.9%) and were more likely to have been convicted of a first offense DUI (31.8%). Half (50.3%) of individuals reported that they were alcohol tested with their current DUI while only 23.3% were drug tested. Marijuana was the most commonly involved non-alcohol drug (14.3%), and the prevalence of amphetamine-involved DUIs (9.5%) has continued to increase – up from 7.2% in 2019.

SCREENING

On the alcohol (AUDIT) and drug use (DAST) screening instruments, a higher percentage of clients had a positive DAST score (33.4%) than a positive AUDIT score (25.6%). Females had higher DAST scores but lower AUDIT scores

than males while clients younger than 40 years old had higher DAST scores but lower AUDIT scores than those 40 years and older. More than half (55.5%) of the submitted assessments were for DUI clients who met DSM-5 criteria for a substance use disorder, which is a slight increase from 2019 (53.5%). Demographic differences in the DSM-5 indicated that although males were overall more likely to meet DSM-5 criteria for a substance use disorder (56.2% vs. 53.6%), females were more drug-involved and more likely to meet drug use disorder criteria than males (29.8% vs. 23.3%). Females were also more likely to meet criteria for a severe substance use disorder. Lastly, individuals whose current DUI involved drugs were more likely to meet two or more substance use disorder criteria in the past 12 months than those involved in alcohol-only DUIs (57.9% vs. 54.0%).

TREATMENT REFERRALS

Most of the DUI clients assessed during 2020 were referred to 20-hour education (37.9%) or an outpatient treatment (56.7%) intervention as their highest level of care. The rate of referrals to a treatment intervention has steadily increased since 2013. Underage (< 21 years old) clients (50.8%) were more likely to be referred to an education intervention than their older counterparts. Clients whose current DUI was drug-involved (including those involving both drugs and alcohol) were more likely to be referred to a treatment intervention. Those whose DUI involved both drugs and alcohol were more likely (62.5%) to be referred to outpatient treatment than those who reported their current DUI involved only alcohol (56.0%) or drugs (56.9%). There was also a relationship between the level of care recommended and DSM-5 criteria, with the intensity of the treatment modality increasing as

problem severity increases. Furthermore, clients assessed as having a drug use disorder were more likely to be referred to either IOP or residential treatment as their highest level of care – those with only a drug use disorder were most likely (12.0%), followed by those with both an alcohol and drug use disorder (10.1%).

COMPLIANCE

A majority of assessment records completed in 2020 were for individuals who were compliant with their recommended intervention (87.5%), which is slightly higher than previous years. The most frequently cited reason for non-compliance was failure to comply with attendance requirements (90.7%). Lower compliance rates were associated with having a drug-involved DUI, more DUI convictions, a more severe substance use disorder, and a referral to outpatient/intensive outpatient treatment. Unlike previous years, compliance rates overall were similar across demographics groups.

COMMUNITY MENTAL HEALTH CENTER REGIONS

Although there are fewer community mental health centers (CMHC) than privately-owned DUI programs, these programs submitted a higher average number of assessments per program compared to privately-owned programs (195.6 vs. 86.9). There was variability between CMHC regions in demographics, past DUI offenses, screening instrument results, intervention referrals, and education/treatment outcomes. The Comprehend region had the highest (80.3%) percentage of assessments for males while the Cumberland River region had the lowest (67.4%). The North Key region had the lowest average number of lifetime DUIs (1.39), while clients in the Four Rivers region were most likely to have 3

or more lifetime DUIs (18.8%). Clients from the Comprehend region were more likely to report being under the influence of both drugs and alcohol at the time of their current DUI (11.6%). The Seven Counties region had the highest percentage of clients with a positive AUDIT score (36.2%), while clients in the Kentucky River region were most likely to have a positive DAST (69.3%). Clients in the Kentucky River region were also the most likely to meet DSM-5 criteria for a substance use disorder (82.5%). Regarding intervention referrals, the Pennyroyal region had the highest rate of referral to education (52.3%) and the Lifeskills region had the highest rate of referral to outpatient treatment (76.5%). Lastly, the compliance rate was highest in the Pathways region (95.6%), but was lowest in the Communicare region (80.1%).

DUI COORDINATOR REGIONS

There were similarities across the four state DUI coordinator regions, with a few notable exceptions. Specifically, with the fewest number of assessments submitted (12.1% of the assessments submitted in 2020), clients in the Western Central region were less likely to be White (70.9%) and female (24.7%) than those in the other regions. Clients in the Western Central region were more likely to have a DUI that involved alcohol (83.0%) and to report meeting DSM criteria for a substance use disorder overall (66.2%), but had the lowest compliance rate of any region (82.6%).

Next, the percentage of assessments for individuals who met DSM-5 criteria for an alcohol use disorder ranged from a low of 22.5% for the Eastern region to a high of 55.7% in the Western Central region. Further, AUDIT scores in the Eastern region (3.90) were noticeably lower than in other regions, whereas the percentage of

clients who scored 5 or higher on the DAST was highest in the Eastern region (49.2%). The Eastern region also had the highest rate of drug-involved DUIs (56.2%), with most drug-involved clients in that region reporting being under the influence of marijuana (18.5%), followed by opiates (17.9%).

Lastly, clients in the Western region were more likely to have prior DUI convictions in their lifetime (40.3%) and to have a DUI that involved both alcohol and drugs (6.2%). They were also more likely to be referred to an education intervention (38.4%) than clients in other regions.



BACKGROUND

STUDY OVERVIEW

The Kentucky Revised Statute 189A.040 requires Kentucky licensed drivers convicted of Driving Under the Influence (DUI) to receive a substance use assessment by a state certified DUI assessor in a state licensed and certified DUI assessment program¹. DUI assessment programs are required [908 KAR 1:310 Section 6(1)(a)4] to enter assessment records via the web-based Kentucky DUI Assessment Instrument (KDAI) within three (3) business days of the assessment. The University of Kentucky Center on Drug and Alcohol Research (CDAR) serves as the repository for state DUI assessment records. Assessment records are stored in a database and provide the information presented in this report.

The purpose of the assessment is to determine the extent to which the individual convicted of DUI has an alcohol and/or drug problem and to make a referral to an appropriate level of care to address it. If treatment need is determined, a person can be referred to one or more of the following treatment modalities: outpatient, intensive outpatient, or residential treatment. Referral may also include an education intervention or an education intervention coupled with treatment. If a person finishes their education and/or treatment requirements consistent with his or her referral within a stipulated timeframe, the person is considered “compliant.” However, if the person fails to meet the referral requirements, he/she is considered “non-compliant.” In either case, once a person is designated as compliant or non-compliant, that assessment record is “completed.” Assessment records previously submitted using KDAI are updated to include completion information once an individual is identified as compliant or non-compliant.

DATA DESCRIPTION

DUI assessment records provide demographic information about the person, information about their DUI offense, results of the assessment, and education/treatment information. Demographic information includes age, gender, race/ethnicity, and household income. In addition, source of payment (e.g., self-payment) for DUI services is recorded. DUI offense information includes current DUI information, DUI conviction history, and county of conviction. Records include three instruments:

- Alcohol Use Disorders Identification Test (AUDIT)² – The AUDIT was developed by the World Health Organization as a screening method for excessive drinking. The test consists of 10 questions scored from 0 to 4. A combined score of 8 or more is considered positive (i.e., the individual is likely to have a drinking problem).
- Drug Abuse Screening Test (DAST)³ – The DAST was developed to assess the extent of drug problems. The test consists of 28 true/false questions with a score of 1 or 0. A combined score of 5 or more is considered positive (i.e., the individual is likely to have a drug problem).
- DSM-5⁴ checklist for Substance Use Disorders. The Diagnostic and Statistical Manual, Fifth Edition (DSM-5) was developed by the American Psychiatric Association as the standard for psychiatric diagnoses. The DSM-5 specifies three categories of substance use disorders: mild, moderate and severe. Meeting 2-3 criteria for a single substance within a 12-month period

indicates a mild disorder; 4-5 criteria, a moderate disorder; and 6 or more criteria, a severe substance use disorder.

Information about the intervention referral is also noted in the assessment record. This includes the education and/or level(s) of treatment to which the person is referred, as well as the person's compliance or non-compliance with that referral.

DATA SET

This report presents DUI assessment records for assessments conducted between January 1, 2020 and December 31, 2020 as well as trends detailing changes in assessment results over the past several years. In 2020, a total of 11,448 assessment records were entered by certified DUI assessors. It should be noted that the number of submitted assessment records in 2020 is not the same as the number of completed assessment records or the number of DUI convictions in 2020 because persons can be convicted, be assessed, and complete their intervention in separate years. Of the 11,448 assessments conducted in 2020, only 7,975 assessment records (69.7%) were also "completed" before December 31, 2020. Additionally, the number of assessment records is not equal to the number of unique individuals convicted of DUI. A single person can have multiple DUI assessment records in a single calendar year either because of multiple DUI convictions or because they had to be reassessed due to non-compliance.

LIMITATIONS

There are several limitations to the DUI assessment data. First, there is the issue of incomplete, erroneous, and/or missing data. Although KDAI has successfully reduced the amount of missing data when compared to the

earlier DUI assessment record system, certain fields remain problematic. Blood Alcohol Content (BAC) has the highest percentage of missing cases, which is largely due to individuals who were not tested, refused the test, or did not remember the BAC level. Other variables, such as race and household income, have a significant amount of missing cases because they are optional fields. Table 1 presents missing data, including fields that are optional (*).

Table 1: Missing Data (2020)

	Missing Assessments	Percentage of Cases
Age at conviction	3	<1%
Race*	2,225	19.4%
Household Income*	3,847	33.6%
BAC	7,085	61.9%

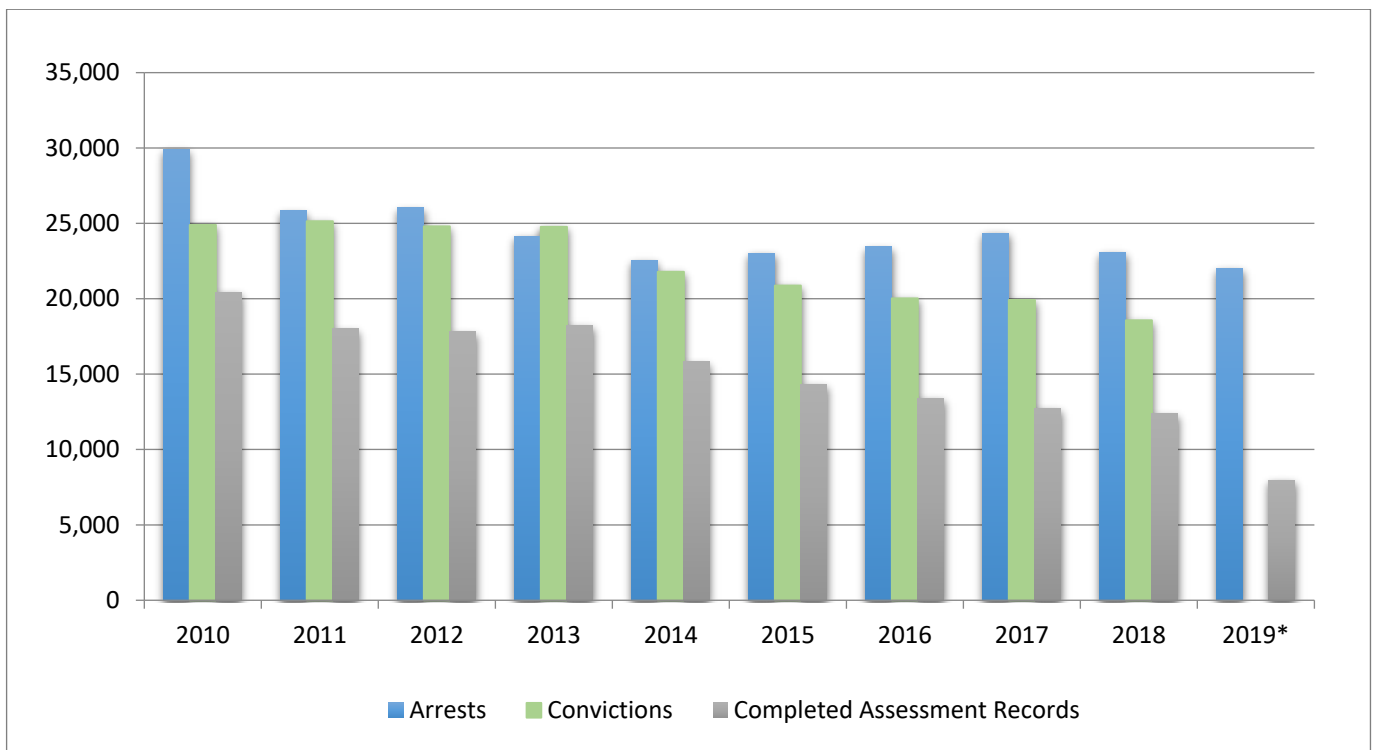
A second limitation is that most of the data are self-reported, which can be limited by recall.

Lastly, an additional limitation is that these data represent a subset of a larger, unknown number of DUIs in Kentucky. For example, in 2019 there were 21,998 DUI arrests and 7,975 assessment records both created and completed. This difference emphasizes the dangers in comparing frequencies of arrests, convictions, and assessments as there are different requirements and timelines for compiling each of these types of records. Furthermore, as a result of the COVID-19 pandemic and interruptions to in-person service delivery, there were substantially fewer assessment records submitted in 2020 than in previous years. Though trends from the 2020 data largely resemble those found in prior years, it is possible there was a larger percentage of unknown DUIs in 2020.

This report presents DUI assessment records submitted in 2020, which are independent of

violation date and conviction date. Caution should be used in comparing these data to other data. For example, a subset of the unaccounted records includes out-of-state licensees who are arrested in Kentucky but are not required to receive an assessment in Kentucky. Assessments would also not be completed or submitted for persons who are incarcerated for an extensive period of time following their DUI arrest. In addition, persons who are arrested for DUI may be convicted of a lesser charge. To demonstrate the differences that often exist across the frequency of arrests, convictions, and assessments and the dangers of comparing across data sources, Figure 1 presents the number of DUI arrests and convictions submitted to the Kentucky State Police (KSP), and completed DUI assessment records for 2010 through 2019. Arrest and conviction data from KSP were only available through 2019 at the time this report was developed.

Figure 1: DUI Arrests, DUI Convictions, and Completed DUI Assessment Records, 2010 through 2019



*Conviction data were not available for 2019.

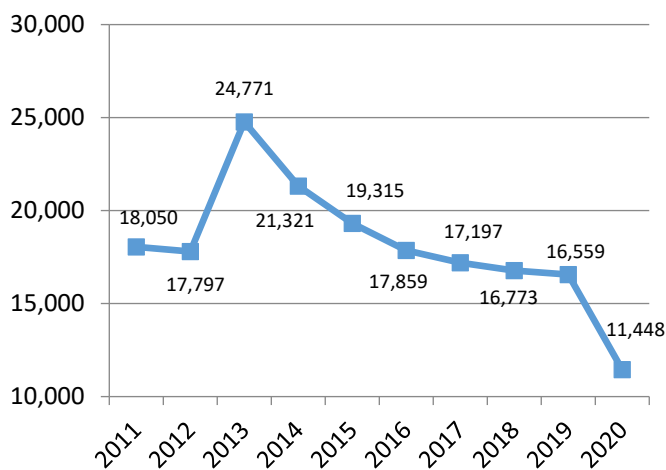


SECTION 1: INTRODUCTION

ASSESSMENTS

Between January 1, 2020 and December 31, 2020, licensed and certified DUI assessors submitted 11,448 assessment records to CDAR on behalf of the Kentucky Division of Program Integrity – a 30.9% decrease from the number of assessments submitted in 2019. Figure 2 presents the number of DUI assessment records submitted to CDAR from 2011 to 2020. The average number of assessments received has been 18,109 per year. The sharp increase in assessments in 2013 was related to the transition to a new DUI assessment system.

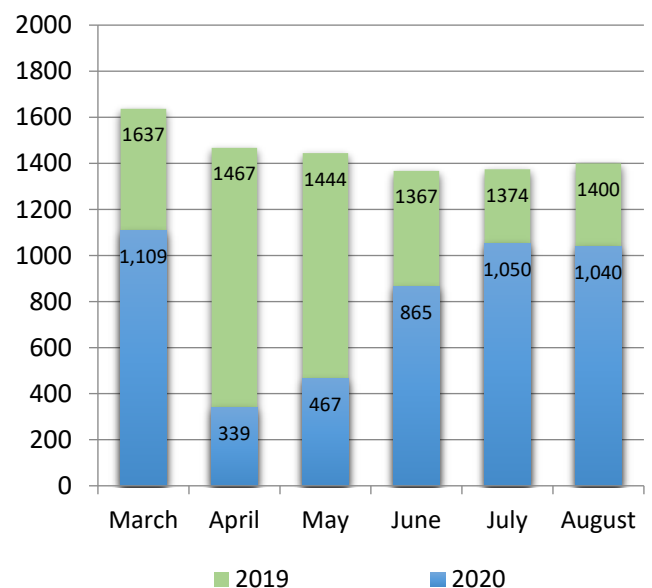
Figure 2: Number of Assessments 2011 to 2020



The decrease in the number of assessment records submitted between 2019 and 2020 is likely due to the COVID-19 pandemic and resulting court closures and changes in service delivery. As shown in Figure 3, the number of assessments conducted per month decreased 69.4% between March and April of 2020, following executive orders to close schools, bars, restaurants, and

many public-facing businesses in mid-March. Specifically, only 339 assessment were submitted in April of 2020 – compared to 1,467 in April of 2019. Analysis of 2021 assessment data will provide more insight into whether this decrease, and other findings attributed to the COVID-19 pandemic (discussed in later sections), will remain stable or return to pre-COVID levels.

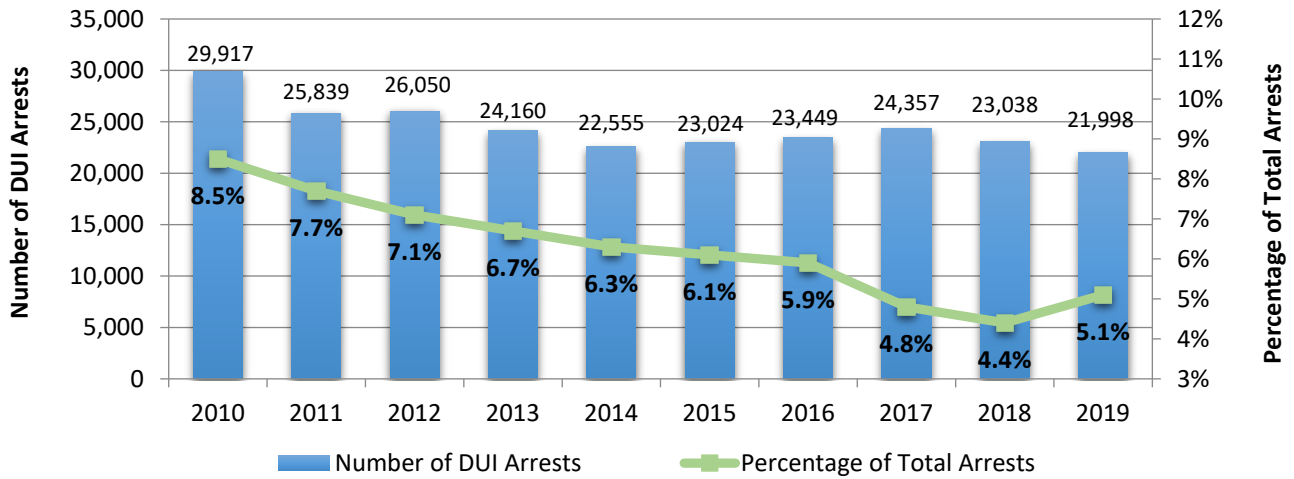
Figure 3: Number of DUI Assessments between March and August of 2019 and 2020



ARRESTS

The recent decrease in assessment records corresponds to a decrease in DUI arrests. As shown in Figure 4 on the following page, the percentage of arrests in Kentucky that were for DUI decreased between 2010 and 2018, before increasing in 2019. In 2019, there were 21,998 arrests for DUI, which represented 5.1% of all arrests in Kentucky.

Figure 4: Number of DUI Arrests and Percentage of Total Arrests 2010 to 2019

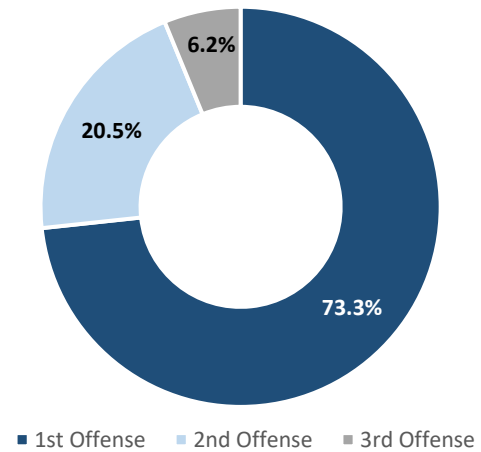


* Arrest data from Kentucky State Police were only available through 2019 at the time this report was developed.

CONVICTIONS

The majority of DUI assessment records submitted in 2020 were for individuals who reported only one lifetime DUI conviction (62.9%). Similarly, 73.3% of the assessment records in 2020 were for individuals convicted of a first offense DUI in the past 10 years. Figure 5 presents the frequencies for each DUI offense type (e.g., convicted of a first offense in the past 10 years) for assessments conducted in 2020. For the first time in ten years, more than one quarter (26.7%) of assessment records in 2020 were for individuals convicted of a second offense DUI or higher (see Appendix A, Figure A.1 on page 42).

Figure 5: DUI Assessments by Offense Type

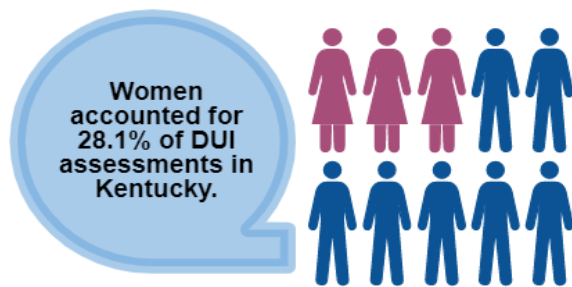


SECTION 2: DEMOGRAPHICS

GENDER

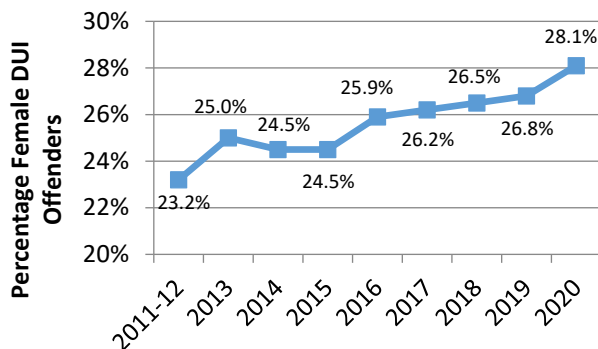
As illustrated in Figure 6, 8,233 (71.9%) of the 11,448 assessments submitted in 2020 were for males, while 28.1% (n=3,215) were for females.

Figure 6: DUI Assessments by Gender



Over the past 10 years, the percentage of assessments that are for females has been increasing, reaching a high of 28.1% in 2020 (see Figure 7).

Figure 7: Percentage of Assessments for Female DUI Clients between 2011 and 2020



RACE/ETHNICITY

In 2020, 9,223 assessments contained client race information (race/ethnicity is an optional field in KDAI). Of those assessments, the majority were for White DUI clients (85.6%), while 825

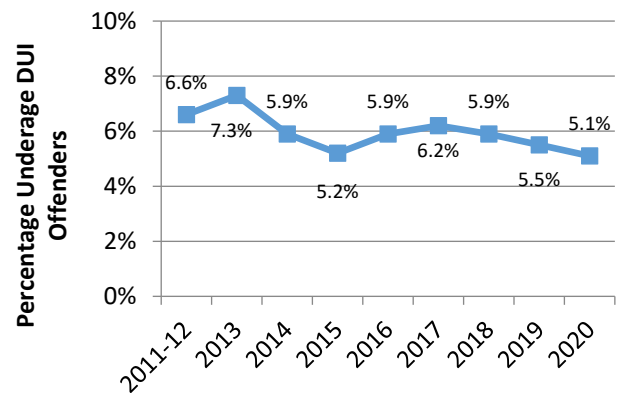
assessments (9.0%) were submitted for African Americans and 501 (5.4%) for Hispanics or those of another racial/ethnic background.

AGE*

*Age at the time of conviction was missing for 3 individuals.

The average age of DUI clients at the time of conviction was 37.0. The majority of assessments were for clients between the age of 21 and 39 at the time of conviction (57.4%), while 5.1% were for clients between 60 and 86 years old. There were 581 assessments (5.1%) submitted for DUI clients who were between 16 and 20 years old, which has decreased slightly since 2011 (see Figure 8).

Figure 8: Percentage of Assessments for Underage DUI Clients between 2011 and 2020



INCOME

Table 2 on the follow page presents the number of DUI assessments by yearly household income range. The majority of assessments were conducted for individuals who had a yearly household income level less than \$20,000 (60.7%), while only 6.7% had a household income of \$50,000 or more.

Table 2: Assessments by Yearly Household Income*

Household Income	Number of Assessments
Affidavit of Indigence	57
\$0 to 9,999	2,825
\$10,000 to 19,999	1,730
\$20,000 to 29,999	1,190
\$30,000 to 39,999	843
\$40,000 to 49,999	447
\$50,000 to 59,999	221
\$60,000 to 69,999	111
\$70,000 to 79,999	54
\$80,000 to 89,999	33
\$90,000 to 99,999	17
\$100,000 or higher	73

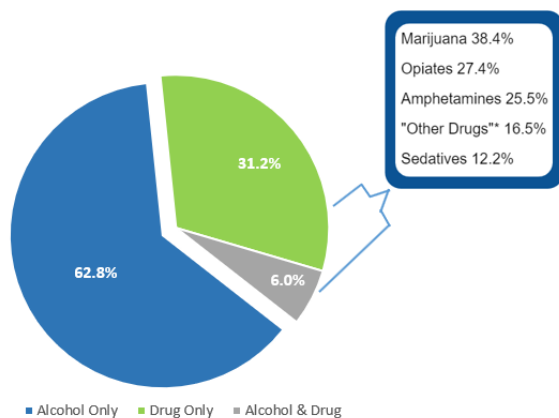
* Missing Data = 3,847 Assessments

SECTION 3: SUBSTANCES INVOLVED IN DUI ARREST*

*Substances involved in DUI arrest are self-reported.

The majority of assessments submitted in 2020 were for DUI arrests that involved only alcohol (62.8%), while more than one-third (37.2%) of assessments were drug-involved DUI arrests - either drug-only DUIs (31.2%) or DUIs that involved both drugs and alcohol (6.0%). This represents an increase in drug-involved DUIs from previous years, with only 22.2% of DUIs involving drugs in 2013 and, more recently, 37.2% in 2019. Of the DUIs that involved drugs in 2020, the most commonly-involved drug was marijuana, which was involved in 38.4% of drug-involved DUIs (14.3% of DUIs overall). Opiates were the second most commonly involved drug (27.4% of drug-involved DUIs; 10.2% of DUIs overall), followed by amphetamines (25.5% of drug-involved DUIs; 9.5% of DUIs overall), “other drugs” (16.5% of drug-involved DUIs; 6.1% of DUIs overall), and lastly, sedatives (12.2% of drug-involved DUIs; 4.5% of DUIs overall). Figure 9 presents the prevalence of drug-involved DUIs across specific drug categories.

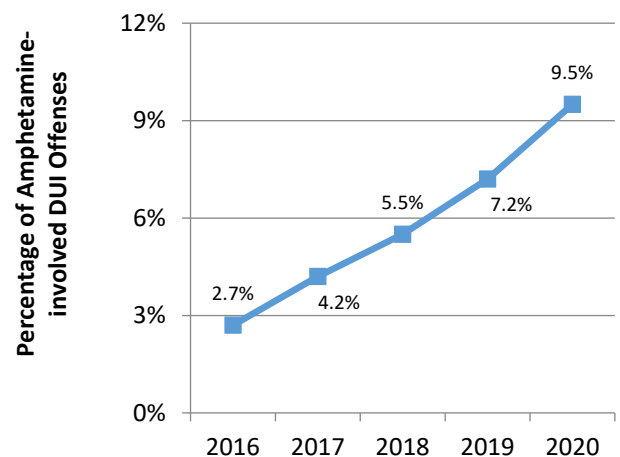
Figure 9: Percentage of Assessments for Alcohol and Drug-involved DUIs



* “Other drugs” includes cocaine, inhalants, hallucinogens, PCP, and an “other drug” category.

As previously noted, the prevalence of drug-involved DUIs has been steadily increasing since 2013, when KDAI began collecting information on the substance(s) involved in clients’ current DUI arrest. However, the most significant increase has been among amphetamine-involved DUIs. As shown in Figure 10, there has been a 251.9% increase since 2016 in the percentage of clients reporting amphetamine involvement in their current DUI arrest.

Figure 10: Percentage of Assessments for Amphetamine-involved DUI Offenses between 2016 and 2020



SUBSTANCES INVOLVED BY GENDER

Both male (66.0%) and female (54.8%) DUI clients were most often involved in an alcohol-only DUI. Female clients, however, were more likely (45.2%) to have a drug-involved DUI than male clients (34.0%). The prevalence of drug-involved DUIs among female clients has increased by 63.2% since 2013 (see Appendix A, Figure A.2 on page 42).

SUBSTANCES INVOLVED BY RACE/ETHNICITY*

*Race/Ethnicity is an optional field in KDAI.

**Participants who could not be classified as White, African American, or Hispanic were categorized as “other.”

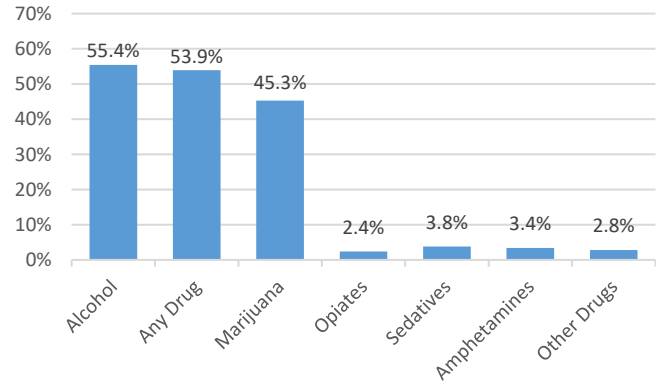
In 2020, White DUI clients were the most likely to report that their current DUI involved drugs (41.6%) – compared to African American DUI clients (25.8%), Hispanic DUI clients (11.7%), and those DUI clients of any other racial or ethnic background (23.7%). Hispanic DUI clients were the most likely to be involved in alcohol-only DUIs (88.3%), followed by DUI clients of any other racial/ethnic background (76.3%), African American DUI clients (74.2%), and then White DUI clients (58.4%). The percentage of clients who reported having driven under the influence of both alcohol and drugs was similar among African American DUI clients (6.8%), White DUI clients (6.1%), and DUI clients of any other racial/ethnic background (6.6%).

SUBSTANCES INVOLVED BY AGE*

*Age at the time of conviction was missing for 3 individuals.

In 2020, there was a relationship between the DUI client’s age at conviction and the type of substance(s) involved in the current DUI. Older persons were more likely to be involved in an alcohol-only DUI compared to younger DUI clients. Specifically, more than three-quarters (77.0%) of DUI clients age 60 or older have an alcohol-only DUI. On the other hand, clients between the ages of 16 and 39 were more likely (39.7%) to have a drug-involved DUI, with more than half of underage (< 21 years old) DUI clients having a drug-involved offense (53.9%). As presented in Figure 11, among underage DUI clients, marijuana was more likely to be involved than any other drugs (45.3%), followed by sedatives at only 3.8%.

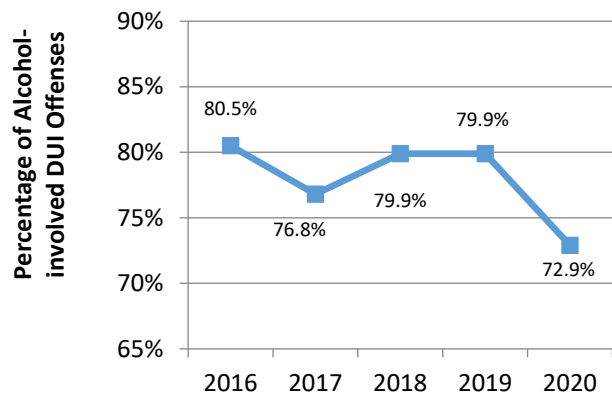
Figure 11: Substances Involved for Underage DUI Clients



SUBSTANCES INVOLVED BY OFFENSE TYPE

DUI clients convicted of a first offense DUI were slightly more likely to have a drug-only DUI (31.8%) – compared to 30.0% of those with a second offense DUI and 27.1% of those with a third offense DUI or higher. DUI clients with a third offense DUI or higher were more likely to have an alcohol-involved DUI (72.9%) – a percentage which has decreased over the past 5 years (see Figure 12).

Figure 12: Percentage of Alcohol-involved DUIs among Individuals with a Third Offense DUI or Higher between 2016 and 2020



BIOLOGICAL TESTING FOR THE PRESENCE OF ALCOHOL AND DRUGS

More than two-thirds (68.9%) of DUI clients self-reported their current DUI involved alcohol, but only around half of DUI clients reported that they were tested for alcohol during their current DUI arrest (50.3%). Most of those who had their alcohol level measured (n=5,764) reported receiving a breath analysis (81.9%).

While 5,764 clients were tested for alcohol, only 4,358 (38.1% of the total assessments) were able to provide their blood alcohol content (BAC) from their current DUI arrest. The majority of those 4,358 clients had a BAC that was between .08 (the legal limit) and .16 (61.7%). Approximately 7.3% had a BAC that was at least 3 times the legal limit (.24 or higher).

On the other hand, 37.2% of clients self-reported being under the influence of drugs at the time of their current offense, and only 23.3% reported being drug tested as part of their current DUI. Of the 2,664 who were drug tested, nearly all had their blood tested (98.8%).

Urine was the least frequently used test method for both alcohol and drug use.

SECTION 4: SCREENING AND DSM-5

AUDIT

The Alcohol Use Disorders Identification Test (AUDIT) is designed to identify problem drinking. This screening instrument consists of 10 questions, each scored from 0 to 4. The final score is computed as the sum of the 10 individual question scores. A final score of 8 or more suggests a likely drinking problem. Of the 11,448 submitted assessments, 2,932 (25.6%) had a positive (≥ 8) AUDIT score. The average AUDIT score was 5.48. Appendix B (page 44) contains the frequency of each response option and the average scores for each of the AUDIT questions.

DAST

The Drug Abuse Screening Test (DAST) assesses drug use problems. This screening instrument consists of 28 true/false questions scored as 1 or 0. A summed score of 5 or more identifies a person with a potential drug problem. More than 1 of every 3 assessments had a positive (≥ 5) DAST score (33.4%). The average DAST score was 4.79. Appendix C (page 47) contains the frequency of “yes” responses and the average scores for each of the DAST questions.

Please note that screening instruments do not dictate a level of care. Screening instruments, in combination with a face-to-face clinical interview, assist DUI assessors in determining the appropriate level of care for DUI clients.

AUDIT/DAST BY GENDER

As shown in Table 3, male DUI clients had a higher average score than females, with 27.7% of male clients having a positive AUDIT score (see Appendix B for AUDIT questions by gender).

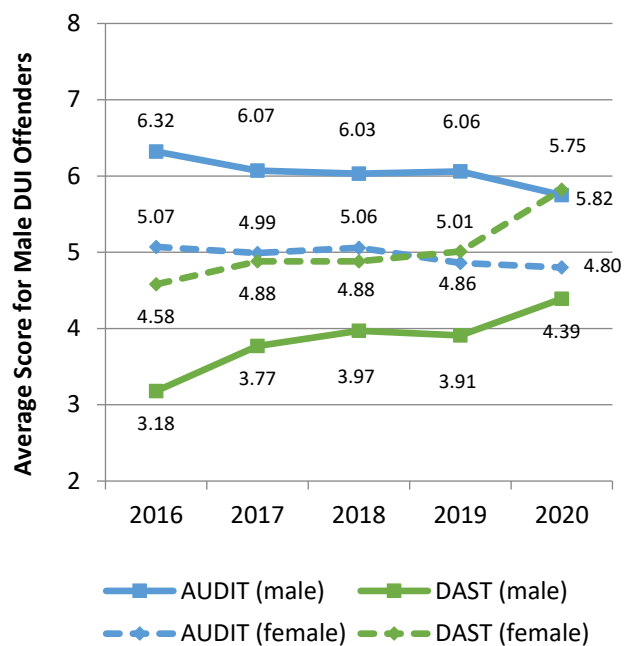
Females, on the other hand, had a higher average DAST score than males (see Appendix C for DAST questions by gender). More than one-third (39.6%) of female DUI clients had a positive DAST score.

Table 3: Screening Instruments by Gender

	Males	Females
Positive AUDIT	27.7%	20.4%
Average AUDIT Score	5.75	4.80
Positive DAST	31.0%	39.6%
Average DAST Score	4.39	5.82

Since 2016, AUDIT scores for DUI clients in Kentucky have decreased overall, while DAST scores for male DUI clients have increased (see Figure 13).

Figure 13: Screening Instruments for Males and Females between 2016 and 2020



AUDIT/DAST BY RACE/ETHNICITY*

*Race/Ethnicity is an optional field in KDAI.

Hispanic DUI clients had the highest average AUDIT score (7.19) yet the lowest average DAST score (1.13). White DUI clients had the highest average DAST score (5.18) but had the lowest average AUDIT score (5.30).

AUDIT/DAST BY AGE*

*Age at the time of conviction was missing for 3 individuals.

AUDIT scores increase overall with the age of DUI clients, while DAST scores are lower for older clients. More specifically, individuals between the ages of 60 and 69 had the highest average AUDIT score (6.25), while those between 70 and 86 had the lowest DAST scores (1.29). Underage (< 21 years old) DUI clients had the lowest average AUDIT score (4.20) and clients between the ages of 30 and 39 had the highest DAST scores (6.36).

AUDIT/DAST BY SUBSTANCE(S) INVOLVED

DUI clients with alcohol-involved DUIs had the highest AUDIT scores – 7.17 for individuals with an alcohol-only DUI and 7.06 for those with a DUI that involved both alcohol and drugs. Clients with drug-only DUIs had an average AUDIT score of 1.76. DAST scores, however, were highest for those clients who had drug-involved DUIs – 10.15 for those with drug-only DUIs and 8.36 for clients who had a DUI involving both alcohol and drugs. Clients with alcohol-only DUIs had an average DAST score of 1.79.

AUDIT/DAST BY DUI OFFENSE TYPE

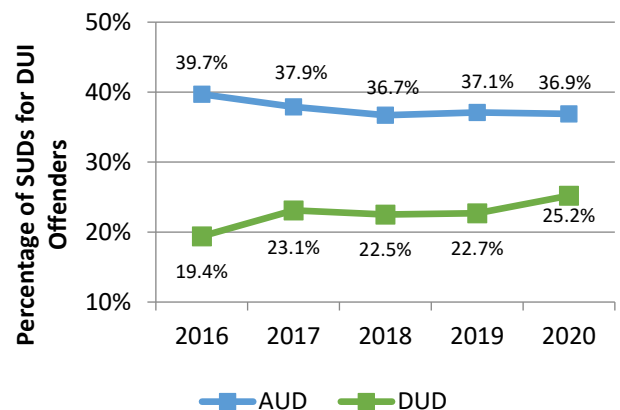
Clients with multiple DUI convictions scored higher on both the AUDIT and the DAST.

Specifically, clients convicted of a third or higher DUI offense had the highest average AUDIT (7.11) and DAST (6.02) scores. Conversely, assessments for DUI clients convicted of a first DUI offense had the lowest average AUDIT (5.06) and DAST (4.46) scores.

DSM-5 SUBSTANCE USE DISORDERS

According to the DSM-5, individuals who meet two or more DSM criteria for a given substance within a 12-month period have a substance use disorder. Meeting 2-3 criteria within a 12-month period indicates a mild disorder; 4-5 criteria, a moderate disorder; and 6 or more criteria, a severe substance use disorder. In 2020, 55.5% of DUI clients who were assessed met criteria for a substance use disorder. Most met criteria for an alcohol use disorder (36.9%) compared to only 25.2% for a drug use disorder. As presented in Figure 14, the prevalence of alcohol use disorders (AUD) among assessed DUI clients has decreased overall since 2015 while the rate of drug use disorders (DUD) has increased. For a list of the DSM criteria and the frequency that each of the criteria were identified as “present” in 2020, see to Appendix D (page 51).

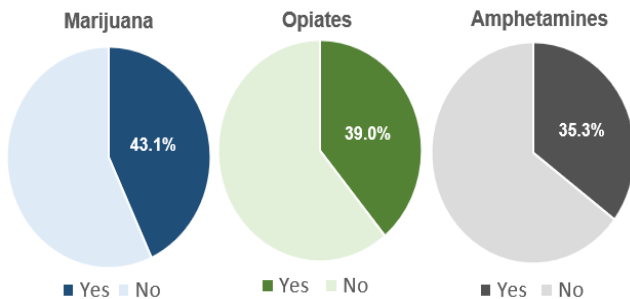
Figure 14: DSM-5 Substance Use Disorders between 2016 and 2020



When focusing on substance use disorder information across individual substances, as mentioned, DUI clients were more likely to meet criteria for an alcohol use disorder than any non-alcohol drug. However, as shown in Figure 15, out of the 2,880 assessments submitted for clients who met criteria for a drug use disorder, marijuana use disorders were the most common, followed by opiate use disorders. Sedatives (10.5%) and “other drugs”* (10.1%) were the least common drug use disorders (not shown). Compared to others with a substance use disorder, individuals with an opiate use disorder were more likely to meet criteria for a severe substance use disorder (27.5%), followed by those with an amphetamine use disorder (23.5%). On the other hand, those who met criteria for a marijuana use disorder were more likely to meet criteria for a mild substance use disorder (19.2%).

*“Other drugs” includes cocaine, inhalants, hallucinogens, PCP, and an “other drug” category.

Figure 15: DSM-5 Drug Use Disorders



DSM-5 SUBSTANCE USE DISORDERS BY GENDER

In 2020, males were slightly more likely to meet criteria for a substance use disorder (56.2%) compared to females (53.6%). Females convicted of DUI had a higher rate of drug use disorders (29.8%) compared to males convicted of DUI (23.3%). However, assessment records for males

had a higher rate of alcohol use disorders (39.4% vs. 30.5%). Males and females met criteria for both a drug and alcohol use disorder at similar rates (6.5% vs. 6.7%, respectively).

Table 4 presents the percentage of assessment records for DUI clients who met criteria for a substance use disorder separated by severity and by gender. Females convicted of DUI had a higher rate of severe substance use disorders (23.3%) compared to their male counterparts (20.7%), while males had a higher rate of both mild and moderate substance use disorders.

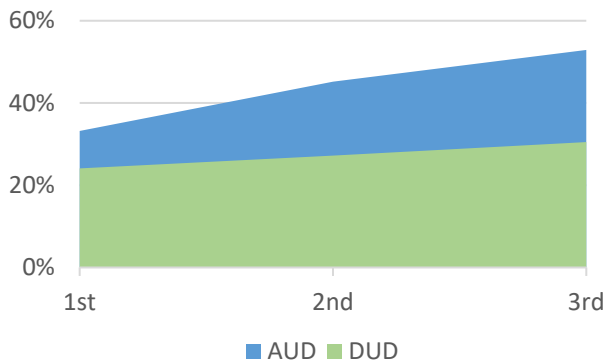
Table 4: DSM-5 Substance Use Disorder Severity by Gender

	Males	Females	Total
No Disorder	3,606 (43.8%)	1,491 (46.3%)	5,097 (44.5%)
Mild	1,912 (23.2%)	611 (19.0%)	2,523 (22.0%)
Moderate	1,013 (12.3%)	365 (11.4%)	1,378 (12.0%)
Severe	1,702 (20.7%)	748 (23.3%)	2,450 (21.5%)

DSM-5 SUBSTANCE USE DISORDERS BY OFFENSE TYPE

As shown in Figure 16 on the following page, the percentage of assessments for DUI clients reporting DSM criteria for an alcohol use disorder (AUD) increases with multiple DUI convictions. Around one-third (33.2%) of assessments for individuals with a first DUI offense indicate an alcohol use disorder while 52.9% of those with a 3rd or higher DUI offense have an alcohol use disorder. On the other hand, the percentage of assessments for DUI clients reporting a drug use disorder (DUD) remains fairly stable across offense categories.

Figure 16: DSM-5 Substance Use Disorders by Offense Type



The percentage of assessments for DUI clients who met criteria for a severe substance use disorder increases as clients are convicted of subsequent offenses. Specifically, 17.4% of DUI clients with a first offense DUI met criteria for a severe substance use disorder compared to 42.1% of clients convicted of a third or higher DUI offense. Clients with a first offense DUI who met DSM-5 criteria for a substance use disorder were most likely to meet criteria for a mild disorder (23.4%) compared to those convicted of a second offense (18.8%) or a third offense or higher (16.8%).

DSM-5 SUBSTANCE USE DISORDERS BY SUBSTANCE(S) INVOLVED

Clients whose current DUI involved both alcohol and drugs were more likely to meet criteria for a substance use disorder (62.9%) compared to those with alcohol-only (54.0%) or drug-only DUIs (57.0%). Clients whose current DUI involved only drugs were more likely to meet criteria (55.9%) for a drug use disorder while those involved in alcohol-only DUIs were more likely to meet criteria for an alcohol use disorder (51.4%). The prevalence of alcohol and drug use disorders were similar among clients whose

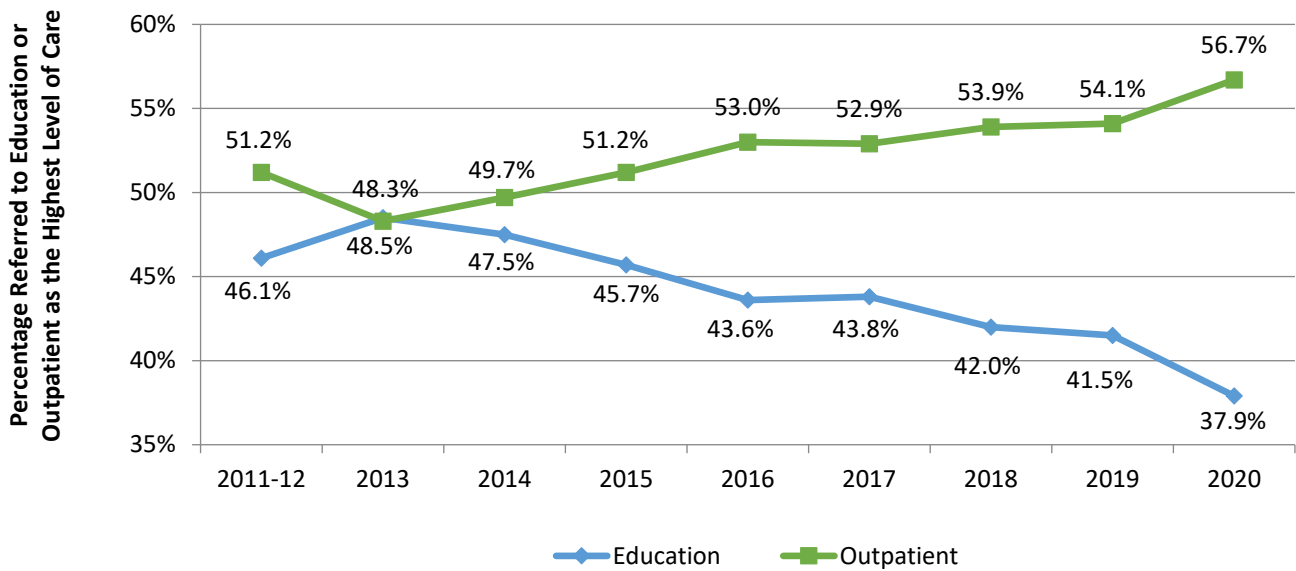
current DUI involved both alcohol and drugs (44.5% vs. 46.8%, respectively).

Individuals whose current DUI involved only drugs were more likely to meet criteria for a severe substance use disorder (32.1%) compared to those whose current DUI involved both alcohol and drugs (27.6%) or only alcohol (15.5%).

SECTION 5: TREATMENT REFERRALS

This section presents education and treatment intervention referrals. In 2020, a majority of submitted assessments were for DUI clients referred for outpatient treatment as their highest level of care (56.7%) – followed by education referrals (37.9%), residential treatment referrals (3.3%), and intensive outpatient (IOP) treatment referrals (2.2%). Figure 17 presents the percentage of assessments that resulted in a referral for education or outpatient as the highest level of care from 2011 to 2020. As shown, the percentage of education versus outpatient referrals has varied over the years, with an increase in the number of outpatient referrals since 2013. The percentage of assessments with an IOP or residential referral has remained relatively stable over the past ten years, with a slight overall increase since 2011 (see Appendix A, Figure A.3 on page 42).

Figure 17: Education and Outpatient Referrals 2011 to 2020*



*Only the highest level of care recommended is provided. For example, if an individual was recommended for education and outpatient, only the outpatient recommendation is presented.

Table 5 presents the number of referrals to each level of care, including multiple referrals. This represents the total number of referrals to a specific intervention regardless of how many other levels of care were recommended. Around 95% of recommended referrals were for outpatient and/or education. It is interesting to note that approximately 4.8% of assessments had a referral to multiple levels of care, with 22.4% of those with

a residential referral having a recommendation for an additional level of care.

Table 5: Total Referrals*

Education	4,743
Outpatient	6,614
Intensive Outpatient	280
Residential	375

*Some assessments are counted twice because some individuals are referred to more than one level of care.

LEVEL OF CARE BY GENDER

Both male (57.3%) and female (55.1%) DUI clients were most often referred to an outpatient intervention as their highest level of care. A higher percentage of female DUI clients (6.8%) were referred to intensive outpatient and residential treatment compared to males (4.9%). Referrals to education were similar for females (38.1%) and males (37.8%).

LEVEL OF CARE BY RACE/ETHNICITY*

*Race/Ethnicity is an optional field in KDAI.

**Participants who could not be classified as White, African American, or Hispanic were categorized as “other.”

Compared to other racial/ethnic groups, Hispanic DUI clients were more often referred to outpatient treatment (61.6%), while DUI clients of “other” racial/ethnic backgrounds were the least likely to be referred to outpatient treatment (43.4%). DUI clients of “other” racial/ethnic backgrounds were more likely to be referred to an education intervention (53.9%) compared to DUI clients who were African American (41.2%), White (36.9%), and Hispanic (38.1%). White clients were more often referred to intensive outpatient and residential treatment (6.2%) than other racial/ethnic groups.

LEVEL OF CARE BY AGE*

*Age at the time of conviction was missing for 3 individuals.

Underage (< 21 years old) DUI clients were more likely to be referred to an education intervention (50.8%) as their highest level of care compared to older clients. Compared to other age groups, persons who were between the ages of 40 and 59 were more likely to be referred to outpatient treatment (60.1%) as their highest level of care, while those between the ages of 30 and 39 had the

highest rate of referrals to intensive outpatient or residential treatment (7.6%).

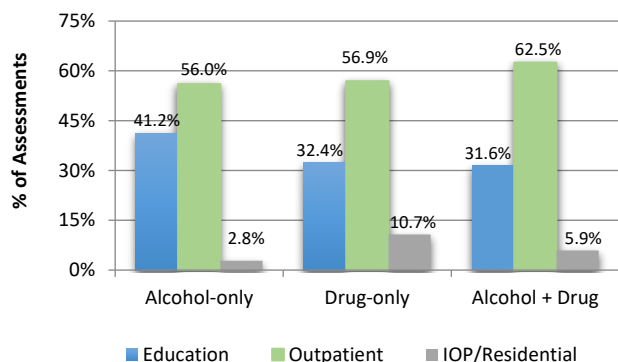
LEVEL OF CARE BY OFFENSE TYPE

In 2020, clients convicted of a first offense DUI were more likely to be referred to an education intervention (49.6%) as their highest level of care compared to those convicted of a second offense (6.1%) or a third or higher offense (4.9%). Those convicted of a second offense DUI or a third or higher offense were most likely to be referred to outpatient treatment as their highest level of care (87.0% and 87.4%, respectively). Intensive outpatient or residential treatment referrals were most common among clients with a third or higher DUI offense (7.7%), compared to those with either a first or second DUI offense (4.9% and 7.0%, respectively).

LEVEL OF CARE BY SUBSTANCE(S) INVOLVED

On the following page, Figure 18 presents the highest level of care recommended by the type of substance(s) involved in the current DUI offense. DUI clients across all categories were most likely to be referred to outpatient treatment as their highest level of care. Clients with an alcohol-only DUI were referred to education (41.2%) as their highest level of care more often than clients with a drug-involved DUI (32.3%). On the other hand, clients whose DUI involved only drugs were referred to IOP or residential treatment more often (10.7%) than clients with an alcohol-involved DUI (3.1%). Lastly, clients with a DUI that involved both drugs and alcohol were more likely (62.5%) to be referred to outpatient treatment than those who reported their current DUI involved only alcohol (56.0%) or drugs (56.9%).

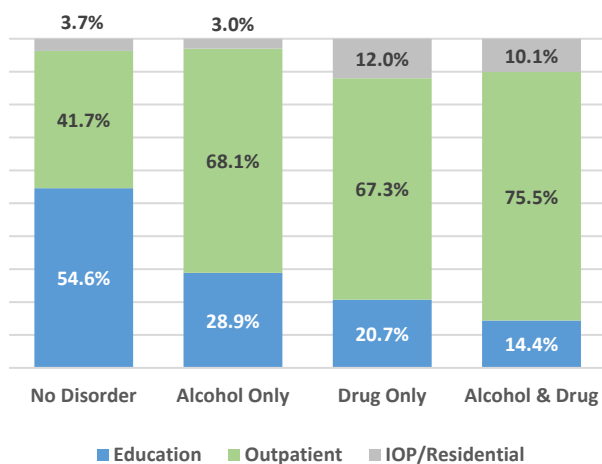
Figure 18: Highest Level of Care by Substances Involved in DUI Arrest



LEVEL OF CARE BY DSM-5 SUBSTANCE USE DISORDERS

Figure 19 presents the highest level of care by DSM-5 substance use disorders. Persons who met criteria for both an alcohol use and drug use disorder in the past 12 months were more likely than other DUI clients to have received a treatment recommendation (85.6%), followed by those meeting criteria for only a drug use disorder (79.3%). Persons who did not meet criteria for a substance use disorder were most likely to be referred to education (54.6%).

Figure 19: Highest Level of Care by DSM-5 Substance Use Disorders

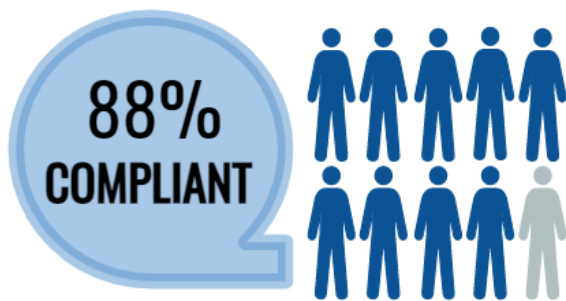


Highest level of care recommended is also related to DSM-5 substance use disorder severity. Nine out of every ten individuals (89.8%) who met criteria for a severe substance use disorder were referred to some type of treatment; 13.3% were specifically referred to either intensive outpatient or residential treatment. Individuals meeting criteria for a mild substance use disorder were more likely to be referred to education (41.4%) compared to those with more severe substance use disorders.

SECTION 6: COMPLIANCE

Of the 11,448 assessment records, 7,975 records (69.7%) were completed before December 31, 2020. As described in the Background (page 9), this means that the client either met or did not meet the requirements of the intervention to which they were referred and, as a result, was deemed by the DUI assessor as compliant or non-compliant. Figure 20 presents assessments by compliance for those records that were completed during 2020. Overall, nearly nine of every ten (87.5%) DUI assessments were for clients compliant with their assigned intervention.

Figure 20: Compliant vs. Non-Compliant



There are four reasons a DUI client can be deemed non-compliant with their assigned intervention. Table 6 lists the reasons DUI clients can be deemed non-compliant and the corresponding percentages for calendar year 2020. Failure to comply with attendance requirements was the most frequently cited reason for non-compliance.

Table 6: Main Reason for Non-Compliance

Failure to achieve treatment plan goals	3.0%
Failure to comply with rules of conduct	1.4%
Failure to comply with attendance requirements	90.7%
Failure to pay fees	4.9%

Compliance rates have not varied widely over the past 10 years, ranging from a low of 83.6% in 2011 to a high of 87.5% most recently in 2020 (see Appendix A, Figure A.4 on page 43).

COMPLIANCE BY GENDER

Compliance rates were comparable across gender. Female clients were only slightly more likely to be compliant (88.6%) compared to male clients (87.0%).

COMPLIANCE BY RACE/ETHNICITY*

*Race/Ethnicity is an optional field in KDAI.

**Participants who could not be classified as White, African American, or Hispanic were categorized as “other.”

White (88.5%) DUI clients were the most likely to be compliant with their recommended DUI interventions – compared to 85.7% of Hispanic DUI clients, 83.9% of clients from another racial/ethnic background, and 82.0% of African American DUI clients.

COMPLIANCE BY AGE*

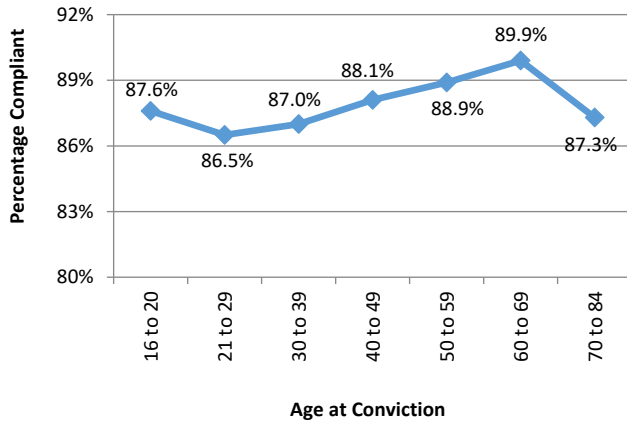
*Age at the time of conviction was missing for 2 individuals who were assessed and completed during 2020.

Unlike previous years when an increase in a DUI client’s age corresponded to an increased likelihood of complying with one’s recommended intervention, compliance rates from assessments conducted in 2020 were similar across all age groups. Changes to service delivery (e.g., teleconferencing) and greater provider flexibility (e.g., with timely payments) during the COVID-19 pandemic may have resulted in these more uniform compliance rates across age groups.

As shown in Figure 21 on the following page, DUI clients between the ages of 60 and 69 were

the most likely to comply with their recommended intervention (89.9%), while those between the ages of 21 and 29 were the least likely to comply (86.5%).

Figure 21: Compliance by Age



COMPLIANCE BY OFFENSE TYPE

The likelihood of compliance decreased with each subsequent conviction. Specifically, individuals convicted of a third offense DUI or higher were the least likely to comply with their assigned intervention (59.3%), while DUI clients convicted of a first offense DUI were the most likely to be compliant (90.7%).

COMPLIANCE BY SUBSTANCE(S) INVOLVED

DUI clients who reported driving under the influence of both alcohol and drugs with their current DUI were less likely to comply with their education and/or treatment recommendations (84.8%) compared to clients involved in alcohol-only DUIs (88.5%) and drug-only DUIs (86.0%).

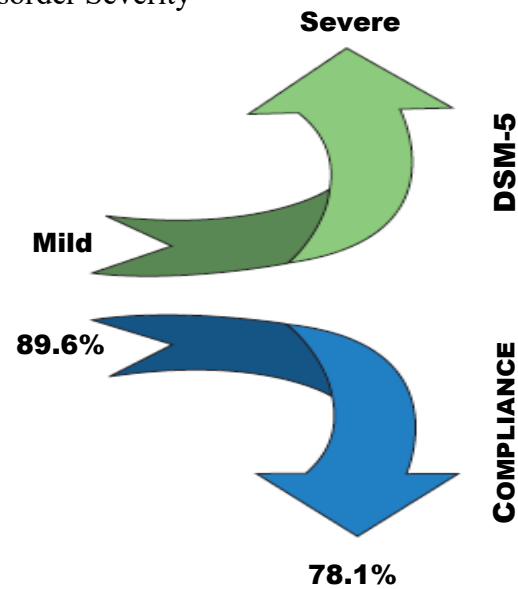
COMPLIANCE BY DSM-5 SUBSTANCE USE DISORDERS

DUI clients who met two or more substance use disorder criteria in the past 12 months were less

likely to be compliant with their assigned intervention than those with no substance use disorder (84.3% vs. 90.8%). Individuals who met two or more DSM criteria for both a drug and alcohol use disorder were the least likely to be compliant (78.1%), while those meeting criteria for only an alcohol use disorder were the most likely to be compliant (86.3%).

Figure 22 presents compliance by DSM-5 substance use disorder severity. As shown, the likelihood of compliance decreased as substance use severity increased.

Figure 22: Compliance by DSM-5 Substance Use Disorder Severity



COMPLIANCE BY HIGHEST LEVEL OF CARE RECOMMENDED

Individuals referred for residential treatment showed the highest percentages of compliance (96.7%), while persons referred to outpatient treatment were the least likely to be compliant with their intervention (81.0%).

SECTION 7: COMMUNITY MENTAL HEALTH CENTER REGIONS

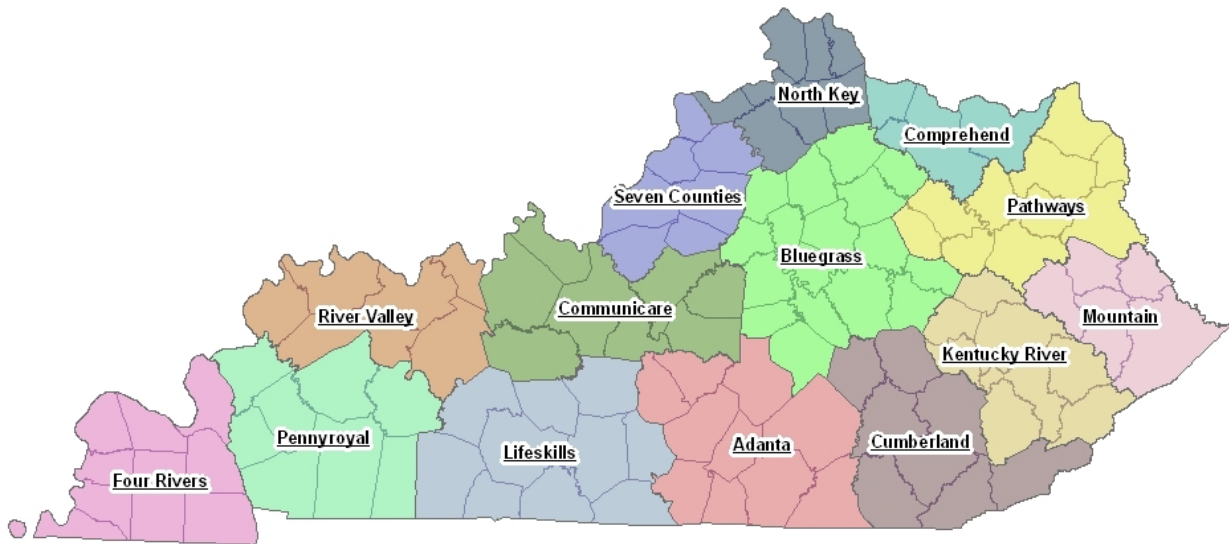
Kentucky has 14 Community Mental Health Centers (CMHC) that provide publicly-funded services to individuals experiencing mental health or substance use problems. Of those 14 CMHCs, 11 are licensed and certified DUI programs. Table 7 presents the number of programs and assessment records submitted by these centers (publicly-funded) and privately-owned DUI assessment programs. CMHCs submitted an average of 196 assessments per program in 2020, while private programs submitted an average of 87 assessments per program. There were 14 privately-owned DUI programs that submitted fewer than 10 assessments.

Table 7: CMHC and Privately-owned Program Assessments

	CMHC	Private	Total
Assessments Submitted	2,152	9,296	11,448
Number of Programs	11	107	118
Average Assessments per Program	195.6	86.9	97.0

In this section, DUI assessment information is presented for the CMHC regions, including all certified DUI programs (public and private) within that geographic region, not just the CMHC serving the region. Figure 23 presents a map of Kentucky’s CMHC regions, each of which are comprised of multiple counties.

Figure 23: Community Mental Health Center Regional Map



CMHC DEMOGRAPHIC DIFFERENCES

There were few demographic differences found across CMHC regions. The average age of DUI clients across Kentucky was 36.9 but the average age across CMHC regions ranged from a low of 35.5 years old in the Lifeskills region to a high of 39.3 in the Mountain region. While approximately two-thirds of the

clients in the Lifeskills region were under the age of 40 (66.1%), only 53.2% of clients in the Mountain region were under the age of 40. The percentage of male DUI clients was also similar across regions, ranging from a low of 67.4% in the Cumberland region to a high of 80.3% in the Comprehend region. For a more detailed breakdown of demographic information across CMHC regions, refer to Table E.1 in Appendix E (page 53).

CMHC REGIONS AND CONVICTION HISTORY

The average number of lifetime DUI convictions for Kentucky clients was 1.59. Clients in the Comprehend region had the highest average number of lifetime DUI convictions (1.82). First-time offenders were a majority in all regions, though North Key had the highest percentage of assessments for first-time offenders (71.1%). Comprehend had the highest percentage of assessments for DUI clients with a second conviction (30.6%), and Four Rivers had the highest percentage of assessments for clients with three or more lifetime DUI convictions (18.8%).

Similar to lifetime DUI convictions, individuals convicted of a first DUI offense for their current DUI were a majority in all regions. Comprehend had the highest percentage of assessments for first DUI offenses (81.1%). Four Rivers had the highest percentage of assessments for second DUI offenses (24.0%), and Pennyroyal had the highest percentage for third or higher DUI convictions (8.4%).

See Tables E.2 and E.3 in Appendix E (page 54) for additional details about the number of lifetime DUI convictions and current DUI conviction type across CMHC regions.

CMHC REGIONS AND SUBSTANCE(S) INVOLVED

The types of substances involved in DUIs varied widely across CMHC regions. Compared to other regions, DUIs that involved only alcohol were most common in the Seven Counties region (77.6%). Alcohol-only DUIs were the least common in the Kentucky River region (29.3%). The Cumberland River region had the highest prevalence of drug-only DUIs (64.1%). Finally, clients in the Comprehend region were more likely than individuals from any other region to have a DUI that involved both alcohol and drugs (11.6%). For a breakdown of the types of substances involved in clients' current DUI, see Table E.4 in Appendix E (page 55).

While alcohol was involved more often than any specific type of drug, marijuana was the most commonly involved drug across the state. In 2020, more than 1 in every 10 DUIs involved marijuana (14.2%). As shown in Figure 24 on the following page, marijuana was the most commonly reported drug involved for DUI clients in eight of the CMHC regions. In the North Key, Comprehend, Bluegrass, Mountain, and Cumberland River regions, opiates were more likely to be involved than any other specific type of drugs. Amphetamines were most common in the Kentucky River region.

For a more detailed breakdown of drug involvement in each of the 14 CMHC regions, refer to Figures 24 through 28 on the following page. These maps show the prevalence of involvement for marijuana, opiates, sedatives, and amphetamines by CMHC region.

Figure 24: CMHC Regional Map with Most Commonly Involved Drug

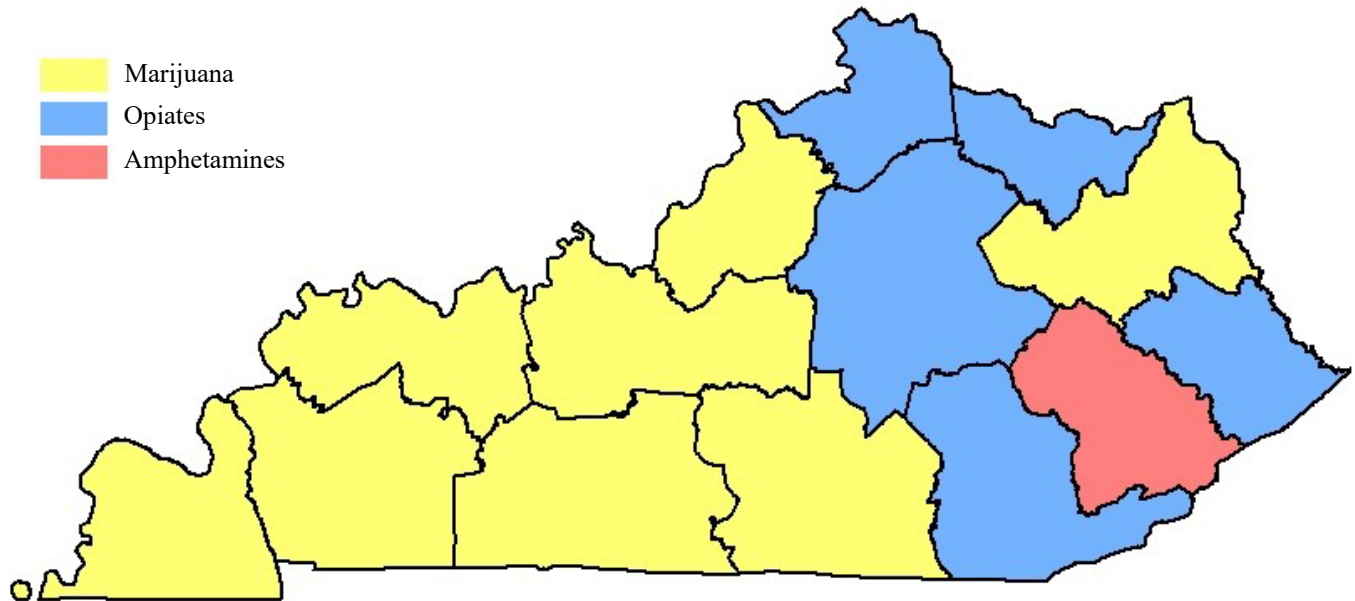


Figure 25: Marijuana Involvement by CMHC Region

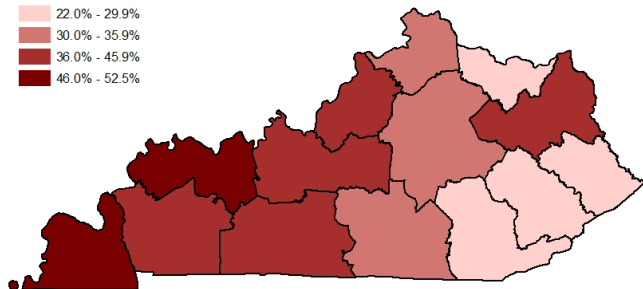


Figure 27: Sedative Involvement by CMHC Region

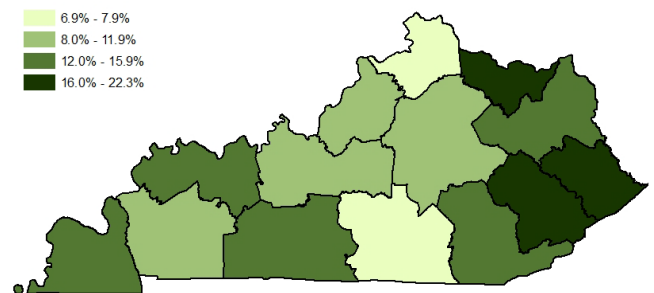


Figure 26: Opiate Involvement by CMHC Region

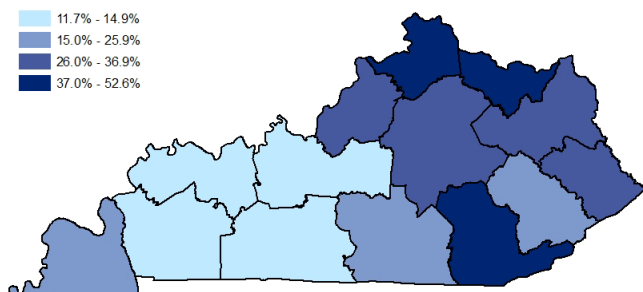
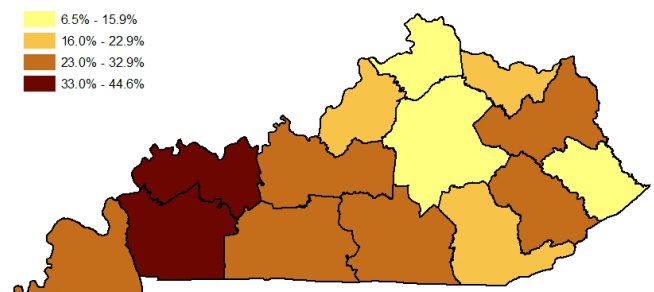


Figure 28: Amphetamine Involvement by CMHC Region



CMHC REGIONS AND SCREENING INSTRUMENTS AND DSM-5

Table 8 presents the percentage of assessments with positive scores for the AUDIT (≥ 8) and DAST (≥ 5) and the percentage of assessments for clients who met DSM-5 substance use disorder criteria by CMHC region. The Seven Counties region had the highest percentage of positive AUDIT scores (36.2%) with an average AUDIT score of 6.98. Mountain had the fewest (9.4%) positive AUDIT scores with an average score of 2.60. The Kentucky River region had the highest percentage of positive DAST scores (69.3%), with an average DAST score of 10.05. North Key had the fewest (22.4%) with an average score of 3.55. Table E.5 in Appendix E (page 55) provides the average AUDIT and DAST score for each of the CMHC regions.

Table 8: CMHC Screening Instruments and DSM-5

	AUDIT % Positive	DAST % Positive	DSM-5 Substance Use Disorder
Four Rivers	27.8%	30.2%	54.0%
Pennyroyal	12.8%	24.4%	42.9%
River Valley	34.3%	40.1%	69.4%
Lifeskills	27.6%	32.6%	66.1%
Communicare	27.0%	33.5%	53.7%
Seven Counties	36.2%	22.6%	66.2%
North Key	28.7%	22.4%	69.0%
Comprehend	17.0%	30.6%	67.3%
Pathways	18.4%	51.1%	50.8%
Mountain	9.4%	43.0%	29.4%
Kentucky River	20.4%	69.3%	82.5%
Cumberland River	17.7%	59.3%	45.8%
Adanta	17.3%	42.4%	42.2%
Bluegrass	28.0%	26.4%	48.3%
All Regions	25.6%	33.4%	55.5%

Looking at the DSM-5, clients in the Kentucky River region were more likely to meet DSM-5 criteria for a substance use disorder (82.5%) compared to those from other CMHC regions. Those from the Mountain region were the least likely to meet criteria for a substance use disorder (29.4%). The Kentucky River region had the highest percentage of clients meeting criteria for a severe substance use disorder (43.6%) while clients in the North Key region were more likely to meet criteria for a mild substance use disorder (41.6%) compared to other regions.

CMHC REGIONS AND LEVEL OF CARE

Level of care refers to assessors' education and treatment intervention referrals – specifically, the highest level assigned for each assessment is provided (i.e. when more than one level of care was assigned, only the highest, most intensive level is presented here). Although outpatient treatment was the highest level of care recommended for more than half (56.7%) of Kentucky DUI clients in 2020, it was more likely to be recommended for clients in the Lifeskills region (76.5%) than in any other CMHC region. Education was more likely referred as the highest level of care in the Pennyroyal region (52.3%) compared to any other region. The Kentucky River region had the highest prevalence of referrals to intensive outpatient treatment (7.9%), while referrals to residential treatment were most common in the Pathways region (13.1%). Additional referral information for CMHC regions can be found in Table E.6 in Appendix E (page 56).

CMHC REGIONS AND COMPLIANCE

Compliance refers to the percentage of assessments that were considered compliant upon completion. Out of the 7,975 assessments

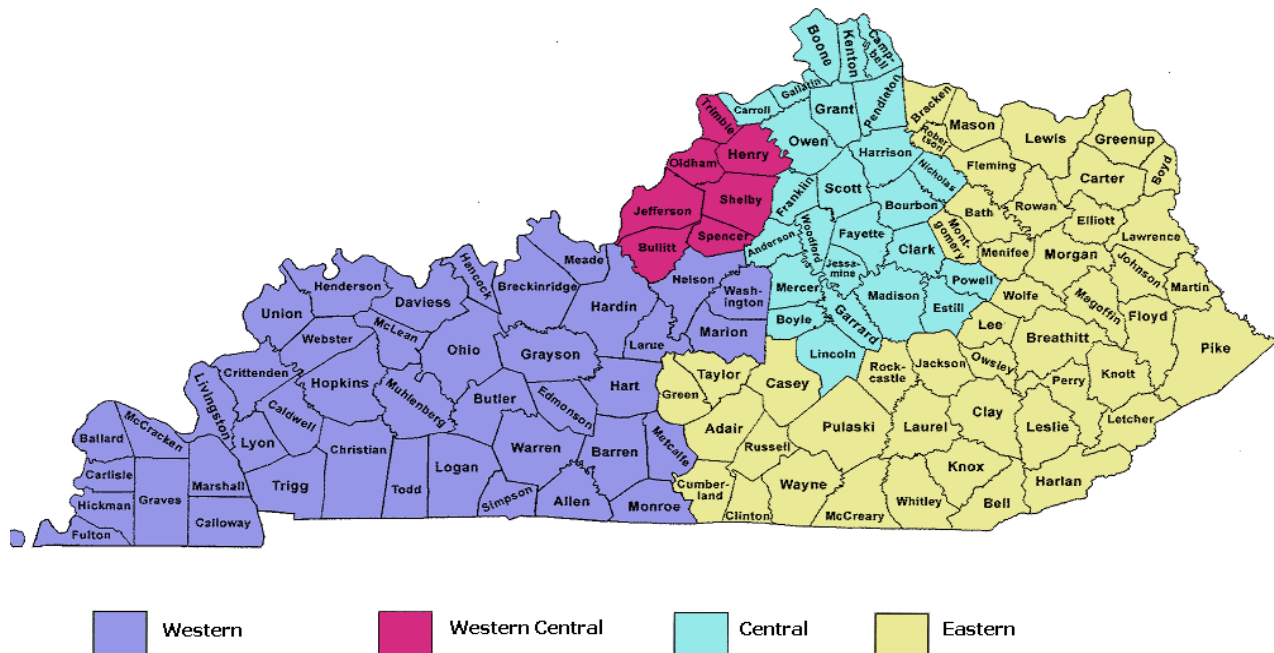
completed in 2020, assessors deemed 87.5% compliant with their recommended intervention. The Pathways region had the highest rate of compliance with more than 9 out of 10 (95.6%) completed assessments being compliant. However, in the Communicare region, only 80.1% of the clients were deemed compliant. Compliance rates for each of the CMHC regions can be found in Table E.6 in Appendix E (page 56).

SECTION 8: DUI REGIONS

Kentucky is divided into four DUI regions and each region has an assigned DUI regional coordinator who serves as a representative of the Division of Program Integrity. DUI regional coordinators are responsible for monitoring and providing support to licensed and certified DUI assessment programs within their assigned region. Figure 29 presents a map of Kentucky’s DUI regions.

In 2020, the Western region had more assessments than the other three regions (34.2%; 3,920 assessments) while the Western Central region had the fewest assessments (12.1%; 1,387 assessments). For the number of assessments submitted in 2020 for each of the four DUI regions, see Table F.1 in Appendix F (page 57).

Figure 29: DUI Regions Map



DUI REGION DEMOGRAPHIC DIFFERENCES

In general, the DUI regions were largely similar in terms of demographic information. In each region, approximately three-quarters of the clients who were assessed were male; ranging from a low of 71.3% in the Eastern region to a high of 75.3% in the Western Central region. Clients in the Central region were the youngest, with an average age of 36.4. Conversely, clients in the Eastern region had the highest average age at 37.7 years old. The most

notable difference between the regions were clients’ race/ethnicity. The Eastern region had the highest percentage of White clients (96.9%), followed by the Western region where 83.5% of clients were White. Clients in the Western Central region were the least likely to be White (70.9%). Table F.1 in Appendix F (page 57) provides a more thorough breakdown of the demographic characteristics of DUI clients for each of the four DUI regions.

DUI REGION AND CONVICTION HISTORY

The average number of lifetime DUI convictions varied slightly across DUI regions. The Eastern region had the highest percentage of clients with two or more lifetime DUIs (40.3%), with an average of 1.65 lifetime DUI convictions. Clients in the Western region also reported an average of 1.65 lifetime DUIs (38.9% with 2+ lifetime convictions). Clients in the Central region were more likely to report that their current DUI was their first DUI conviction in their lifetime (67.5%), and the most likely to be convicted of a first DUI offense (75.6%). Tables F.2 and F.3 in Appendix F (page 57) contain additional details about the number of lifetime DUI convictions and current DUI conviction type across DUI regions.

DUI REGIONS AND SUBSTANCES INVOLVED

Overall, alcohol was the most commonly-involved substance in each of the regions. However, alcohol-involved DUIs were most common in the Western Central region (83.0%), whereas the Eastern region had the highest percentage of assessments for individuals with a drug-involved DUI (56.2%). Compared to the other three regions, the Eastern region also had the highest percentage of assessments for individuals with a DUI that involved both alcohol and drugs (6.8%). Refer to Appendix F, Table F.4 (page 57) for the complete breakdown of the type of substance(s) involved in clients’ current DUI by DUI region.

Table 9 presents the distribution of specific non-alcohol drugs involved in DUIs by DUI region. The Eastern region had the highest percentage of assessments for individuals with DUIs involving drugs across all drug categories, with marijuana being the most commonly involved non-alcohol

drug in the Eastern region at 18.5%, followed by opiates at 17.9%.

Table 9: Specific Drugs Involved in DUI by DUI Region

	Central	Eastern	Western	Western Central
Marijuana	8.8%	18.5%	16.8%	10.2%
Opiates	10.7%	17.9%	5.2%	5.8%
Amphetamines	3.0%	14.0%	12.7%	4.9%
Sedatives	2.4%	8.0%	4.3%	2.3%
“Other Drugs”	5.1%	11.6%	3.9%	2.6%

* “Other drugs” includes cocaine, inhalants, hallucinogens, PCP, and an “other drug” category.

DUI REGIONS AND AUDIT/DAST

The Western Central region had the highest percentage of DUI clients with a positive AUDIT score (36.2%), with an average score of 6.98 on assessments submitted in 2020 (see Table 10). Individuals assessed in the Eastern region were the least likely to have a positive AUDIT score (17.1%) but were more likely to have a positive DAST score (49.2%) compared to clients in the other three regions. As shown in Table 10, the average DAST score for those in the Eastern region was 7.11.

Table 10: AUDIT/DAST Scores by DUI Region

	Central	Eastern	Western	Western Central
AUDIT Average	6.17	3.90	5.66	6.98
DAST Average	3.67	7.11	4.40	3.21

DUI REGIONS AND DSM-5 SUBSTANCE USE DISORDERS

Across the DUI regions, clients in the Western Central region were the most likely to meet at least two DSM criteria for a substance use disorder (66.2%) while clients in the Eastern region were

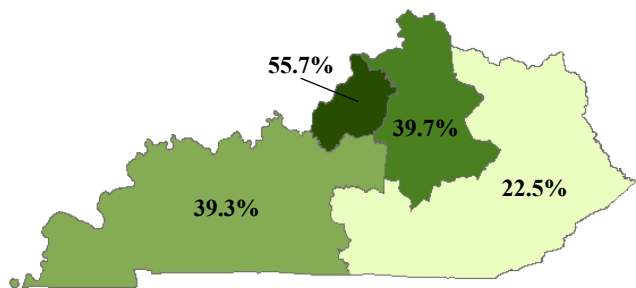
the least likely (49.5%). As shown in Table 11, assessments for clients in the Eastern region had the highest percentage of severe substance use disorders (26.8%). Mild substance use disorders were most prevalent in the Central region (29.3%).

Table 11: DUI Regions and Substance Use Disorder Severity

	Central	Eastern	Western	Western Central
No Disorder	46.4%	50.5%	42.2%	33.8%
Mild	29.3%	13.4%	25.7%	14.9%
Moderate	7.5%	9.3%	10.6%	32.1%
Severe	16.8%	26.8%	21.5%	19.2%

Types of substance use disorders also varied by DUI region. As shown in Figure 30, the Western Central region had the highest percentage of assessments for individuals meeting criteria for an alcohol use disorder (55.7%); 46.4% met criteria for only an alcohol use disorder and 9.3% met criteria for an alcohol and drug use disorder (the highest of any region). Individuals in the Western Central region met an average of 2.7 alcohol use disorder criteria.

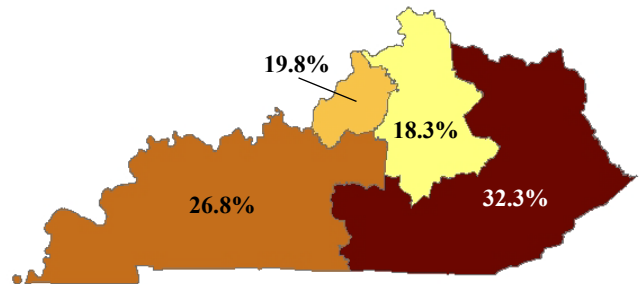
Figure 30: Alcohol Use Disorders by DUI Regions



The Eastern region had the highest percentage of assessments for individuals meeting criteria for a

drug use disorder (32.3%), as indicated in Figure 31. More specifically, 26.9% met criteria for only a drug use disorder and 5.4% met criteria for a drug and alcohol use disorder. On average, clients in the Eastern region met 2.3 drug use disorder criteria.

Figure 31: Drug Use Disorders by DUI Regions



DUI REGIONS AND LEVEL OF CARE

Outpatient treatment was the highest level of care recommended in each of the DUI regions; however, outpatient treatment was recommended as the highest level of care most often in the Western Central region compared to the other regions (64.0%). The Central region had the highest percentage of assessments for DUI clients recommended for education (43.4%). Referrals to intensive outpatient treatment (3.1%) as the highest level of care was most common in the Central and Eastern regions, while residential (5.1%) was most common in the Eastern region. To see the complete distribution of the highest level of care recommended by DUI region, refer to Table F.5 in Appendix F (page 58).

DUI REGIONS AND COMPLIANCE

As mentioned in earlier sections, the majority of clients assessed in 2020 were compliant with their recommended intervention (87.5%). Across DUI regions, compliance rates were the highest in the

Central (91.3%) region, and they were the lowest in the Western Central region, with 82.6% of assessments being for individuals found to be compliant with their recommended intervention. Compliance rates can also be found in Table F.5 in Appendix F (page 58).



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APPENDICES



APPENDIX A: DUI TRENDS – 2011 TO 2020

Figure A.1. Percentage of Assessments for Persons Convicted of a Second DUI Offense or Higher between 2011 and 2020

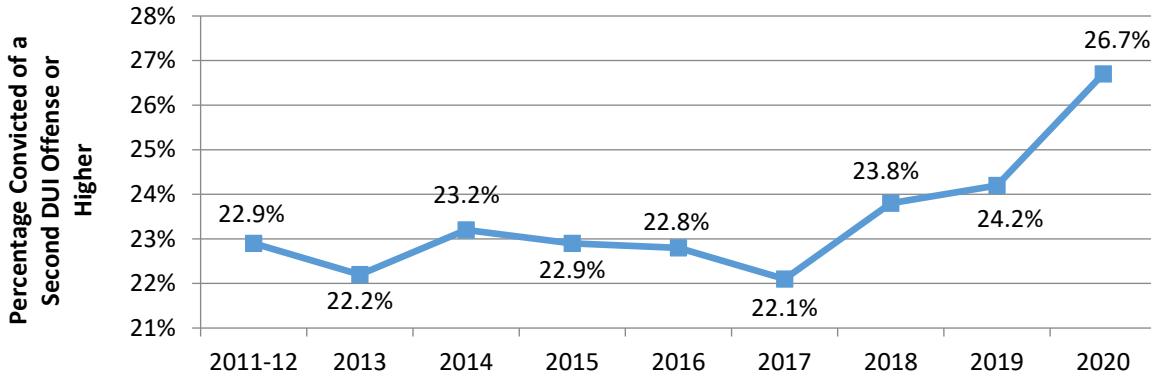
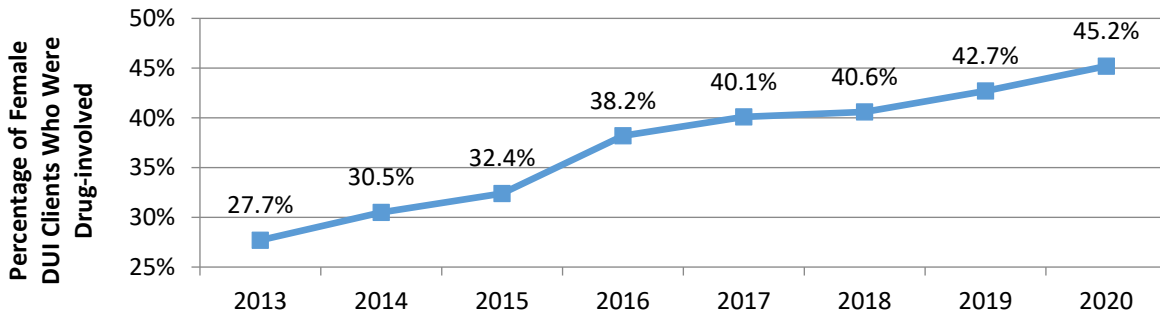


Figure A.2. Percentage of Assessments for Female DUI Clients Who Were Drug-involved between 2013 and 2020*



*Data on the substances involved in the current DUI offense were not available prior to 2013.

Figure A.3. Intensive Outpatient and Residential Treatment Referrals between 2011 and 2020

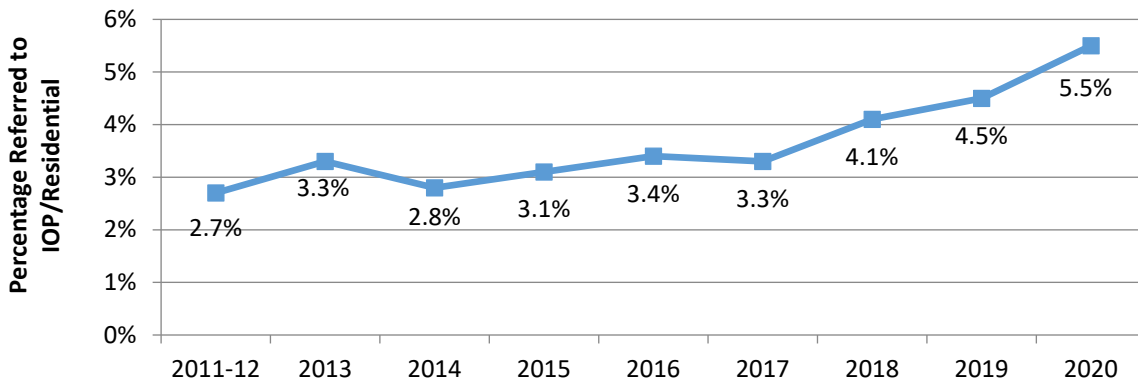
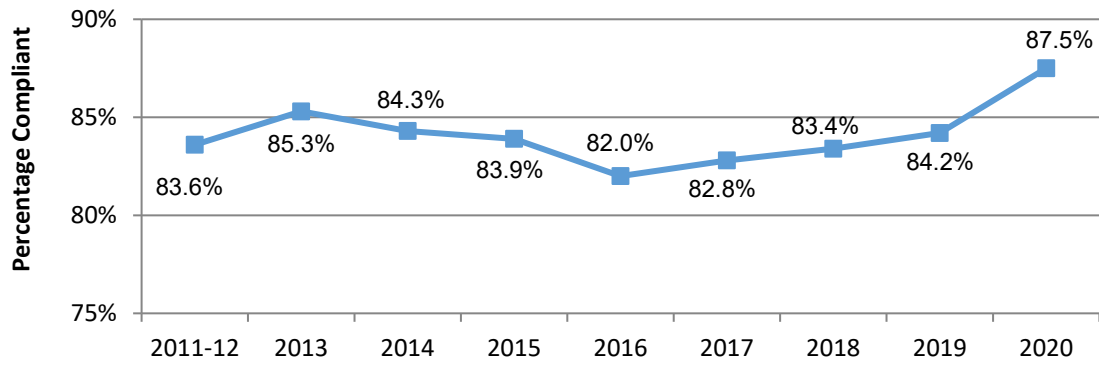


Figure A.4. Compliance Rates between 2011 and 2020



APPENDIX B: AUDIT RESPONSES AND AVERAGE SCORES BY GENDER**1. How often do you have a drink containing alcohol?**

	Males	Females	Total
(0) Never	28.8%	37.6%	31.3%
(1) Monthly or less	25.4%	26.4%	25.7%
(2) 2 to 4 times a month	22.7%	19.3%	21.7%
(3) 2 to 3 times a week	15.6%	10.9%	14.2%
(4) 4 or more times a week	7.6%	5.8%	7.1%
Average Score	1.48	1.21	1.40

2. How many drinks containing alcohol do you have on a typical day when you are drinking?

	Males	Females	Total
(0) 1 or 2	46.1%	57.9%	49.4%
(1) 3 or 4	25.0%	23.7%	24.6%
(2) 5 or 6	15.6%	10.0%	14.0%
(3) 7, 8, or 9	6.8%	4.4%	6.1%
(4) 10 or more	6.6%	4.0%	5.9%
Average Score	1.03	0.73	0.94

3. How often do you have six or more drinks on one occasion?

	Males	Females	Total
(0) Never	47.2%	60.7%	51.0%
(1) Less than monthly	27.0%	24.3%	26.3%
(2) Monthly	11.4%	6.9%	10.2%
(3) Weekly	10.9%	5.1%	9.3%
(4) Daily or almost daily	3.4%	3.1%	3.3%
Average Score	0.96	0.66	0.88

4. How often during the last year have you found that you were not able to stop drinking once you had started?

	Males	Females	Total
(0) Never	82.5%	85.1%	83.2%
(1) Less than monthly	9.8%	8.9%	9.6%
(2) Monthly	3.4%	2.2%	3.0%
(3) Weekly	2.3%	1.9%	2.2%
(4) Daily or almost daily	1.9%	2.0%	1.9%
Average Score	0.31	0.27	0.30

5. How often during the last year have you failed to do what was normally expected from you because of drinking?

	Males	Females	Total
(0) Never	84.8%	85.9%	85.1%
(1) Less than monthly	10.6%	9.9%	10.4%
(2) Monthly	2.5%	1.9%	2.3%
(3) Weekly	1.2%	1.2%	1.2%
(4) Daily or almost daily	0.9%	1.2%	1.0%
Average Score	0.23	0.22	0.23

6. How often during the last year have you needed an alcoholic drink first thing in the morning to get yourself going after a night of heavy drinking?

	Males	Females	Total
(0) Never	93.6%	93.8%	93.6%
(1) Less than monthly	3.5%	3.2%	3.4%
(2) Monthly	1.0%	0.9%	1.0%
(3) Weekly	1.0%	1.1%	1.0%
(4) Daily or almost daily	0.9%	1.1%	1.0%
Average Score	0.12	0.13	0.12

7. How often during the last year have you had a feeling of guilt or remorse after drinking?

	Males	Females	Total
(0) Never	76.2%	75.9%	76.1%
(1) Less than monthly	16.6%	16.3%	16.5%
(2) Monthly	3.4%	2.7%	3.2%
(3) Weekly	2.1%	2.1%	2.1%
(4) Daily or almost daily	1.8%	3.0%	2.1%
Average Score	0.37	0.40	0.48

8. How often during the last year have you been unable to remember what happened the night before because you had been drinking?

	Males	Females	Total
(0) Never	82.9%	82.3%	82.8%
(1) Less than monthly	12.8%	13.0%	12.8%
(2) Monthly	2.4%	2.4%	2.4%
(3) Weekly	1.3%	1.3%	1.3%
(4) Daily or almost daily	0.6%	1.0%	0.7%
Average Score	0.24	0.26	0.24

9. Have you or someone else been injured as a result of your drinking?

	Males	Females	Total
(0) No	90.3%	89.8%	90.1%
(2) Yes, but not in the last year	6.4%	6.3%	6.4%
(4) Yes, during the last year	3.3%	3.9%	3.5%
Average Score	0.26	0.28	0.27

10. Has a relative, friend, doctor, or another health professional expressed concern about your drinking or suggested you cut down?

	Males	Females	Total
(0) No	75.0%	78.0%	75.8%
(2) Yes, but not in the last year	12.4%	11.4%	12.2%
(4) Yes, during the last year	12.6%	10.6%	12.0%
Average Score	0.75	0.65	0.72

APPENDIX C: DAST RESPONSES BY GENDER

Percentages represent those who answered “yes” to each specific question except for questions 4, 5, and 7 which are reverse scored.

1. Have you used drugs other than those required for medical reasons?

Males	Females	Total
42.8%	50.2%	44.9%

2. Have you abused prescription drugs?

Males	Females	Total
17.2%	25.2%	19.4%

3. Do you abuse more than one drug at a time?

Males	Females	Total
12.9%	18.6%	14.5%

4. Can you get through the week without using drugs (other than those required for medical reasons)?

Males	Females	Total
5.0%	6.6%	5.4%

Percentage of persons who responded "no"

5. Are you always able to stop using drugs when you want to?

Males	Females	Total
12.2%	17.6%	13.7%

Percentage of persons who responded "no"

6. Do you abuse drugs on a continuous basis?

Males	Females	Total
8.8%	11.0%	9.4%

7. Do you try to limit your drug use to certain situations?

Males	Females	Total
17.1%	22.0%	18.4%

Percentage of persons who responded "no"

8. Have you had "blackouts" or "flashbacks" as a result of drug use?

Males	Females	Total
9.6%	14.1%	10.9%

9. Do you ever feel bad about your drug abuse?

Males	Females	Total
21.6%	30.9%	24.3%

10. Does your spouse (or parents) ever complain about your involvement with drugs?

Males	Females	Total
16.6%	19.8%	17.5%

11. Do your friends or relatives know or suspect you abuse drugs?

Males	Females	Total
22.2%	25.8%	23.2%

12. Has drug abuse ever created problems between you and your spouse?

Males	Females	Total
14.5%	19.9%	16.0%

13. Has any family member ever sought help for problems related to your drug use?

Males	Females	Total
6.9%	10.1%	7.8%

14. Have you ever lost friends because of your use of drugs?

Males	Females	Total
14.7%	19.4%	16.0%

15. Have you ever neglected your family or missed work because of your use of drugs?

Males	Females	Total
15.0%	22.9%	17.2%

16. Have you ever been in trouble at work because of drug abuse?

Males	Females	Total
9.5%	11.3%	10.0%

17. Have you ever lost a job because of drug abuse?

Males	Females	Total
10.0%	13.0%	10.9%

18. Have you gotten into fights when under the influence of drugs?

Males	Females	Total
10.2%	13.7%	11.2%

19. Have you ever been arrested because of unusual behavior while under the influence of drugs?

Males	Females	Total
16.4%	22.0%	18.0%

20. Have you ever been arrested for driving while under the influence of drugs?

Males	Females	Total
31.3%	39.4%	33.5%

21. Have you engaged in illegal activities to obtain drugs?

Males	Females	Total
19.3%	24.2%	20.7%

22. Have you ever been arrested for possession of illegal drugs?

Males	Females	Total
23.4%	25.7%	24.1%

23. Have you ever experienced withdrawal symptoms as a result of heavy drug intake?

Males	Females	Total
15.5%	23.1%	17.6%

24. Have you had medical problems as a result of your drug use?

Males	Females	Total
5.5%	8.9%	6.5%

25. Have you ever gone to anyone for help for a drug problem?

Males	Females	Total
17.9%	26.3%	20.3%

26. Have you ever been in the hospital for medical problems related to your drug use?

Males	Females	Total
5.6%	7.9%	6.3%

27. Have you ever been involved in a treatment program specifically related to drug use?

Males	Females	Total
19.9%	27.7%	22.1%

28. Have you been treated as an outpatient for problems related to drug abuse?



Males	Females	Total
17.1%	24.5%	19.1%



APPENDIX D: DSM-5 SUBSTANCE USE DISORDER CRITERIA BY GENDER

(1) The substance is often taken in larger amounts or over a longer period than was intended

Males	Females	Total
41.2%	42.1%	41.4%

(2) There is a persistent desire or unsuccessful efforts to cut down or control substance use

Males	Females	Total
24.7%	27.8%	25.6%

(3) A great deal of time is spent in activities necessary to obtain the substance, use the substance, or recover from its effects

Males	Females	Total
20.1%	21.6%	20.5%

(4) Craving, or a strong desire or urge to use the substance

Males	Females	Total
29.0%	30.3%	29.4%

(5) Recurrent substance use resulting in a failure to fulfill major role obligations at work, school, or home

Males	Females	Total
18.8%	21.8%	19.6%

(6) Continued substance use despite having persistent or recurrent social or interpersonal problems caused or exacerbated by the effects of the substance

Males	Females	Total
23.7%	24.9%	24.0%

(7) Important social, occupational, or recreational activities are given up or reduced because of substance use

Males	Females	Total
15.6%	18.5%	16.4%

(8) Recurrent substance use in situations in which it is physically hazardous

Males	Females	Total
51.7%	49.3%	51.1%

(9) Substance use is continued despite knowledge of having a persistent or recurrent physical or psychological problem that is likely to have been caused or exacerbated by the substance

Males	Females	Total
17.4%	21.6%	18.6%

(10) Tolerance, as defined by either of the following:

(a) a need for markedly increased amounts of the substance to achieve Intoxication or desired effect

(b) markedly diminished effect with continued use of the same amount of the substance

Males	Females	Total
42.0%	39.1%	41.2%

(11) Withdrawal, as manifested by either of the following:

(a) the characteristic withdrawal syndrome for the substance

(b) the same (or a closely related) substance is taken to relieve or avoid withdrawal symptoms

Males	Females	Total
16.0%	18.4%	16.7%

APPENDIX E: CMHC REGIONAL DATA TABLES

Key for Tables E.1 through E.6

RED = Lowest value in column

BLUE = Highest value in column

Table E.1. CMHC Demographic Differences

	Average Age*	% Under 40 yr	% Male
Region 1 - Four Rivers	36.6	59.0%	71.5%
Region 2 - Pennyroyal	37.3	60.6%	74.5%
Region 3 - River Valley	37.4	60.1%	72.0%
Region 4 - Lifeskills	35.5	66.1%	70.1%
Region 5 - Communicare	36.7	63.6%	71.5%
Region 6 - Seven Counties	36.9	62.0%	75.3%
Region 7 - North Key	36.2	65.5%	71.7%
Region 8 - Comprehend	38.6	57.1%	80.3%
Region 10 - Pathways	36.5	64.9%	72.1%
Region 11 - Mountain	39.3	53.2%	69.0%
Region 12 - Kentucky River	38.2	60.7%	69.3%
Region 13 - Cumberland River	36.3	64.9%	67.4%
Region 14 - Adanta	37.8	59.5%	72.4%
Region 15 - Bluegrass	36.6	63.8%	71.6%
All Regions	36.9	62.5%	71.9%

* Missing Data = 3 Assessments

Table E.2. CMHC Lifetime DUI Convictions

	Average	0-1	2	3+
Region 1 - Four Rivers	1.77	57.5%	23.8%	18.8%
Region 2 - Pennyroyal	1.61	62.8%	23.9%	13.4%
Region 3 - River Valley	1.75	58.1%	23.4%	18.5%
Region 4 - Lifeskills	1.50	65.5%	24.5%	10.0%
Region 5 - Communicare	1.68	60.0%	24.6%	15.4%
Region 6 - Seven Counties	1.57	65.2%	22.1%	12.6%
Region 7 - North Key	1.39	71.1%	21.5%	7.4%
Region 8 - Comprehend	1.82	51.7%	30.6%	17.7%
Region 10 - Pathways	1.77	55.4%	26.4%	18.2%
Region 11 - Mountain	1.56	65.0%	20.7%	14.3%
Region 12 - Kentucky River	1.68	57.1%	25.7%	17.1%
Region 13 - Cumberland River	1.62	59.9%	28.7%	14.4%
Region 14 - Adanta	1.60	64.7%	22.5%	12.8%
Region 15 - Bluegrass	1.51	64.5%	24.3%	11.2%
All Regions	1.59	62.9%	23.9%	13.2%

Table E.3. CMHC DUI Offense Type

	1st	2nd	3 rd or higher
Region 1 - Four Rivers	71.9%	24.0%	6.9%
Region 2 - Pennyroyal	73.8%	22.6%	8.4%
Region 3 - River Valley	73.3%	19.6%	8.1%
Region 4 - Lifeskills	72.2%	22.6%	5.5%
Region 5 - Communicare	70.1%	19.8%	7.7%
Region 6 - Seven Counties	76.8%	20.3%	6.0%
Region 7 - North Key	80.9%	16.9%	4.9%
Region 8 - Comprehend	81.1%	21.8%	4.1%
Region 10 - Pathways	78.9%	22.8%	3.7%
Region 11 - Mountain	76.7%	14.7%	7.6%
Region 12 - Kentucky River	78.7%	21.8%	7.9%
Region 13 - Cumberland River	73.1%	22.6%	6.4%
Region 14 - Adanta	80.3%	19.2%	5.0%
Region 15 - Bluegrass	75.8%	20.5%	6.3%
All Regions	75.8%	20.5%	6.2%

Table E.4. CMHC Regions and Substances Involved in DUI Offense

	Alcohol Only	Drug Only	Alcohol + Drug
Region 1 - Four Rivers	60.0%	32.5%	8.4%
Region 2 - Pennyroyal	61.1%	33.6%	4.2%
Region 3 - River Valley	58.5%	35.6%	5.9%
Region 4 - Lifeskills	69.0%	24.6%	6.3%
Region 5 - Communicare	66.0%	28.2%	5.7%
Region 6 - Seven Counties	77.6%	17.0%	5.3%
Region 7 - North Key	76.6%	18.8%	4.6%
Region 8 - Comprehend	63.9%	24.5%	11.6%
Region 10 - Pathways	47.0%	47.4%	5.6%
Region 11 - Mountain	42.1%	53.5%	4.5%
Region 12 - Kentucky River	29.3%	61.8%	8.9%
Region 13 - Cumberland River	30.8%	64.1%	5.1%
Region 14 - Adanta	48.1%	43.5%	8.4%
Region 15 - Bluegrass	71.9%	22.3%	5.8%
All Regions	62.8%	31.1%	6.0%

Table E.5. CMHC Regions and AUDIT/DAST Scores

	AUDIT Average	DAST Average
Region 1 - Four Rivers	5.74	3.65
Region 2 - Pennyroyal	3.80	2.72
Region 3 - River Valley	6.70	5.12
Region 4 - Lifeskills	5.67	4.91
Region 5 - Communicare	5.99	4.96
Region 6 - Seven Counties	6.98	3.21
Region 7 - North Key	6.25	3.55
Region 8 - Comprehend	4.22	4.36
Region 10 - Pathways	4.09	7.78
Region 11 - Mountain	2.60	6.71
Region 12 - Kentucky River	4.10	10.05
Region 13 - Cumberland River	3.64	8.23
Region 14 - Adanta	4.19	5.79
Region 15 - Bluegrass	6.08	3.98
All Regions	5.48	4.79

Table E.6. CMHC Regions and Highest Level of Care

	Education	Outpatient	IOP	Residential	Compliance*
Region 1 - Four Rivers	43.1%	54.4%	1.2%	1.4%	87.1%
Region 2 - Pennyroyal	52.3%	47.2%	0.4%	0.2%	88.4%
Region 3 - River Valley	36.3%	52.8%	3.6%	7.3%	85.6%
Region 4 - Lifeskills	21.9%	76.5%	0.1%	1.6%	85.6%
Region 5 - Communicare	45.2%	50.7%	1.8%	2.3%	80.1%
Region 6 - Seven Counties	34.0%	64.0%	0.5%	1.5%	82.6%
Region 7 - North Key	35.2%	60.6%	1.4%	2.7%	87.5%
Region 8 - Comprehend	28.6%	65.3%	4.8%	1.4%	87.8%
Region 10 - Pathways	30.2%	53.3%	3.4%	13.1%	95.6%
Region 11 - Mountain	41.6%	54.6%	0.9%	2.9%	86.8%
Region 12 - Kentucky River	14.6%	75.4%	7.9%	2.1%	93.1%
Region 13 - Cumberland River	40.9%	42.1%	7.6%	9.4%	89.4%
Region 14 - Adanta	37.9%	60.9%	0.2%	1.0%	88.1%
Region 15 - Bluegrass	45.0%	47.6%	3.9%	3.5%	91.9%
All Regions	37.9%	56.7%	2.2%	3.3%	87.5%

*Of the 11,448 assessments submitted during 2020, only 7,975 were also completed during 2020.

APPENDIX F: DUI REGION DATA TABLES

Table F.1. DUI Region Demographic Differences

	Central	Eastern	Western	Western Central
Assessments	3063	3078	3918	1386
% Male	71.4%	71.3%	71.6%	75.3%
% White	83.0%	96.9%	83.5%	70.9%
Average Age*	36.36	37.66	36.58	36.93

* Missing Data = 3 Assessments

Table F.2. DUI Region Lifetime DUI Convictions

	Central	Eastern	Western	Western Central
0-1	70.2%	63.8%	61.1%	68.6%
2	21.0%	22.5%	23.0%	20.0%
3+	8.8%	13.7%	15.9%	11.4%
Average	1.43	1.62	1.69	1.52

Table F.3. DUI Region DUI Offense Type

	Central	Eastern	Western	Western Central
1st	67.5%	59.6%	61.0%	65.2%
2nd	22.9%	25.2%	24.1%	22.1%
3rd or higher	9.6%	15.1%	14.8%	12.6%

Table F.4. Substances Involved in DUI Offense by DUI Region

	Central	Eastern	Western	Western Central
Alcohol Only	73.9%	43.8%	63.8%	77.6%
Drug Only	20.6%	49.4%	30.0%	17.0%
Alcohol + Drug	5.4%	5.1%	6.2%	5.3%

Table F.5: Level of Care and Compliance by DUI Region

	Central	Eastern	Western	Western Central
Highest Level of Care				
Education	30.6%	23.8%	38.4%	34.0%
Outpatient	50.1%	58.3%	58.0%	64.0%
IOP	3.1%	3.1%	1.3%	0.5%
Residential	3.4%	5.1%	2.4%	1.5%
Compliance*				
	91.3%	89.1%	84.8%	82.6%

* Of the 11,448 assessments submitted during 2020, only 7,975 were also completed during 2020.