



CROOK COUNTY COURT AGENDA

Wednesday, February 7, 2024 at 9:00 am

Crook County Annex I 320 NE Court St. I Prineville OR

Members of the public and media are welcome to attend in person or via Zoom: Phone: 1-253-215-8782; Meeting ID: 954 2612 6858; Passcode: 178149

PUBLIC COMMENT

CONSENT AGENDA

(Consent agenda items are routine matters - e.g. minutes, appropriations orders, contracts, agreements, completion of previously discussed matters and decisions requiring Court ratification which are not expected to generate discussion. Any member of the Court may request removal of an item for separate discussion or vote. All remaining items are approved in a single motion.)

- 1. Approve Minutes**
- 2. No public comments were received for the Title III request to pay for Community Wildfire Protection Plan update and funds will be spent in accordance with the applicable law as originally approved by the County Court on December 6, 2023.**
- 3. Nutanix DR Renewal**
- 4. Tri County Public Health Modernization MOU Amendment/Renewal**
Requester: Katie Plumb
Health and Human Services Director
- 5. Airport - Amendment No. 1 to Oregon Department of Aviation CORE grant**
Requester: Kelly Coffelt
Airport Manager
- 6. Landfill Purchase Request for Roll-off Containers**
Requester: Jacquie Davis
Landfill Manager

DISCUSSION

- 7. Presentation and requesting service contract increase**
Requester: Chanda Wallace
Executive Director of the Humane Society of the Ochocos

8. Crook County Veteran Services Staff Introductions

Requester: Katie Plumb
Health and Human Services Director

9. Central Oregon Health Council \$25,000 grant award for Overdose Prevention in Central Oregon via Central Oregon Overdose Prevention & Response (COOPR) Coalition

Requester: Katie Plumb
Health and Human Services Director

10. Central Oregon Health Council \$25,000 grant award for Overdose Prevention in Crook County

Requester: Katie Plumb
Health and Human Services Director

11. PacificSource Medicaid Contract Amendment

Requester: Katie Plumb
Health and Human Services Director

12. FY 2023 Financial Statements, Audit and Governing Body Letter from Auditors

Requester: Christina Haron
Presenter: Andy Parks

13. Ready to Read Grant Acceptance

Requester: Sarah Beeler
Library Director

14. Airport / On call Engineering RFQ

Requester: Kelly Coffelt
Airport Manager

15. Approve updates to the Crook County Investment Policy

Requester: Christina Haron, Finance Director
Presenter: Galan Carter, Treasurer

16. Review community mental health program funding agreement no. 026007

Requester: Eric Blaine, County Counsel
Presenter: Rick Treleaven, BestCare

ADMINISTRATOR REPORT

COURT MEMBER UPDATES

EXECUTIVE SESSION

17. ORS 192.660(2)(h) Consulting with Counsel concerning the legal rights and duties of a public body with regard to current litigation or litigation likely to be filed.

18. ORS 192.660(2)(f) To consider information or records that are exempt by law from public inspection.

NOTICE AND DISCLAIMER

The Crook County Court is the governing body of Crook County, Oregon, and holds public meetings (generally on the first and third Wednesday of each month) to deliberate upon matters of County concern. As part of its efforts to keep the public apprised of its activities, the Crook County Court has published this PDF file. This file contains the material to be presented before the County Court for its next scheduled regular meeting.

Please note that while County staff members make a dedicated effort to keep this file up to date, documents and content may be added, removed, or changed between when this file is posted online and when the County Court meeting is held. The material contained herein may be changed at any time, with or without notice.

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Please also note that this file does not contain any material scheduled to be discussed at an executive session, or material the access to which may be restricted under the terms of Oregon law.

If you are interested in obtaining additional copies of any of the documents contained herein, they may be obtained by completing a Crook County Public Records Request form. Request forms are available on the County's website or at the County Administration office at 203 NE Court Street, in Prineville.

Additional items may be discussed that arise too late to be included as a part of this notice. For information about adding agenda items, please contact the County Administration office at 447-6555. Assistance to handicapped individuals is provided with advance notice.

Contact: Seth Crawford (seth.crawford@co.crook.or.us (541) 447-6555) | Agenda published on 02/05/2024 at 2:03 PM

**CROOK COUNTY COURT MINUTES
OF AUGUST 9, 2023, WORK SESSION
Open Portion**

Be It Remembered that the Crook County Court met in a regularly scheduled Work Session on August 9, 2023, at 9:00 a.m. in the Administration Conference room located at 203 NE Court Street, Prineville, Oregon 97754.

Court Members Present: Judge Seth Crawford; Commissioner Brian Barney; Commissioner Jerry Brummer

Absentees: None

Others Present in Person or Via Zoom: Legal Counsels Eric Blaine and John Eisler; Administration Executive Assistant Sarah Puerner; Tim Deboodt; Jeff Hurd; Fairgrounds Manager Casey Daly; Finance Director Christina Haron; Commander Bill Elliott; Airport Manager Kelly Coffelt; Director Will Van Vactor; Andy Parks; Library Director Sarah Beeler; Wanda Smith; Mike Ervin; Skyler Vold, and members of the public.

WORK SESSION

The meeting was **called to order at 9:00 a.m.**

Public Comment: None

Discussion Item #1: Crook County ODFW Sage Grouse Presentation:

Requester: Skyler Vold, Sage Grouse Coordinator

Details: Skyler Vold, ODFW Sage Grouse Conservation Coordinator, attended the work session to present the Court with a PowerPoint regarding draft sage grouse maps in Crook County. Mr. Vold provided an overview of the life cycle of the sage grouse, highlighting that the birds live more than five years and exhibit lekking behavior in which they return to the same location for each nesting season. Mr. Vold highlighted that sage grouse have the highest survival rates in the winter when they feed primarily on sagebrush. ODFW is inviting public comment and partners can review the revised maps and upload input including photographs.

Discussion Item #2: State of Oregon Grant Funding Contract:

Requester: Casey Daly

Details: Fairgrounds Manager Casey Daly attended the work session to discuss a State of Oregon grant funding contract for improvements to the Jockey Room. The contract was reviewed by legal counsel and some stipulations were noted in the agreement. Concerns include the requirement for a twenty-year commitment from project completion, no clear mechanism to shorten the period, and the requirement to administer the agreement under the terms of IRS revenue procedure 2017-13. Mr. Blaine wanted the Court to review these details before proceeding. The Court agreed that there is no anticipation of moving the location of the fairgrounds.

MOTION to approve the agreement with the State of Oregon for grant funding of \$277,777.00. Motion seconded. No discussion. Motion carried 3-0.

Discussion Item #3: Review of Landfill Operations Report:

Requester: Jeff Hurd

Details: Jeff Hurd attended the work session to review the Landfill Operations report. Mr. Hurd reported that with recent staffing changes at the Landfill, it is important to ensure that operations are not lacking in terms of staff or compliance procedures. An environmental consultant was engaged to review operations and provide a report with recommendations. Recommendations included updating the training program for people identifying prohibited waste, updating the solid waste management plan, and considering permit levels for special waste such as dead animals. Another key issue is methane monitoring, which has been performed quarterly to date, but if thresholds are exceeded, a gas burn-off system will need to be added.

Discussion Item #4: Letter of Support – Central Oregon Disaster Response Study:

Requester: Jeff Hurd

Details: Jeff Hurd attended the work session to discuss with the Court a letter of support for the Central Oregon Disaster Response Study. The Department of Transportation has a grant opportunity through the PROTECT discretionary grant program. The grant funds projects that address the climate crisis by improving the resiliency of the surface transportation system. The City of Bend, Deschutes County, and Jefferson County are proposing a region-wide assessment grant application in which COIC will take lead on the grant application and administration.

MOTION to sign the letter of support for the Central Oregon Disaster Response Study managed through COIC and to be signed outside of Court. Motion seconded. No discussion. Motion carried 3-0.

Administrator Report:

- Andy Parks and Commissioner Barney met with John Eisler and Nick Lilly to prepare for a meeting with Department of Justice officials related to capital and operational funding for the new Justice Center. The state will provide \$16 million for capital development, but an additional \$500,000 to \$700,000 will be required to operate the center annually. The County will request funding for these costs and, ideally, funding for facility security. The meeting with the Department of Justice is anticipated to occur on August 17 or 21, 2023.
- The museum board held a goal-setting session and provided details of their expectations for an executive director. The museum board is agreeable to continuing with Sean Briscoe as director of the museum and library for the next few months while the board develops a budget request for the role.
- Andy Parks and Judge Crawford met with a solar developer to discuss a proposal to the County with significant pilot potential. The proposal is anticipated in the next 60 to 90 days.
- IT issued a request for proposal for a managed service provider (MSP) to oversee network services and the intake and delegation of work orders and tickets.

- A network architectural design with preliminary cost estimates and a rollout schedule is anticipated in the next few weeks to consolidate services and provide data redundancy.

Court Member Updates: None

At 9:50 a.m. the Court read into Executive Session under the following statute(s): ORS 192.660(2)(h) Consulting with Counsel concerning the legal rights and duties of a public body with regard to current litigation or litigation likely to be filed.

EXECUTIVE SESSION

At the conclusion of the Executive Session, the County Court convened back into Open Session, inviting members of the public into the meeting room.

MOTION to direct staff to correspond with the counter parties as discussed in the Executive Session. Motion seconded. No discussion. Motion carried 3-0.

MOTION to direct staff to correspond with the counter parties as discussed in the Executive Session. Motion seconded. No discussion. Motion carried 3-0.

There being no further business before the Court, the meeting was **adjourned at 11:15 a.m.**

Respectfully submitted,

Sarah Puerner

**CROOK COUNTY COURT MINUTES
OF AUGUST 16, 2023, REGULAR MEETING
Open Portion**

Be It Remembered that the Crook County Court met in a Regular Court meeting on August 16, 2023, at 9:00 a.m. in the County meeting room located at 320 NE Court Street, Prineville, Oregon 97754.

Court Members Present: Judge Seth Crawford, Commissioner Jerry Brummer and Commissioner Brian Barney

Absentees: None

Others Present in Person or Via Zoom: Legal Counsels Eric Blaine and John Eisler; Administration Executive Assistant Sarah Puerner; Assistant Finance Director Christina Haron; Director Will Van Vactor; Director Kim Barber; Library Director Sarah Beeler; Jeff Hurd; Andy Parks; Sydney Chandler; Nick Lilly, and Monty Kurtz.

REGULAR SESSION

The meeting was **called to order at 9:00 a.m.**

Public Comment: None

Additions/Removals: None

Consent Agenda:

1. Approve Minutes
2. Order 2023-38, accepting a \$5,000.00 grant from the Ford Family Foundation
3. Approval to renew existing service agreements with Egnyte
4. Approval to renew existing service agreements with Nutanix
5. Approval to renew existing service agreements with Kaseya
6. Personal services contract with Parametrix to perform consulting services relating to an update to the County's Transportation System Plan (TSP)

MOTION to approve the Consent Agenda as presented. Motion seconded. No discussion. Motion carried 3-0.

Discussion item #7: Opposition to Truck Size and Weight Increases:

Requester: Jeff Hurd

Details: Jeff Hurd attended the Regular Session to discuss with the Court an opposition to truck size and weight increases. The USDOT has been considering increasing truck weight limits to 91,000 lbs. and analyzed the impacts to roads and bridges but only over roadways that were part of the National Highway System. The Coalition Against Bigger Trucks completed a more comprehensive study and concluded that if the weights were allowed to increase to 91,000 lbs. this would cost Oregonians \$3.4 billion dollars to upgrade bridge infrastructure. Crook County has two bridges that

would be affected immediately if allowed (Powell Butte Canal and Irrigation Ditch Weigand). The Oregon Association of County Engineers and Surveyors has prepared correspondence to Senator's Wyden office as to its implications the legislative change can have to our bridge infrastructure. OACES is wanting to know if County Commissioners would like to sign the letter.

MOTION to delegate to Public Work Director Jeff Hurd authority to sign the letter regarding the proposed weight increase legislation. Motion seconded. No discussion. Motion carried 3-0.

MOTION to authorize County Court to sign onto the OACES letter about the proposed weight increase legislation and to authorize signing outside of Court. Motion seconded. No discussion. Motion carried 3-0.

Administrator Report:

To address security concerns, The Sheriff and Judge Crawford have proposed suspending courthouse tours until the new Justice Center is complete. This item will be shared with the museum advisory board August 17, 2023.

The contract county administrator will be taking some time off in the week of August 20, 2023, but will be available for pre-scheduled meetings via Zoom. Eric Blaine will fill the role of County Administrator in his absence.

Court Member Updates:

Commissioner Brummer stated he's been attending regular meetings with COACT, COIC and ongoing state meetings. Commissioner Brummer also spoke about the Fair and expressed his gratitude to the volunteers and employees for putting on a great fair.

Judge Crawford met with the Central Oregon Association of Realtors (COAR) and addressed the transportation plan and information about possible CCs, advising that the County would like to bring in people with knowledge in these topics to consult with COAR. Judge Crawford also mentioned that Oregon State Representative Kevin Mannix visited Prineville and he attended a meeting and raised the concern that the County pays for DA office though it is a state office. Representative Mannix indicated he may be able to address the issue in the next legislative session.

Public Comment:

Monty Kurtz asked if the County could provide information about the Justice Center and where we are in the construction process.

At 9:15 a.m. the Court convened into Executive Session under the following statute(s): ORS 192.660(2)(f) To consider information or records that are exempt from disclosure by law, including written advice from your attorney; ORS 192.660(2)(h) Consulting with

Counsel concerning the legal rights and duties of a public body with regard to current litigation or litigation likely to be filed.

EXECUTIVE SESSION

At the conclusion of the Executive Session, the County Court convened back into Open Session, inviting members of the public into the meeting room.

MOTION to proceed with the direction as discussed in the Executive Session related to building matters. Motion seconded. No discussion. Motion carried 3-0.

MOTION to proceed with executing a separation and severance agreement as discussed in the Executive Session. Motion seconded. No discussion. Motion carried 3-0.

MOTION to proceed with decisions related to governance as discussed in the Executive Session. Motion seconded. No discussion. Motion carried 2-1.

There being no further business before the Court, the meeting was **adjourned at 11:32 a.m.**

Respectfully submitted,

Sarah Puerner

**CROOK COUNTY COURT MINUTES
OF AUGUST 30, 2023, WORK SESSION
Open Portion**

Be It Remembered that the Crook County Court met in a regularly scheduled Work Session on August 30, 2023, at 9:00 a.m. in the Administration Conference room located at 203 NE Court Street, Prineville, Oregon 97754.

Court Members Present: Judge Seth Crawford; Commissioner Brian Barney; Commissioner Jerry Brummer

Absentees: None

Others Present in Person or Via Zoom: Legal Counsels Eric Blaine and John Eisler; Administration Executive Assistant Sarah Puerner; Finance Director Christina Haron; Airport Manager Kelly Coffelt; Jeff Hurd; Director Will Van Vactor; District Attorney Kari Hathorn; Library Director Sarah Beeler; Andy Parks; Clerk Cheryl Seely; Tim Deboodt; Monty Kurtz; Sandy Kerbow; Courtney Voss, and members of the public.

WORK SESSION

The meeting was **called to order at 9:00 a.m.**

Public Comment:

Monty Kurtz asked if there was a timeline for when the County will do a strategic plan versus individual departments? Judge Crawford answered that he would get back to Monty after the meeting with the requested information.

Discussion Item #1: Update expiring strategic plan for Crook County Library:

Requester: Sarah Beeler

Details: Library Director Sarah Beeler attended the work session to discuss with the Court an update to an expiring strategic plan for the Crook County Library. The expiring strategic plan covers the years 2019-2024 and the cost for developing the plan was not included in the library's budget. The expected cost will be \$20,000-\$30,000. There are grant funds and carryover from FY23 that will be used. Friends of the Crook County Library have agreed to contribute \$2,000 and additional grants will be sought for this project.

Discussion Item #2: Review/approval of FAA grant offer for RWY project:

Requester: Kelly Coffelt

Details: Airport Manager Kelly Coffelt attended the work session to discuss approval of a FAA grant offer for RWY project. This is an FAA AIP project and FAA funds that are available are \$454,725.00. This does require a 10% match of funds for \$50,525.00. Crook County has already been awarded a grant from the Oregon Department of Aviation for \$45,000 so the net match funds needed is \$5,525.00. This item will be added as a discussion item to the September 6th Court session.

Discussion Item #3: Community Development Monthly Update:

Requester: Will Van Vactor

Details: The Building Department reported that numbers went down in July, but the department is still busy with significant plan reviews for Central Oregon Processing. The Planning Department also reported numbers are down compared to this time last year, but the department remains steady with work. The Onsite Department reported that numbers are up compared to this time last year, and these applications have been a strong indicator of trends. Code Compliance has been quite busy and continues to receive complaints. The department opened seven new cases in July and closed out four cases.

Discussion Item #4: Grant Agreement – Crook County DoD Grant for Military Airspace and Energy Planning:

Requester: Will Van Vactor

Details: Community Development Director Will Van Vactor attended the work session to discuss a grant agreement with the Court. The County was awarded a grant from the Department of Defense to adopt an overlay for military airspace and associated standards modifications for private airports, zoning, notification requirements, and other necessary updates. The total project cost will be \$101,551 with a federal contribution of \$91,273 and a County contribution of \$10,278. Mr. Van Vactor requested that the Court approve signing the grant today due to deadlines.

MOTION to approve the US Department of Defense grant for military airspace and energy planning. Motion seconded. No discussion. Motion carried 3-0.

Discussion Item #5: Contract with Bureau of Reclamation for Noxious Weed Control:

Requester: Jeff Hurd

Details: Jeff Hurd attended the work session to discuss a contract with the Bureau of Reclamation for Noxious Weed Control. This is an updated five-year contract, and the County was able to negotiate a higher rate using the County's cost recovery policy to fully capture the hourly costs of employees. Without the contract, the County's Weed Department will be significantly affected by budget projections over the next five years.

MOTION to authorize staff to clarify contract and to enter into a one year or as this contract is presented as today. Motion seconded. No discussion. Motion carried 3-0.

Administrator Report:

- ODOT: Gas Tax – Andy Parks provided a news article to the Court. The title of the article was “ODOT: The gas tax is fading away and taking maintenance down with it”. The article mentioned that the gas tax has been the foundation of how Oregon funds its transportation system and every transportation agency across the state relies on it to some degree. With gas consumption declining, tax revenues will decline as well.
- Courtney Voss with Republic Services attended the work session to discuss issues with a few of the roads within Crook County. Recently a number of roads were found to have operational challenges and these particular roads are not under the responsibility of the County or BLM, so residents have been responsible for maintenance of the roads. One road in particular is Grizzly Mountain Road. Republic cannot provide door to door service any longer with the quality of the roads and are

possibly looking into placing a container at the intersection and have residents bring their trash down. Republic Services will be working on setting up a process to provide more notice to residents when future issues arise.

Court Member Updates: None

At 9:45 a.m. the Court read into Executive Session under the following statute(s): ORS 192.660(2)(h) Consulting with Counsel concerning the legal rights and duties of a public body with regard to current litigation or litigation likely to be filed; ORS 192.660(2)(f) To consider information or records that are exempt from disclosure by law, including written advice from your attorney.

EXECUTIVE SESSION

At the conclusion of the Executive Session, the County Court convened back into Open Session, inviting members of the public into the meeting room.

MOTION to authorize staff to reach out to the counter party as discussed in the Executive Session. Motion seconded. No discussion. Motion carried 3-0.

There being no further business before the Court, the meeting was **adjourned at 12:07 p.m.**

Respectfully submitted,

Sarah Puerner



Agenda Item Request

Date:

January 29, 2024

Meeting date desired:

February 7, 2024 – Court Session Consent

Subject:

No public comments were received for the Title III request to pay for Community Wildfire Protection Plan update and funds will be spent in accordance with the applicable law as originally approved by the County Court on December 6, 2023.

Background and policy implications:

See original request attached

Budget/fiscal impacts:

See original request attached

Requested by:

Christina Haron, CPA, Crook County Finance Director

christina.haron@crookcountyor.gov

Presenters:

Legal review (only if requested):

NA



Agenda Item Request

Date:

November 9, 2023

Meeting date desired:

November 29, 2023 – Work Session & December 6, 2023 – Court Session

Subject:

Secure Rural Schools (Title III) Spending Approval Request

Background and policy implications:

Expend up to \$65,000 in Title III funds for the purpose of updating the Crook County Community Wildfire Protection Plan. An up-to-date CWPP is critical to being eligible and ready to take advantage of promising mitigation projects and funding opportunities to reduce community risk to wildfire. The CWPP rewrite process provides the opportunity for communities to assess risk to wildfire and identify local priorities and actions. It therefore helps to reduce the risk of property loss and/or human health impacts from severe wildfire by focusing attention on priority communities. It may also help improve the ecological health of federally managed lands in Crook County for the benefit of all U.S. citizens. By working with various stakeholders in the community and establishing relationships, we are improving community relations and trust with the public in general. This project will also support the development of a mosaic of defensible space within Crook County so fire fighters can more safely take a stand to protect homes and make the homes themselves more resistant to the risk of ignition.

Budget/fiscal impacts:

This request covers the entirety of the expected costs related to updating the Community Wildfire Protection Plan with no additional outlay from the County.

Requested by:

Christina Haron, CPA Crook County Finance Director christina.haron@crookcountyor.gov

Presenters:

*Andy Pearson, Crook County Sheriff's Office
Christina Haron, Crook County Finance Director*

Legal review (only if requested):

NA

Elected official sponsor (if applicable):

NA

Name of Project: Crook County CWPP

Project Location: Crook County, Oregon (county-wide)

Project Coordinators: Shelby Knight, Resilience Planner, Central Oregon Intergovernmental Council
& Andy Pearson, Emergency Manager, Crook County Sheriff's Office

Contact Information: sknight@coic.org 541-279-3898

Project Description: COIC will coordinate the 10-Year Crook County CWPP Rewrite in 2024 and will support annual updates through 2028. An up to date CWPP is critical to being eligible and ready to take advantage of promising mitigation projects and funding opportunities to reduce community risk to wildfire. The CWPP rewrite process provides the opportunity for communities to assess risk to wildfire and identify local priorities and actions. It therefore helps to reduce the risk of property loss and/or human health impacts from severe wildfire by focusing attention on priority communities. It may also help improve the ecological health of federally managed lands in Crook County for the benefit of all U.S. citizens. By working with various stakeholders in the community and establishing relationships, we are improving community relations and trust with the public in general. This project will also support the development of a mosaic of defensible space within Crook County so fire fighters can more safely take a stand to protect homes and make the homes themselves more resistant to the risk of ignition.

Scope of Work:

1. Perform the 10-Year Update to the Crook County Community Wildfire Protection Plan (2024)

- a. Re-convene and coordinate at least 6 meetings of the CWPP Steering Committee;
- b. Work with Crook County and state and federal agencies to update the GIS layers and produce new base maps;
- c. Revise the community risk assessment utilizing new State of Oregon risk maps;
- d. Develop metrics to ensure target priority goals are being met;
- e. Update the community priorities and recommendations;
- f. Update and track progress on action plan since 2014;
- g. Present the draft plan to affected communities in Crook County and collect feedback; and
- h. Finalize the CWPP.

2. Coordinate Annual Updates for the Crook County Community Wildfire Protection Plan (2025-2028)

- a. Re-convene and coordinate at least one steering team meeting per year to review and revise the risk assessment, priority goals and recommendations, and the action plan.

Project Partners:

The Crook County CWPP will be steered by the following partner agencies:

- Crook County emergency management (Sheriff's Office);
- Crook County Community Development;
- Crook County GIS;

- Crook County Fire & Rescue;
- Rural Fire Protection Associations;
- Oregon Department of Forestry;
- US Forest Service;
- Bureau of Land Management.

The CWPP will also engage the community of Prineville and rural residential areas in the identification of risks and priority implementation projects.

Project Duration:

2024 Rewrite: January 2024 – December 2024

Annual Updates: Spring or Fall of 2025, 2026, 2027, and 2028

Project Budget:

Contracting			
Description	hours	Hourly rate	Total
Resilience Planner	180	\$ 100.00	\$ 18,000.00
Project Manager	320	\$ 80.00	\$ 25,600.00
Program Assistant	300	\$ 70.00	\$ 21,000.00
<i>Subtotal</i>			\$ 64,600.00
Materials and Supplies			
Description	Cost per unit	Units	Total
Printing final CWPP	\$ 20.00	100	\$ 2,000.00
Meeting materials/snacks	\$ 20.00	9	\$ 180.00
<i>Subtotal</i>			\$ 2,180.00
Travel			
Description	Cost per unit	Unit (miles)	Total
Mileage reimbursement	\$ 0.625	500	\$ 312.50
<i>Subtotal</i>			\$ 312.50
Admin			
Description	Fee Percentage	Total Project Cost	Total Fee
Admin Costs	0.1	\$ 67,092.50	\$ 6,709.25
PROJECT TOTAL			\$ 73,801.75
COIC Contribution			\$ 11,211.00
TOTAL CC TITLE III			\$ 62,590.75

AGENDA ITEM REQUEST



Date:

Meeting date desired:

Subject:

Background and policy implications:

Budget/fiscal impacts:

Requested by:

Presenters:

Legal review (only if requested):

Elected official sponsor (if applicable):

AGENDA ITEM REQUEST



Date:

1/24/2024

Meeting date desired:

1/31/2024, 2/7/2024

Subject:

Tri County Public Health Modernization MOU Amendment/Renewal

Background and policy implications:

This is an ongoing agreement between Crook, Deschutes, and Jefferson Counties that supports Public Health Modernization.

This agreement serves as the foundation for a Regional Outbreak Prevention, Surveillance, and Response Team that includes four Regional staff: Two Infection Prevention Nurses, an Epidemiologist, and a Climate and Health Coordinator. This team will provide 1) increased Regional capacity to conduct day-to-day communicable disease investigations; 2) infection prevention education and training to facilities with higher burden of outbreaks 3) Regional outbreak response; 4) Regional surveillance and analysis of communicable disease threats, and 5) Regional Climate and Health Coordination.

Budget/fiscal impacts:

none

Requested by:

Katie Plumb, Health & Human Services Director
kplumb@crookpublichealthor.gov 541-447-5165

Presenters:

Katie Plumb, Health & Human Services Director

Legal review (only if requested):

Elected official sponsor (if applicable):

/



REVIEWED
KR
LEGAL COUNSEL

**Regional Public Health Modernization
MEMORANDUM OF UNDERSTANDING
MOU #: 2023-1068**

EFFECTIVE DATE: The effective date of this Memorandum of Understanding (MOU) shall be **July 1, 2023**. Unless extended or terminated earlier in accordance with its terms, this MOU shall terminate on **December 31, 2025**.

PARTIES: Crook County, a political subdivision of the State of Oregon, acting by and through the Crook County Health Department, Public Health Division (hereinafter referred to as “Crook County”), Deschutes County, a political subdivision of the State of Oregon, acting by and through the Deschutes County Health Services Department, Public Health Division (hereinafter referred to as “Deschutes County”), Jefferson County, a political subdivision of the State of Oregon, acting by and through the Jefferson County Health Department, Public Health Division (hereinafter referred to as “Jefferson County”); collectively referred to as “Parties” or individually referred to as “Party.”

BACKGROUND AND PURPOSE:

This MOU sets forth the terms and understanding between all Parties to more formally outline roles and responsibilities that support the Regional Communicable Disease Modernization funding by the Oregon Health Authority. Deschutes County serves as the fiscal agent. Health Administrators from Crook, Deschutes, and Jefferson counties proposed a Regional approach to address the burden of communicable diseases and outbreaks.

This approach now serves as the foundation for a Regional Outbreak Prevention, Surveillance, and Response Team that includes four Regional staff: Two Infection Prevention Nurses, an Epidemiologist, and a Climate and Health Coordinator. This team will provide 1) increased Regional capacity to conduct day-to-day communicable disease investigations; 2) infection prevention education and training to facilities with higher burden of outbreaks 3) Regional outbreak response; 4) Regional surveillance and analysis of communicable disease threats, and 5) Regional Climate and Health Coordination.

ROLES AND RESPONSIBILITIES:

This MOU outlines the roles and responsibilities each Party is to play and each Party specifically agrees to perform the following:

COUNTY HEALTH DEPARTMENTS:

- 1) Deschutes County will be responsible for hiring, supervising, and evaluating the four Regional positions (Epidemiologist, the two Infection Prevention Outreach Nurses, and the Climate and Health Coordinator). Crook County and Jefferson County will participate in the hiring process (when needed) and provide input on evaluations.
- 2) The Regional Epidemiologist conducts regional surveillance on communicable diseases, chronic diseases, and other health indicators, and shares timely information with internal staff, health care providers, partners, and the public through multiple channels of communication. Duties include coordinating monthly Regional Epidemiology meetings, developing/disseminating Regional data reports, and other Regional data communications.
- 3) The Regional Infection Prevention Outreach Nurses work to provide infection prevention consultation and education to congregate settings who serve vulnerable populations (long term care facilities, child care facilities, schools, shelters, etc.) and will work with local providers, labs, and hospitals on reporting requirements of communicable diseases to local public health. In the case of a public health emergency, these positions are expected to participate as a member of the incident command system (ICS), as needed. Additionally these positions will develop and provide infection prevention trainings and provide consultation and technical assistance to institutions, rapidly respond to and coordinate investigations of communicable disease outbreaks, and assess the infection prevention practices of staff and/or volunteers during congregate setting outbreaks and provide recommendations on current infection prevention best practices. These positions will also provide communicable disease surveillance and outreach support to Crook, Deschutes, and Jefferson Counties during times of need.
- 4) The Climate and Health Coordinator leads efforts in Central Oregon in addressing environmental hazards including wildfires, wildfire smoke, excessive heat, drought and vector-borne communicable disease and other emerging

environmental hazards. The goal of the Climate and Health work is to support projects and partnerships that increase community resilience to these hazards in Crook, Jefferson and Deschutes Counties. This position works to implement strategies toward developing a Regional Climate and Health Monitoring Report and Adaptation Plan and supports the work of the existing Emergency Preparedness Coordinator in environmental preparedness work. This position will have a physical presence in all three counties to engage policymakers and partners when needed.

- 5) Deschutes County will provide primary workspaces, laptops and materials for the four Regional positions; Crook and Jefferson Counties will each provide a satellite “drop-in” workspace to be utilized by the four positions when requested.
- 6) Counties will send leadership representatives to the monthly Regional Public Health Modernization grant meetings hosted by Deschutes County as well as Oregon Health Authority provided in-person learning opportunities; dates determined by Oregon Health Authority.
- 7) Subject to approval by Oregon Health Authority, Crook County and Jefferson County authorize the Epidemiologists in Deschutes County to have access to their line-level data in ESSENCE for surveillance purposes.
- 8) Standing orders signed by Deschutes County’s Health officer will cover Regional staff when they work in the Crook and Jefferson counties.
- 9) Jefferson and Crook County staff will provide in-kind Spanish translation services of outreach and educational materials as needed.

CONFIDENTIALITY:

In addition to the obligations imposed upon the Parties outlined in applicable law, each Party agrees to maintain confidentiality of information obtained pursuant to this MOU as follows:

It is agreed upon, by, and between all Parties that all participants in this project have an obligation to safeguard confidential information and records to which they have access or become aware of during the term in which services (“data”) is being provided or exchanged. Confidential information is information which is private or which the law prohibits disclosure to unauthorized persons. For example, medical records, mental health records, personal information and financial records of individuals and businesses are confidential.

It is important that all Parties understand the obligation to maintain the confidentiality of information and records which any individual Party may access or become aware of while working in collaboration regarding this Project. Improper disclosure or release of confidential information or records can be damaging or embarrassing and can result in personal legal liability or criminal penalties. Also, any agent, employee, representative or subcontractor of any Party who improperly uses, discloses or releases confidential information or records will be subject to legal action, which may also include termination of this MOU. Except as is necessary to perform official work, no Party is authorized to use, disclose or release any information or records to which the Party has access or becomes aware of during the term of the MOU in which services are being provided without the express written approval of the applicable Party’s Department Director or Program Manager.

The Parties agree to abide by the laws and policies governing confidentiality by signing this MOU. If at any time, any Party has any questions regarding confidentiality laws or policies regarding that Party’s obligation to maintain the confidentiality of any information or records, that Party shall contact the applicable Party’s Department Director, Program Manager or Privacy Officer.

BY SIGNING THIS MEMORANDUM OF UNDERSTANDING, EACH PARTY CERTIFIES THAT THE PARTY HAS READ AND UNDERSTOOD THIS CONFIDENTIALITY STATEMENT, THAT THE PARTY HAS A DUTY TO ABIDE BY THE LAWS AND POLICIES REGARDING CONFIDENTIAL INFORMATION AND RECORDS AND THAT THE PARTY WILL ABIDE BY THOSE LAWS AND POLICIES. EACH PARTY FURTHER UNDERSTANDS AND AGREES THAT, IF THE PARTY IMPROPERLY USES, DISCLOSES OR RELEASES CONFIDENTIAL INFORMATION OR RECORDS, THE APPLICABLE PARTY WILL BE SUBJECT TO LEGAL ACTION, UP TO AND INCLUDING TERMINATION OF THIS MEMORANDUM OF UNDERSTANDING.

COMPENSATION: NONE.

TERM & TERMINATION:

1. The effective date of this arrangement shall be **July 1, 2023** and, unless extended or terminated earlier in accordance with its terms, this arrangement shall terminate on **December 31, 2025**.
2. Voluntary Termination. Any individual Party may terminate its participation in this MOU for any reason upon thirty (30) calendar days' prior written notice to the other Parties. The termination by one Party does not operate to terminate the MOU as regards any other Party or Parties.
3. Termination for Cause. If any Party is in breach of this MOU, and that breach is not entirely cured within fifteen (15) calendar days' prior written notice from any non-breaching Party, the breaching Party may be immediately terminated from this MOU upon written notice of a majority vote of the non-breaching Parties. In the event that a notice of breach was sent to any Party, the breach was not cured within fifteen (15) calendar days, and a majority of the non-breaching Parties does not vote to terminate the breaching Party, any Party may immediately terminate its participation in this MOU upon written notice to the other Parties. The termination of any one Party does not operate to terminate the MOU as regards any other Party or Parties.

GENERAL PROVISIONS:

1. To the fullest extent authorized by law and to the extent permitted by Article XI, Section 10, of the Oregon Constitution and the Oregon Tort Claims Act, ORS 30.260 through 30.300, each Party shall defend, save, hold harmless and indemnify the other as well as their officers, employees and agents from and against all claims, suits, actions, losses, damages, liabilities costs and expenses of any nature resulting from or arising out of, or relating to the activities of that Party or their officers, employees, contractors, or agents under this arrangement.
2. Each Party involved in a claim shall have control of the defense and settlement of any claim that is subject to subparagraph 1 of this paragraph; however no Party nor any attorney engaged by a party shall defend the claim in the name of any other Party, nor purport to act as legal representative of any other Party without first receiving from that Party's legal counsel, in a form and manner determined appropriate by the Party's legal counsel, authority to act as legal counsel for that Party, nor shall a party settle any claim on behalf of any other Party without the approval of the Parties' legal counsel.
3. It is agreed and understood that each Party is providing these services as an independent contractor, and not as an employee or agent of the other Party.
4. Amendment - The terms of this arrangement may be modified by amendment; the amendment shall be signed by all Parties and fully executed before the modified terms may take effect.
5. Assignment – No Party may assign this arrangement, in whole or in part, without the prior written consent of the other Parties.
6. Governing Law and Venue – Any dispute under this arrangement shall be governed by Oregon law with venue being located in Deschutes County, Oregon.
7. Severability – If any part of this arrangement shall be held unenforceable, the rest of this arrangement will remain in full force and effect.

ENTIRE MOU: This Memorandum of Understanding (MOU) constitutes the entire MOU between the Parties concerning the subject matter hereof, and supersedes any and all prior or contemporaneous agreements or understandings between the Parties. If any, whether written or oral, concerning the subject matter of this MOU which are not fully expressed herein. This MOU may not be modified except in writing signed by all Parties.

[SIGNATURE PAGE FOLLOWS]

SIGNATURE PAGE

IN WITNESS WHEREOF, the Parties have caused this Memorandum of Understanding to be executed by their duly appointed officers the first date written below.

DESCHUTES COUNTY:

Heather Kaisner, Deputy Director, Public Health
Deschutes County Health Services
2577 NE Courtney Dr.
Bend, Oregon 97701
Fax No. 541-322-7565
Heather.kaisner@deschutes.org

Deschutes County

Signature: Heather Kaisner
Heather Kaisner (Jan 26, 2024 11:00 PST)

Email: heather.kaisner@deschutes.org

Title: Public Health Director

Date: 01/26/2024

CROOK COUNTY:

Crook County Health Department
375 NW Beaver St., Ste. 100
Prineville, OR 97754
Attn: Katie Plumb

kplumb@h.co.crook.or.us

Crook County

Signature: _____

Email: _____

Title: _____

Date: _____

AGENDA ITEM REQUEST



Date: 1/22/2024

Meeting date desired: 2/07/2024

Subject: Airport – Amendment No. 1 to Oregon Department of Aviation CORE grant.
CORE-2022-S39-00043

Background and policy implications:

The CORE grant provided by the Oregon department of Aviation in the amount of \$117,000 was awarded in early 2023 to fund environmental work needed at the airport for future development. Since that time work has been completed although planning has been lengthy and FAA staff changes has extended the completion of the project. The attached amendment extends our anticipated completion date from 1/15/24 to 10/1/24.

Budget/fiscal impacts:

\$117,000 has been awarded to the airport in support of the approximate \$13,000 local match requirement. Net/max airport expenditure for the project will be approx. \$13,000.00 which has been budgeted. * No change from the original approval.

Requested by:

Kelly Coffelt Airport Manager.

Presenters:

Kelly Coffelt – Airport Manager

Legal review (only if requested):

Legal reviewed

Amendment No. 1 to
COAR Grant Agreement No. COAR-2022-S39*-00043
Prineville/Crook County
Development environmental

1. This Amendment No. 1 to COAR Grant Agreement No. COAR-2022-S39*-00043 is made and entered into by and between the **State of Oregon**, acting by and through its Department of Aviation, hereinafter referred to as ~~%ODAV~~ or as the ~~%State~~, and the **Crook County** acting by and through its elected officials, hereinafter referred to as ~~%Recipient~~, both herein referred to individually or collectively as ~~%Party~~ or ~~%Parties~~.
2. The contract is hereby amended as follows: Milestone and Project End Dates extended.
3. Appendix A is incorporated by reference into this Amendment and is attached hereto. Except as expressly amended above, or as previously amended, all other terms and conditions of the original Agreement and any previous amendments are still in full force and effect.

Crook County by and through its elected officials

STATE OF OREGON, by and through its Oregon Department of Aviation

By _____
(Legally designated representative)

By _____
Director

Name _____
(printed)

Name _____
(printed)

Date _____

Date _____

Appendix A
Description of Amended Items
Application Number: COAR-2022-S39*-00043
Project: Development environmental

PROJECT MILESTONES, SCHEDULE AND BUDGET

Milestones are used for evaluating performance on the Project as described in the Agreement. Milestones cannot be changed without an amendment to the Agreement.

The anticipated start date of the Project is 12/01/22

The anticipated completion date of the Project is 10/01/24

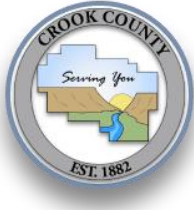
Table 1: Milestones

Milestone	Description	Estimated Start Date	Estimated Completion Date
1.	Consultant selection and agreement	02/01/23	02/01/23
2.	Investigation/Assessments/Evaluations of development area	05/01/23	06/01/24
3.	FAA, CADEX / SHPO Coordination	12/01/23	06/01/24
4.	Close out / Final documentation	01/15/24	10/01/24

Table 2: Funding Breakdown

1	Grant Award Amount	\$117,000.00
2	Recipient Match (minimum 10% of Project Balance and any portion of the Project which is not covered by Grant Funds.) <i>includes FAA AIP funds</i>	\$13,000.00
3	TOTAL PROJECT COST	\$130,000.00

AGENDA ITEM REQUEST



Date:

Meeting date desired:

Subject:

Background and policy implications:

Budget/fiscal impacts:

Requested by:

Presenters:

Legal review (only if requested):

Elected official sponsor (if applicable):

/

CROOK COUNTY CLAIM SHEET

DATE: 01/30/2024

PAYABLE TO: Wastequip
33710 Oakville Rd
Albany, OR 97321

New Vendor?

If so, need W-9 (see below)

****Payments will not be processed until W-9 on file for all vendors unless for a refund/reimbursement****

Fund/Dept/Line Item	Project Code	Invoice #, Brief Description	\$\$
702-2100 / 580-80-13		Quote #WQ-10299838: Two 40 yd Roll-Off Containers, one 20 yd Roll-Off Container with Freight	24,073.45
			\$ 24,073.45

- Bills less than \$10,000 may be approved by a dept head or elected official.
- Bills of at least \$10,000 but less than \$20,000 require the signature of at least one County Court member.
- Purchases with a value of \$20,000 or more must have three price quotes and be approved by the entire Court.
- If you are requesting a contract payment, the contract must be approved by the County Court. A notation needs to be indicated on the initial payment of the contract. This will avoid having to get signatures every month. The County Court approval for payment will be good for the duration of the contract.

Jacquie Davis

REQUESTED BY

APPROVED BY – DEPARTMENT

Approved Current Contract? Y N

COUNTY COURT APPROVAL

COUNTY COURT APPROVAL

COUNTY COURT APPROVAL



33710 Oakville Road, Albany, OR, 97321
 PHONE: 800-645-7106 FAX: 541-926-7558
 WQ-10299838

Sell To:

Contact Name	Aaron Reinhart	Ship To Name	Crook County Landfill
Bill To Name	Crook County Landfill	Ship To	300 NE 3rd St
Bill To	300 NE 3rd St Prineville, OR 97754-1919 USA		Prineville, OR 97754-1919 USA
Email	aaron.reinhart@crookcountyor.gov		
Phone	(541) 771-5713		

Quote Information

Salesperson	Tina Rainwater	Created Date	1/24/2024
Salesperson Email	ttrainwater@wastequip.com	Expiration Date	2/7/2024
		Quote Number	WQ-10299838
			Please Reference Quote Number on all Purchase Orders

Product	Product Description	Description	Quantity	Sales Price	Total Price
Container - OR - 128540	20 Cubic Yard Standard Duty Rectangular Roll Off Container Superior Chain Lift 20' Long - Floor: 12 gauge with 3" structural channels on 24" centers, Channel: 5" x 6.7 lb., Walls: 12 gauge with side columns on 36" centers and 3" x 3" x 11 gauge Top Rails, T-Bar Double Door, Primed and Painted any Standard Color		1.00	\$4,954.00	\$4,954.00
Container - OR - 128585	40 Cubic Yard Standard Duty Rectangular Roll Off Container Superior Chain Lift 20' Long - Floor: 12 gauge with 3" structural channels on 24" centers, Channel: 5" x 6.7 lb., Walls: 12 gauge with side columns on 36" centers and 3" x 3" x 11 gauge Top Rails, T-Bar Double Door, Primed and Painted any Standard Color		2.00	\$6,584.00	\$13,168.00
Special ROC - OR (See Details for Product Information)	Special ROC - OR (See Details for Product Information)	Fixed Rear Header Tube - Rect Tube 3 x 4 x 3/16	2.00	\$115.00	\$230.00
Special ROC - OR (See Details for Product Information)	Special ROC - OR (See Details for Product Information)	Side upgrade from 12 gauge to 7 gauge	2.00	\$1,355.00	\$2,710.00
Special ROC - OR (See Details for Product Information)	Special ROC - OR (See Details for Product Information)	Floor Upgrade to 7 gauge	2.00	\$539.00	\$1,078.00
Container - OR - ROC108	Main Rail Upgrade - 20' 6" x 2" x 1/4" from 3/16"		2.00	\$161.00	\$322.00

Payment Terms	Net 30 Days if credit has been established	Subtotal	\$22,462.00
Shipping Terms	FOB Origin	Shipping	\$1,611.45
		Tax	\$0.00
		Grand Total	\$24,073.45



33710 Oakville Road, Albany, OR, 97321
PHONE: 800-645-7106 FAX: 541-926-7558
WQ-10299838

Additional Information

Additional Terms Our Quote serves as an offer to provide Products and/or services at the quantities and prices shown and is a good faith estimate, based on our understanding of your needs. By signing below, you indicate your acceptance of our offer which is expressly subject to the Wastequip Terms & Conditions of Sale ("Wastequip's Terms") located at: <https://www.wastequip.com/terms-conditions-sale>, as of the date set forth in Section 1(b) of the WQ T&C, which are made a part of this Quote. Wastequip's Terms may be updated from time to time and are available by hard copy upon request. Any changes or deviations to the terms of this Quote, including any different terms in an Order submitted by you, must be agreed upon in writing by both parties.

Additional Information Pricing is based on your anticipated Order prior to the expiration of this Quote, including product specifications, quantities and timing. Any differences to your Order may result in different pricing, freight or other costs. Due to volatility in petrochemical, steel and related Product material markets, actual prices and freight, are subject to change. We reserve the right, by providing notice to you at any time before beginning Product manufacturing, to increase the price of the Product(s) to reflect any increase in the cost to us which is due to any factor beyond our control (such as, without limitation, any increase in the costs of labor, materials, or other costs of manufacture or supply). Unless otherwise stated, materials and container sizes indicated on sales literature, invoices, price lists, quotations and delivery tickets are nominal sizes and representations – actual volume, Products and materials are subject to manufacturing and commercial variation and Wastequip's practices, and may vary from nominal sizes and materials. All prices are in US dollars; this Quote may not include all applicable taxes, brokerage fees or duties. If customer is not tax exempt, final tax calculations are subject to change.

Signatures

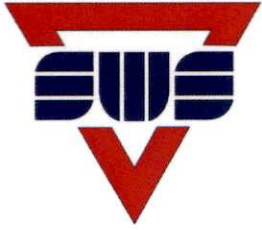
Accepted By: _____

Company Name: _____

Date: _____

Purchase Order: _____

Please Reference Quote Number on all Purchase Orders



SWS Equipment

QUOTE

All Correspondence remit to: P.O. Box 13040, Spokane, WA 99213

5095339000 1-800-892-7831 F 509-533-1050

Quote #: CFGYQ1075
 Date: 01/24/24
 Sales Rep: Chris Young
 FOB: Direct to Customer
 Ship Via: BESTWAY
 Est. Ship Date:
 Terms: Net 30

Quote To:

Crook County Roads Department
 Aaron Reinhart
 1306 N Main St
 Prineville OR 97754
 5414474644

Ship To:

Crook County Roads Department
 Aaron Reinhart
 1306 N Main St
 Prineville OR 97754
 5414474644

We are pleased to propose the following for your consideration

Qty	Description	Unit Price	Ext. Price
1.0	20yd Extra Heavy Duty Tapered Roll Off 7/10 22'x46	\$7,800.00	\$7,800.00
2.0	22x84 40yd Tapered Heavy Duty Roll Off 7Ga Floor, 10Ga Sides , 10Ga. Front, 1 pc door, Stands Front & Wheels Rear, 6 Channel Main Rails	\$9,800.00	\$19,600.00
1.0	Freight	\$1,700.00	\$1,700.00
1.0	Account Managed by Chris Young		

Order Total \$29,100.00

Please contact me if I can be of further assistance.

QUOTE VALID FOR 10 DAYS

**PRICING IS SUBJECT TO CHANGE BASED ON CURRENT MATERIALS AND AVAILABILITY
 APPLICABLE SALES TAX NOT INCLUDED UNLESS OTHERWISE NOTATED - AMOUNT BASED ON FINAL INVOICE DATE
 ANY IMPLIED WARRANTY AS PER MANUFACTURER'S STANDARD WRITTEN WARRANTY
 PAYMENT DUE UPON COMPLETION OF WORK OR AS SPECIFIED ABOVE**

Due to a high level of uncertainty with regards to pricing changes from our vendors and the freight industry, the price and freight charges on this document may be adjusted prior to shipping.

Signature: _____ Printed Name: _____ Date: _____

Quote



RULE STEEL

11310 BASS LANE
 CALDWELL, ID 83605
 PHONE: 208-585-3031
 FAX: 208-585-2506

"Quality Products Since 1960"

PRODUCTION

Order Number: 0025140
 Order Date: 1/25/2024
 Quote Expiration or Ship Date: 2/1/2024

Salesperson: Hallie Slayter
 Customer Phone Number: 541-447-2398
 Email aaron.reinhart@crookcountyor.gov
 Job #

Sold To:
 CROOK COUNTY LANDFILL
 300 NE 3rd ST
 PRINEVILLE, OR 97754

Ship To:
 CROOK COUNTY LANDFILL
 300 NE 3rd ST
 PRINEVILLE, OR 97754

Contact Aaron Reinhart 541-771-5713

Customer P.O.	Ship VIA	F.O.B.	Terms			
	RULE TRUCK	Caldwell, ID	Net 30 days			
Item Number	Unit	Ordered	Shipped	Back Order	Price	Amount
R40CD20D	EACH	2.00	0.00	2.00	10,697.00	\$21,394.00
40 CuYd x 20' Chain Drive Roll-off - Double Door **12" high tie bar**						
3/16" Floor, 10Ga walls / verts. TS main rails / frame, self cleanings Primed & painted.						
R20CD20D	EACH	1.00	0.00	1.00	8,539.00	\$8,539.00
20 CuYd x 20' Chain Drive Roll-off - Double Door						
3/16" Floor, 10Ga walls / verts. TS main rails / frame, self cleanings. Primed & painted.						

THIS SALES QUOTE IS ONLY VALID UNTIL EXPIRATION DATE.

A FINANCE CHARGE OF 1 1/2% PER MONTH (18% PER ANNUM) WILL BE CHARGED ON ALL PAST DUE ACCOUNTS. Any alteration or deviation from above specifications involving extra costs will be executed only upon written instructions from Customer and will be an additional charge to the amount set forth above. Due to volatility in raw material, labor and other costs, Rule Steel may increase the Price quoted above for products and/or shipping to reflect increased costs outside of Rule Steel's reasonable control. Rule Steel may notify Customer of such increases at any time prior to shipment and such increases will be binding upon Customer. By signing this Quote, Customer accepts the above prices and specifications, and the terms and conditions of sale set forth on this Quote and as provided on our website at www.rulesteel.com (collectively, the "Terms of Sale"). The Terms of Sale are integrated into this Quote, and acceptance of this Quote is acceptance of all the Terms of Sale. Rule Steel is authorized to do the work as specified. Payment will be made as outlined above and as set forth in the Terms of Sale. In no event shall Rule Steel be responsible to Customer for any liability greater than the purchase price set forth in this Quote, as amended from time to time.

Net Order:	\$29,933.00
Less Discount:	\$0.00
Freight:	\$1,650.00
Sales Tax:	\$0.00
Order Total:	\$31,583.00
Less Deposit:	\$0.00
Order Balance:	\$31,583.00

AUTHORIZED SIGNATURE	DATE
----------------------	------

Quote



RULE STEEL

11310 BASS LANE
 CALDWELL, ID 83605
 PHONE: 208-585-3031
 FAX: 208-585-2506

"Quality Products Since 1960"

PRODUCTION

Order Number: 0025140
 Order Date: 1/9/2024
 Quote Expiration or Ship Date: 1/17/2024

Salesperson: Hallie Slayter
 Customer Phone Number: 541-447-2398
 Email aaron.reinhart@crookcountyor.gov

Sold To:
 CROOK COUNTY LANDFILL
 300 NE 3rd ST
 PRINEVILLE, OR 97754

Ship To:
 CROOK COUNTY LANDFILL
 300 NE 3rd ST
 PRINEVILLE, OR 97754

Contact Aaron Reinhart 541-771-5713

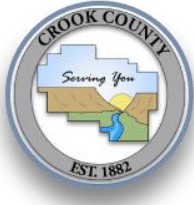
Customer P.O.	Ship VIA	F.O.B.	Terms			
	RULE TRUCK	Caldwell, ID	Net 30 days			
Item Number	Unit	Ordered	Shipped	Back Order	Price	Amount
R40CD20D	EACH	4.00	0.00	4.00	10,788.00	\$43,152.00
40 CuYd x 20' Chain Drive Roll-off - Double Door **12" high tie bar**						
3/16" Floor, 10Ga walls / verts. TS main rails / frame, self cleanings Primed & painted.						
R20CD20D	EACH	1.00	0.00	1.00	8,650.00	\$8,650.00
20 CuYd x 20' Chain Drive Roll-off - Double Door						
3/16" Floor, 10Ga walls / verts. TS main rails / frame, self cleanings. Primed & painted.						

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Net Order:	\$51,802.00
Less Discount:	\$0.00
Freight:	\$3,750.00
Sales Tax:	\$0.00
Order Total:	\$55,552.00
Less Deposit:	\$0.00
Order Balance:	\$55,552.00

AUTHORIZED SIGNATURE	DATE
----------------------	------

AGENDA ITEM REQUEST



Date:

Meeting date desired:

Subject:

Background and policy implications:

Budget/fiscal impacts:

Requested by:

Presenters:

Legal review (only if requested):

Elected official sponsor (if applicable):



ESTABLISHED IN 1995
a 501c3 Non-profit

Serving all of Crook County
a 3000 sq mile area



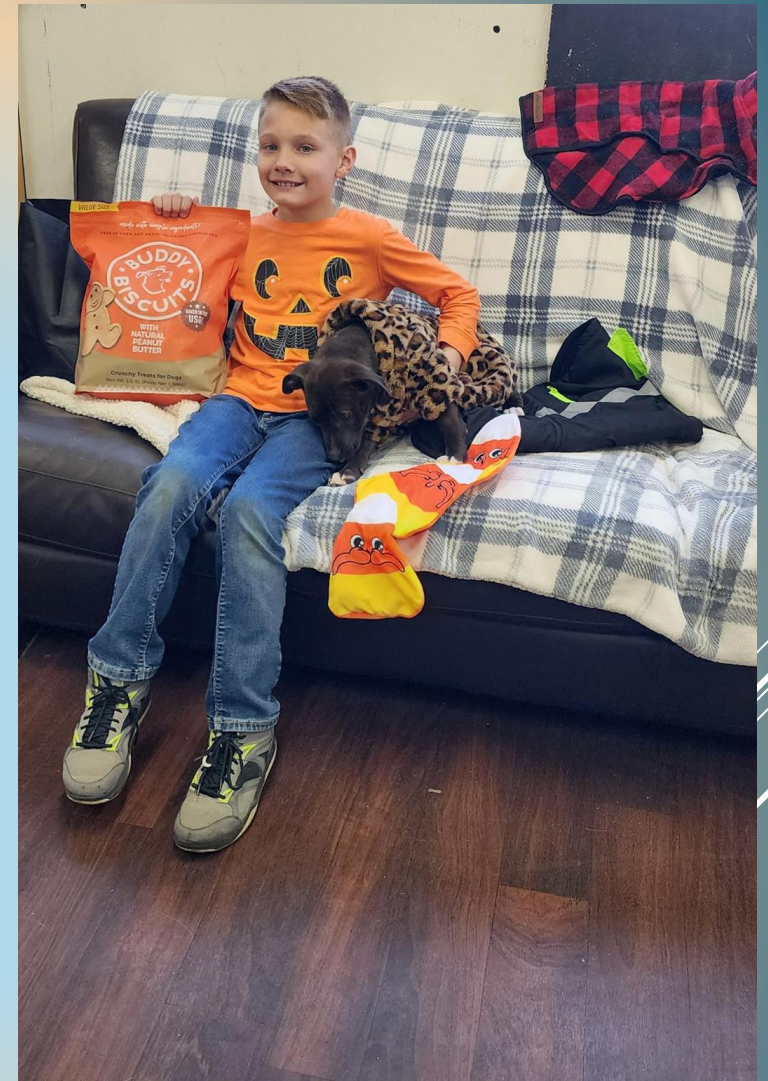
SHELTER OPERATIONS

- ▶ Crook County's only animal sheltering service
- ▶ Five volunteer Board-members
- ▶ Operates 365 days a year
- ▶ Small staff of 5 f/t and 3 p/t staff earning less than a living wage with no benefits
- ▶ Approximately 75 regular volunteers



PROGRAMS & SERVICES

- ▶ Crook County Sheriff Department assistance:
 - animals in abuse and abandonment cases
 - stray at-large animals
 - community service opportunities
- ▶ Community pet food bank for low-income residents
- ▶ Returning lost pets to owners
- ▶ Adoptions
- ▶ Pitbull spay/neuter vouchers
- ▶ Pet cremation
- ▶ Barn cat program
- ▶ Trap / Neuter / Release for community cats plus trap rental
- ▶ Behavioral support for cats and dogs (2024)



OTHER COMMUNITY BENEFITS

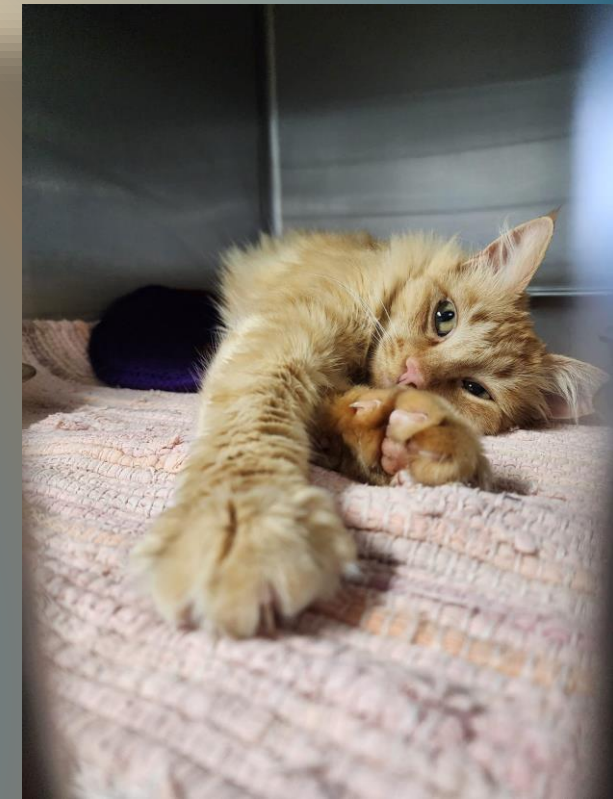
Shelter volunteer experience:

- School projects
- On the job learning skills
- Employer volunteer day projects
- Community service options
- Teaching children about humane care



BY THE NUMBERS

- ▶ Crook County population estimate:
 - ▶ 16,843 in 1995
 - ▶ 26,375 in 2023 .. a roughly 57% increase.
- ▶ The last increase in monthly assistance from Crook County was in 2010!
- ▶ What used to cost \$1 in 2009, is now \$1.46 ...a 46% increase. A \$3,000 contract adjusted only for inflation would be \$4380
- ▶ HSO has taken in 11,548 animals since 2011
- ▶ Six-year average total cost of care per animal is \$597/each (house, care, clean, feed, veterinary services, etc.)

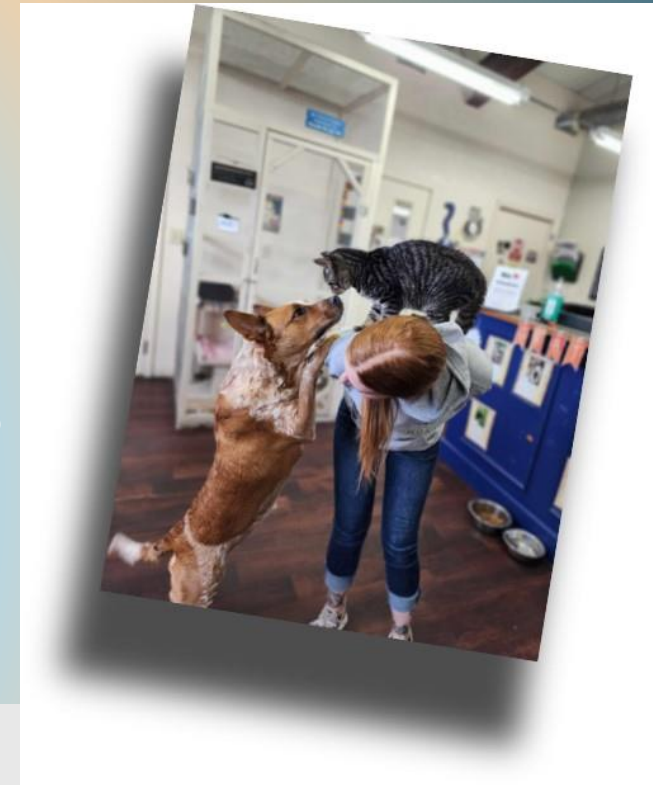
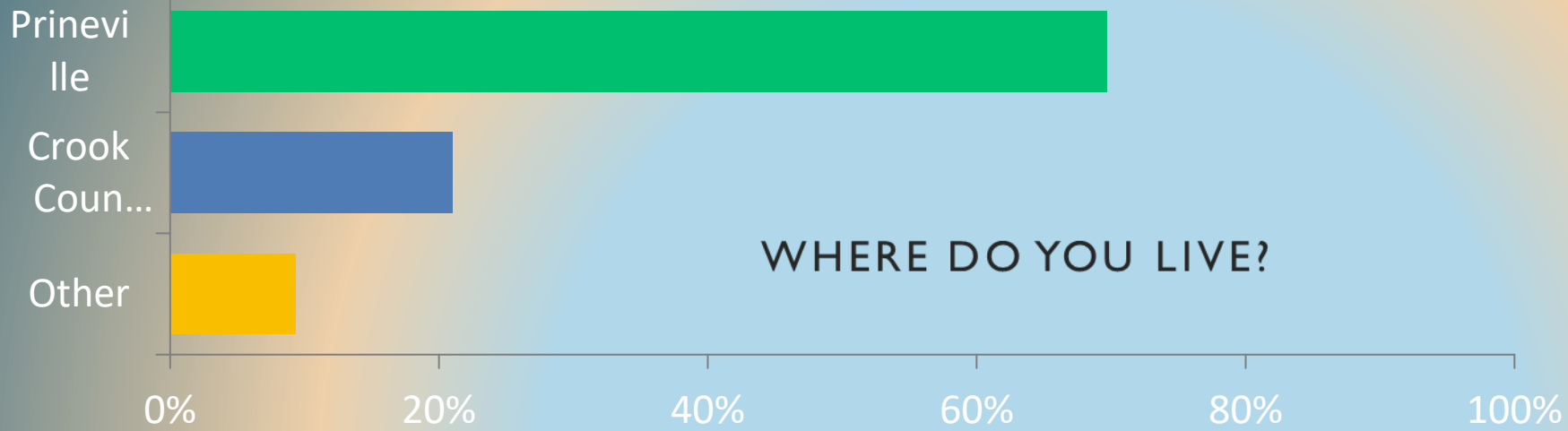


AN OVERVIEW OF FUNDING

- ▶ **Services income** – can't be too high as to limit adoptions or keeping pets in homes
- ▶ **Donations** – Vary drastically based on the economy. Most large dollars come from unexpected estates.
- ▶ **Grants** – Virtually non-existent for operations costs and capital campaigns.
- ▶ **Major Funder** – Logsdon (founder's foundation)
- ▶ **City contract** - 6.5% of CURRENT operational costs
- ▶ **Fundraisers** – Heavily dependent on community support and most earn \$25k or less



SURVEY RESULTS



ANSWER CHOICES	RESPONSES	
Yes	98.18%	324
No	1.82%	6
TOTAL		330

Current shelter



4,355 s.f.

24 dog kennels when fully operational

3 police hold kennels

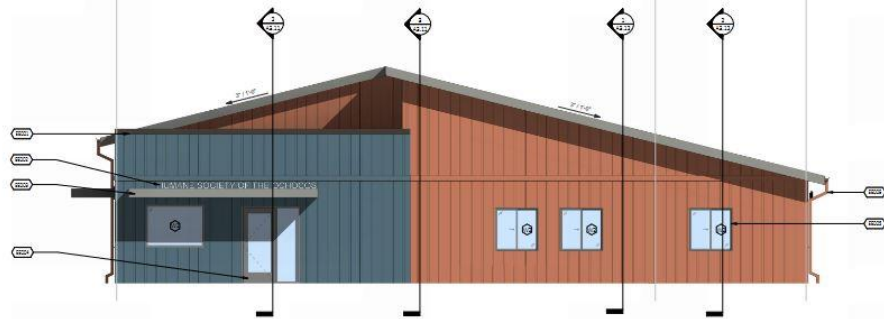
One cage bank for small dogs

No isolation areas

All basic systems failing, undersized,
not to current standards, and unrepairable

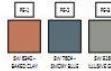


New Dog Kennels



- DUAL COLOR BRICK/FACE COLOR MANUFACTURER'S SURT DRANGE VALUE
- NOTED CHANGES IN ELEVATIONS
- FIBER CONCRETE BRICK/FAÇADE AS BATTERY #62
- FIBER CONCRETE BRICK/FAÇADE AS BATTERY #62
- FINISHING GRAVEL ROOF WITH VENTILATION COLOR MANUFACTURER'S PREMIUM 001

COLOR PALETTE



REV	DESCRIPTION
1	ISSUED FOR PERMIT

1 WEST ELEVATION
1/4" = 1'-0"



2 SOUTH ELEVATION
1/4" = 1'-0"

5,465 s.f.
34 standard kennels
4 specialty kennels
3 police hold kennels



Current cost estimate
\$3.2 million (HSO can
contribute \$1 million)

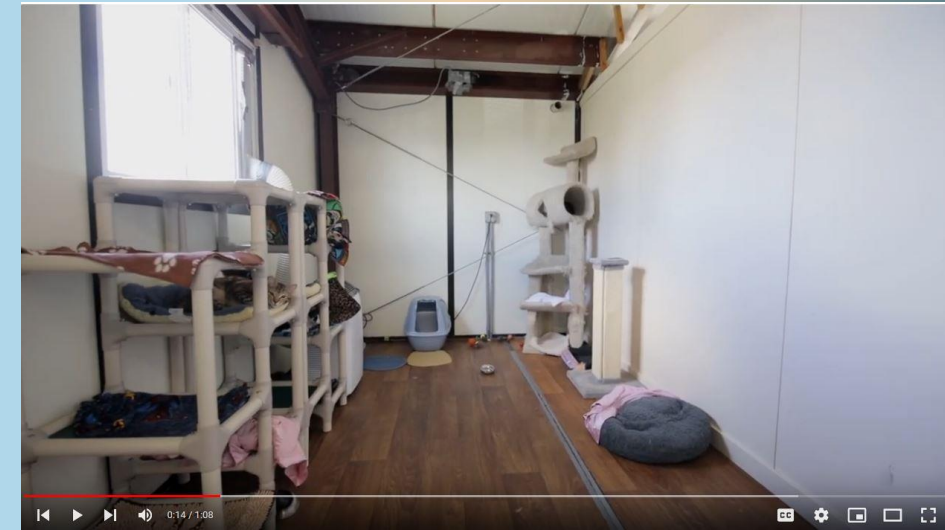
8 month construction
starting Spring 2024



Questions?



Please support humane care for the future with a reasonable increase for contracted services





TOGETHER we can do great things for
our community into the future!

THANK YOU!



**Humane Society
of the Ochocos**



Request to place business before the Crook County Court

Important Note: The County Court is the legislative, policy-setting body of Crook County. Matters which come before the Court should as a general rule be those of general concern to Crook County residents and Crook County. Administrative matters which are the purview of individual departments will be placed on the agenda at the request of the Department Head. By completing this form, you are asking to be placed on the agenda.

Deadlines: To appear at a Work Session or Regular County Court Meeting, your request and all documentation must be submitted the Wednesday before the date of the Work Session or Regular County Court Meeting.

Please return this form to Crook County Administration Office via
Email: Sarah.Puerner@crookcountyor.gov or by mail to 300 NE 3rd St., Prineville OR 97754

Your name: _____ Date of Request: _____
Email: _____ Phone: _____
Address (optional): _____

1. What is the date of the Court meeting you would like to appear at? _____
2. Describe the matter to be placed before the Court: _____

3. What action are you requesting that the Court take? _____

4. What is the cost involved with your request, if applicable? _____

5. Have you asked the County for a fee waiver before? If yes, when? _____
6. Please estimate the time required for your presentation.
 5 minutes 10 minutes 15 minutes other _____ minutes
7. Are you (or will you be) represented by legal counsel?
Yes (please name your attorney) _____
No, I am not currently represented. (Note: it is your obligation to advise the Court if at any time you retain legal counsel to assist you in this matter.)
8. If you have a physical disability and require an accommodation, please specify your need:

Administrative Section

Date Received: _____

Date Reviewed by Court: _____

FY Budget: _____

County Court: Approved/Denied

AGENDA ITEM REQUEST



Date:

1/9/2024

Meeting date desired:

1/24/2024, 2/7/2024

Subject:

Crook County Veteran Services Staff introductions

Background and policy implications:

Introductions of new Veteran Services staff to County Court.

Mona Glade has been anchoring the office since September, fielding questions and coordinating resources.

Tom Evans started as VSO the beginning of January and will be working closely with ODVA on claim reviews and submissions until his training is complete and Accreditation status is achieved.

Budget/fiscal impacts:

n/a

Requested by:

Katie Plumb, Health & Human Services Director
kplumb@crookpublichealthor.gov 541-447-5165

Presenters:

Katie Plumb, Health & Human Services Director
Mona Glade, Administrative Assistant
Tom Evans, Veteran Service Officer

Legal review (only if requested):

Elected official sponsor (if applicable):

/

AGENDA ITEM REQUEST



Date:

1/24/2024

Meeting date desired:

2/7/2024

Subject:

Central Oregon Health Council \$25,000 grant award for Overdose Prevention in Central Oregon via Central Oregon Overdose Prevention & Response (COOPR) Coalition

Background and policy implications:

As Chairperson of the COOPR Coalition, Katie supported application for a *Naloxone Access & Overdose Prevention* grant through Central Oregon Health Council (COHC). Stacy Shaw, Central Oregon Overdose Prevention & Response Coordinator successfully drafted an application that would provide Crook, Deschutes, and Jefferson Counties with funds to be invested by the COOPR Coalition. Crook County would be the fiscal agent for these funds.

With increased access to naloxone via other resources, grant funds in FY24 can be used to address a wider variety of needs, including primary prevention initiatives.

Budget/fiscal impacts:

\$25,000, including 10% indirect

Requested by:

Katie Plumb, Health & Human Services Director
kplumb@crookpublichealthor.gov 541-447-5165

Presenters:

Katie Plumb, Health & Human Services Director

Legal review (only if requested):

Elected official sponsor (if applicable):

/

Supporting distinct regional needs



Naloxone Access & Overdose Prevention (2020-2024 RHIP)

Crook County Health Department

Katie Plumb
375 NW Beaver St
Suite 100
Prineville, OR 97754

O: 541-447-5165
M: 541-233-9177

Katie Plumb

375 NW Beaver Street
Suite 100
Prineville, OR 97754

kplumb@crookpublichealthor.gov
O: 541-447-5165
M: 541-233-9177

FollowUp Form

Terms & Conditions

This Letter of Agreement (LOA) is being sent to You to memorialize the agreement between the Central Oregon Health Council (COHC), and You, the "grantee."

Project Name

Supporting distinct regional needs

GRANT TERMS

Timeline - Project Start Date

The effective date of your contract begins on the project start date that you indicated on your application.

09/04/2023

Timeline - Project End Date

I. **Term.** This LOA shall commence on the Effective Date and shall terminate on the date indicated below. The COHC may terminate this LOA, without cause, by providing You with written notice at least five (5) business days in advance.

09/04/2024

II. **Scope of LOA.** You have agreed to participate in a Regional Health Improvement Plan (RHIP) project for the purpose of enhancing the quality and experience for Central Oregon communities. This LOA applies to your participation in the RHIP project only and does not impact or alter any other contract you may have with the COHC.

III. **Funding.** As part of your participation in the RHIP, You will receive funds in the amount indicated below in U.S. Dollars. These funds do not represent any other payment due to You under any other contract with the COHC. These funds are being provided solely for the purpose of allowing You to complete Your RHIP project, or to reimburse You for participating in a RHIP project.

Amount Requested

The total amount of funds requested from the Central Oregon Health Council for this project.

\$25,000.00

Amount Awarded

\$25,000.00

IV. **Community Reporting.** The funds provided for in this LOA are being disbursed to You as a result of a collaborative community process to determine how to invest funds for RHIP projects. As a result, You agree to provide the Central Oregon Health Council (or designee) updates on the status of Your RHIP project; such reporting times shall be mutually agreeable to You, and the Central Oregon Health Council. Please adhere to these reporting timelines upon agreeing to receive this funding.

Please complete and upload this LOA to our grant platform as soon as possible. No funds will be disbursed until the COHC receives the executed version of this LOA and an invoice from You.

Invoice*

Please upload an invoice to enable COHC to disperse your funds. If you do not want to invoice us now, please upload an invoice of \$0.

W-9*

Please upload a completed W-9.

ACCEPTANCE OF TERMS & CONDITIONS*

This grant is conditional upon Grantee’s acceptance of the terms and conditions set forth herein. By selecting the “I Accept Grant Terms and Conditions” below, Grantee agrees to accept and comply with the stated terms and conditions of this grant.

[Unanswered]

Comment: ENTIRE AGREEMENT: This Agreement signed by both parties is the final and entire agreement and supersedes all prior and contemporaneous oral or written communications between the parties, their agents, and representatives. SEVERABILITY: If any part of this Agreement shall be held unenforceable, the rest of this Agreement will remain in full force and effect.

AUTHORIZED SIGNATURE

By typing in your Name, Title, and Date in the spaces below, you confirm that you are authorized to make legal contracts for the Grantee and that you agree to enter into this agreement by electronic means.

Name*

Title*

LOA execution date*

Please enter today's date

File Attachment Summary

Applicant File Uploads

No files were uploaded

Project Budget

Total Requested Project Funds from COHC: \$25,000

Personnel Costs:	Position (FTE dedicated to this project)	Salary	Benefits	Total Cost	Amount Requested
N/A				0	
				0	
				0	
				0	
Sub-Total: Personnel		\$ -	\$ -	\$ -	\$ -

Materials & Supplies	Total Cost	Amount Requested
Fentanyl awareness & prevention events (e.g., flyers, buttons, shirts, tableclothes, etc)	3,500	3,500
Harm Reduction (e.g., Naloxbox, lanyards, etc)	4,500	4,500
Nalxone	9,500	9,500
Sub-Total: Materials & Supplies	\$ 17,500.00	\$ 17,500.00

Travel Expenses	Total Cost	Amount Requested
In-person OD education incentives (e.g., mileage, boarding)	1500	1500
Sub-Total: Travel Expenses	\$ 1,500.00	\$ 1,500.00

Consultants & Contracted Services	Total Cost	Amount Requested
N/A		
Sub-Total: Consultants & Contracted Services	\$ -	\$ -

Meeting Expenses	Total Cost	Amount Requested
Regional training (e.g., room rentals, food, beverages etc.)	500	500
Sub-Total: Meeting Expenses	\$ 500.00	\$ 500.00

Professional Training and Development	Total Cost	Amount Requested
Education opportunities incentives (e.g., registration fees, etc.)	3,000	3,000
Sub-Total: Professional Training and Development	\$ 3,000.00	\$ 3,000.00

Other Budget Items	Total Cost	Amount Requested
Indirect county costs:	2500	2500
Sub-Total: Other Budget Items	\$ 2,500.00	\$ 2,500.00

Total Project Budget \$ 25,000.00 \$ 25,000.00

AGENDA ITEM REQUEST



Date:

1/24/2024

Meeting date desired:

2/7/2024

Subject:

Central Oregon Health Council \$25,000 grant award for Overdose Prevention in Crook County

Background and policy implications:

The Crook County Health Department Prevention & Health Promotion Team successfully applied for a *Naloxone Access & Overdose Prevention* grant through Central Oregon Health Council (COHC). Crook County has successfully applied for and received similar grants through COHC to support public safety and community service organizations with access to Naloxone. Crook County Sheriff's Office, Prineville Police Department, and BestCare Treatment Services are three of several local organizations that have benefitted from this program.

With increased access to naloxone via other resources, grant funds in FY24 can be used to address a wider variety of needs, including primary prevention initiatives.

Budget/fiscal impacts:

\$25,000, including 10% indirect

Requested by:

Katie Plumb, Health & Human Services Director
kplumb@crookpublichealthor.gov 541-447-5165

Presenters:

Katie Plumb, Health & Human Services Director

Legal review (only if requested):

Elected official sponsor (if applicable):

/

Meeting Crook County Community Needs



Naloxone Access & Overdose Prevention (2020-2024 RHIP)

Crook County Health Department

Katie Plumb
375 NW Beaver St
Suite 100
Prineville, OR 97754

O: 541-447-5165
M: 541-233-9177

Katie Plumb

375 NW Beaver Street
Suite 100
Prineville, OR 97754

kplumb@crookpublichealthor.gov
O: 541-447-5165
M: 541-233-9177

FollowUp Form

Terms & Conditions

This Letter of Agreement (LOA) is being sent to You to memorialize the agreement between the Central Oregon Health Council (COHC), and You, the "grantee."

Project Name

Meeting Crook County Community Needs

GRANT TERMS

Timeline - Project Start Date

The effective date of your contract begins on the project start date that you indicated on your application.

09/04/2023

Timeline - Project End Date

I. **Term.** This LOA shall commence on the Effective Date and shall terminate on the date indicated below. The COHC may terminate this LOA, without cause, by providing You with written notice at least five (5) business days in advance.

09/04/2024

II. **Scope of LOA.** You have agreed to participate in a Regional Health Improvement Plan (RHIP) project for the purpose of enhancing the quality and experience for Central Oregon communities. This LOA applies to your participation in the RHIP project only and does not impact or alter any other contract you may have with the COHC.

III. **Funding.** As part of your participation in the RHIP, You will receive funds in the amount indicated below in U.S. Dollars. These funds do not represent any other payment due to You under any other contract with the COHC. These funds are being provided solely for the purpose of allowing You to complete Your RHIP project, or to reimburse You for participating in a RHIP project.

Amount Requested

The total amount of funds requested from the Central Oregon Health Council for this project.

\$25,000.00

Amount Awarded

\$25,000.00

IV. **Community Reporting.** The funds provided for in this LOA are being disbursed to You as a result of a collaborative community process to determine how to invest funds for RHIP projects. As a result, You agree to provide the Central Oregon Health Council (or designee) updates on the status of Your RHIP project; such reporting times shall be mutually agreeable to You, and the Central Oregon Health Council. Please adhere to these reporting timelines upon agreeing to receive this funding.

Please complete and upload this LOA to our grant platform as soon as possible. No funds will be disbursed until the COHC receives the executed version of this LOA and an invoice from You.

Invoice*

Please upload an invoice to enable COHC to disperse your funds. If you do not want to invoice us now, please upload an invoice of \$0.

W-9*

Please upload a completed W-9.

ACCEPTANCE OF TERMS & CONDITIONS*

This grant is conditional upon Grantee’s acceptance of the terms and conditions set forth herein. By selecting the “I Accept Grant Terms and Conditions” below, Grantee agrees to accept and comply with the stated terms and conditions of this grant.

[Unanswered]

Comment: ENTIRE AGREEMENT: This Agreement signed by both parties is the final and entire agreement and supersedes all prior and contemporaneous oral or written communications between the parties, their agents, and representatives. SEVERABILITY: If any part of this Agreement shall be held unenforceable, the rest of this Agreement will remain in full force and effect.

AUTHORIZED SIGNATURE

By typing in your Name, Title, and Date in the spaces below, you confirm that you are authorized to make legal contracts for the Grantee and that you agree to enter into this agreement by electronic means.

Name*

Title*

LOA execution date*

Please enter today's date

File Attachment Summary

Applicant File Uploads

No files were uploaded

Project Budget

Total Requested Project Funds from COHC:

Personnel Costs: Name	Position (FTE dedicated to this project)	Salary	Benefits	Total Cost
N/A				0
				0
				0
				0
Sub-Total: Personnel		\$ -	\$ -	\$ -

Materials & Supplies	Total Cost
Naloxone	7,500
Medication Lock Boxes	9,000
OD emergency kits (e.g., gloves, cases, etc.)	6,000
Sub-Total: Materials & Supplies	\$ 22,500.00

Travel Expenses	Total Cost
Sub-Total: Travel Expenses	\$ -

Consultants & Contracted Services	Total Cost
Sub-Total: Consultants & Contracted Services	\$ -

Meeting Expenses	Total Cost
Sub-Total: Meeting Expenses	\$ -

Professional Training and Development	Total Cost
Sub-Total: Professional Training and Development	\$ -

Other Budget Items	Total Cost
Indicet county costs: 10%	2,500
Sub-Total: Other Budget Items	\$ 2,500.00

Total Project Budget \$ 25,000.00



\$25,000

Amount Requested	
\$	-

Amount Requested	
	7,500
	9,000
	6,000
\$	22,500.00

Amount Requested	
\$	-

Amount Requested	
\$	-

Amount Requested	
\$	-

Amount Requested	
\$	-

Amount Requested	
	2,500
\$	2,500.00

\$ 25,000.00

AGENDA ITEM REQUEST



Date:

1/31/2024

Meeting date desired:

2/7/2024

Subject:

PacificSource Medicaid Contract Amendment

Background and policy implications:

Crook County Health Department (CCHD) has historically contracted with PacificSource for billable Medicaid services. This new contract allots a per member per month (PMPM) payment from PacificSource to CCHD to support the Perinatal Care Coordination program.

The Perinatal Care Coordination program was launched and received pilot funding from Central Oregon Health Council for 7 years. That funding has since sunset. During the program pilot, systems were set up for billable services but those do not cover full program implementation.

The PMPM allocation from PacificSource acknowledges the importance of perinatal care services for families in Crook County and the proven return on investment for the healthcare system as a whole.

Budget/fiscal impacts:

As of 12/31/23, PacificSource had 9,114 OHP members residing in Crook County. Medicaid members are going through the redetermination process for eligibility, so member numbers will fluctuate throughout the year. For budget purposes, we are estimating that total PMPM revenue for FY24 will be \$18,720. This is revenue that was not anticipated or budgeted for.

Anticipated revenue for FY25 is \$56,160.

Requested by:

Katie Plumb, Health & Human Services Director
kplumb@crookpublichealthor.gov 541-447-5165

Presenters:

Katie Plumb, Health & Human Services Director

Legal review (only if requested):

Legal has reviewed

Elected official sponsor (if applicable):



AMENDMENT TO

PacificSource Community Solutions / Crook County Health Department

PARTICIPATING PROVIDER SERVICE AGREEMENT

Effective **March 01, 2024** the PacificSource Participating Provider Service Agreement with Crook County Health Department is amended as follows:

I. **ATTACHMENT A – Reimbursement Schedule** dated effective 04/01/2019 shall be replaced with **ATTACHMENT A – Reimbursement Schedule** dated effective 03/01/2024.

II. **The following PMPM fees shall be paid to Crook County Health Department:**

To support Perinatal Care Coordination: \$0.52 PMPM (calculated on total Crook County membership)

Except for the changes described herein, the Participating Provider Service Agreement remains unchanged.

**CROOK COUNTY HEALTH SERVICES
BOARD OF COUNTY COMMISSIONERS**

By: _____

Name: SETH CRAWFORD

Title: COUNTY JUDGE

Date: _____

**CROOK COUNTY HEALTH SERVICES
BOARD OF COUNTY COMMISSIONERS**

By: _____

Name: SUSAN HERMRECK

Title: COMMISSIONER

Date: _____

**CROOK COUNTY HEALTH SERVICES
BOARD OF COUNTY COMMISSIONERS**

By: _____

Name: BRIAN BARNEY

Title: COMMISSIONER

Date: _____

PACIFICSOURCE COMMUNITY SOLUTIONS

By: _____

Name: PETER MCGARRY

Title: VP PROVIDER NETWORK

Date: _____

ATTACHMENT A

Crook County Health Department Effective 03/01/2024 Reimbursement Schedule

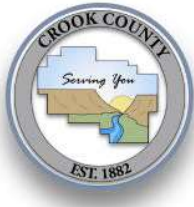
These rates shall apply to PacificSource Community Solutions CCO Networks and Products

SERVICE/PROCEDURE	MAXIMUM ALLOWABLE
CPT code T1015	145% of OHP Allowable ^{1, 2}
All Medical Services: Services as defined in the OHP Medical-Dental Fee Schedule	100% of OHP Allowable ^{1, 2}
All Behavioral Health Services: Services as defined in the OHP Behavioral Health Fee Schedule	100% of OHP Allowable ^{1, 2}
Anesthesia: Service or supply with ASA Value	100% of OHP Allowable ^{2, 3}
Services and procedures without an established unit value listed above: PacificSource Health Plans may establish such unit values for purposes of its Maximum Allowable rate determination.	PacificSource Community Solutions Default Fee Allowance ⁴

Note: Payment will be based upon the PacificSource negotiated rates in effect at the time the service or supplies are rendered or provided as specified above.

1. PacificSource will reimburse based on the rates published as of the date of adjudication.
2. Updates to the schedules noted above shall be updated in accordance with OHP.
3. ASA Basic Unit Value and annual updates as defined by the American Society of Anesthesiologists Relative Value Guide. Time units shall be based on fifteen (15) minute increments.
4. PacificSource utilizes industry standard publications and rate methods to supplement codes not established by the above noted methodologies.

AGENDA ITEM REQUEST



Date:

1/23/2024

Meeting date desired:

2/7/2024 - Consent Agenda

Subject:

FY 2023 Financial Statements, Audit and Governing Body Letter from Auditors

Background and policy implications:

Completed FY 2023 Financial Statements and Independent Auditors Report as well as the Governing body letter from the auditors to the County Court. +

Budget/fiscal impacts:

NA - appropriate reporting is in process or completed

Requested by:

Christina Haron, CPA - Crook County Finance Director
christina.haron@crookcountyor.gov

Presenters:

Legal review (only if requested):

Elected official sponsor (if applicable):

/



PAULY, ROGERS AND CO., P.C.
12700 SW 72nd Ave. ♦ Tigard, OR 97223
(503) 620-2632 ♦ (503) 684-7523 FAX
www.paulyrogersandcocpas.com

January 8, 2024

To the County Court
Crook County

We have audited the financial statements of the governmental activities, business type activities, each major fund, and the aggregate remaining fund information of Crook County for the year ended June 30, 2023. Professional standards require that we provide you with the information about our responsibilities under generally accepted auditing standards and *Government Auditing Standards and Title 2 U.S. Code of Federal Regulations (CFR) Part 200, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (Uniform Guidance)*, as well as certain information related to the planned scope and timing of our audit. Professional standards also require that we communicate to you the following information related to our audit.

Purpose of the Audit

Our audit was conducted using sampling, inquiries and analytical procedures to opine on the fair presentation of the financial statements and compliance with:

- generally accepted accounting principles and auditing standards,
- applicable Oregon municipal audit law and administrative rules, and
- federal, state and other agency rules and regulations related to expenditures of federal awards

Our Responsibility under U.S. Generally Accepted Auditing Standards

As stated in our engagement letter, our responsibility, as described by professional standards, is to express opinions about whether the financial statements prepared by management with your oversight are fairly presented, in all material respects, in conformity with U.S. generally accepted accounting principles. Our audit of the financial statements does not relieve you or management of your responsibilities. Our engagement letter details our nonaudit services we provide; these services do not constitute an audit under Government Auditing Standards.

In planning and performing our audit, we considered internal control over financial reporting in order to determine our auditing procedures for the purpose of expressing our opinions on the financial statements and not to provide assurance on the internal control over financial reporting. We also considered internal control over compliance with requirements that could have a direct and material effect on a major federal program in order to determine our auditing procedures for the purpose of expressing our opinion on compliance and to test and report on internal control over compliance in accordance with the Uniform Guidance.

As part of obtaining reasonable assurance about whether the basic financial statements are free of material misstatement, we performed tests of its compliance with certain provisions of laws, regulations, contracts, and grants, noncompliance with which could have a direct and material effect on the determination of the basic financial statement amounts. However, providing an opinion on compliance with those provisions is not an objective of our audit. Also in accordance with the Uniform Guidance, we examined, on a test basis, evidence about compliance with the types of compliance requirements described in the OMB's Compliance Supplement applicable to each of the major federal programs for the purpose of expressing an opinion on compliance with those requirements. While our audit provided a reasonable basis for our opinion, it does not provide a legal determination on compliance with those requirements.

Planned Scope and Timing of the Audit

An audit includes examining, on a test basis, evidence supporting the amounts and disclosures in the financial statements; therefore, our audit involved judgment about the number of transactions examined and the areas to be tested.

Our audit included obtaining an understanding of the entity and its environment, including internal control, sufficient to assess the risks of material misstatement of the financial statements and to design the nature, timing, and extent of further audit procedures. Material misstatements may result from (1) errors, (2) fraudulent financial reporting, (3) misappropriation of assets, or (4) violations of laws or governmental regulations that are attributable to the entity or to acts by management or employees acting on behalf of the entity. We also communicated any internal control related matters that are required to be communicated under professional standards.

Results of Audit

1. Audit opinion letter – an unmodified opinion on the County’s financial statements has been issued. This means we have given a “clean” opinion with no reservations.
2. State minimum standards for audits – We found two exceptions, noted on page 23 of the financial statements.
3. Federal Awards – We found no issues of non-compliance and no questioned costs. We have responsibility to review these programs and give our opinion on the schedule of expenditures of federal awards, and tests of the internal control system, compliance with laws and regulations, and general and specific requirements mandated by the various awards.
4. Management letter— No separate management letter was issued.

Significant Audit Findings

Qualitative Aspects of Accounting Practices

Management is responsible for the selection and use of appropriate accounting policies. The significant accounting policies used are described in Note 1 to the financial statements. No new accounting policies were adopted and the application of existing policies was not changed during 2023, except for the implementation of GASB 96 – Subscription-Based Information Technology Arrangements. We noted no transactions entered into during the year for which there is a lack of authoritative guidance or consensus. All significant transactions have been recognized in the financial statements in the proper period.

Accounting estimates are an integral part of the financial statements prepared by management and are based on management’s knowledge and experience about past and current events and assumptions about future events. Certain accounting estimates are particularly sensitive because of their significance to the financial statements and because of the possibility that future events affecting them may differ significantly from those expected. The most sensitive estimates affecting the financial statements were Management’s estimate of Accounts Receivable, the Net Pension Liability, GASB 75 OPEB Liability, and Capital Asset Depreciation, which are based on estimated collectability of receivables and useful lives of assets. We evaluated the key factors and assumptions used to develop these estimates in determining that they are reasonable in relation to the financial statements taken as a whole.

Certain financial statement disclosures are particularly sensitive because of their significance to financial statement users. The disclosures in the financial statements are neutral, consistent, and clear.

Difficulties Encountered in Performing the Audit

We encountered no significant difficulties in dealing with management in performing and completing our audit.

Pauly, Rogers and Co., P.C.

Corrected and Uncorrected Misstatements

Professional standards require us to accumulate all known and likely misstatements identified during the audit, other than those that are trivial, and communicate them to the appropriate level of management. Management has corrected all such misstatements or determined that their effects are immaterial. In addition, none of the misstatements detected as a result of audit procedures and corrected by management were material, either individually or in the aggregate, to the financial statements taken as a whole. There were immaterial uncorrected misstatements noted during the audit which were discussed with management.

Disagreements with Management

For purposes of this letter, professional standards define a disagreement with management as a financial accounting, reporting, or auditing matter, whether or not resolved to our satisfaction, that could be significant to the financial statements or the auditor's report. We are pleased to report that no such disagreements arose during the course of our audit.

Management Representations

We have requested certain representations from management that are included in the management representation letter.

Management Consultations with Other Independent Accountants

In some cases, management may decide to consult with other accountants about auditing and accounting matters, similar to obtaining a "second opinion" on certain situations. If a consultation involves application of an accounting principle to the County's financial statements or a determination of the type of auditor's opinion that may be expressed on those statements, our professional standards require the consulting accountant to check with us to determine that the consultant has all the relevant facts. To our knowledge, there were no such consultations with other accountants.

Other Audit Findings or Issues

We generally discuss a variety of matters, including the application of accounting principles and auditing standards, with management each year prior to retention as the County's auditors. However, these discussions occurred in the normal course of our professional relationship and our responses were not a condition to our retention.

Required Supplementary Information

We applied certain limited procedures to the required supplementary information that supplements the basic financial statements. Our procedures consisted of inquiries of management regarding the methods of preparing the information and comparing the information for consistency with management's responses to our inquiries, the basic financial statements, and other knowledge we obtained during our audit of the basic financial statements. We did not audit the required supplementary information and do not express an opinion or provide any assurance on it.

Supplementary Information

We were engaged to report on the supplementary information, which accompany the basic financial statements but are not required supplementary information. With respect to this supplementary information, we made certain inquiries of management and evaluated the form, content, and methods of preparing the information to determine that the information complies with accounting principles generally accepted in the United States of America, the method of preparing it has not changed from the prior period, and the information is appropriate and complete in relation to our audit of the basic financial statements. We compared and reconciled the supplementary information to the underlying accounting records used to prepare the basic financial statements or to the basic financial statements themselves.

Other Information

We were not engaged to report on the other information, which accompanies the basic financial statements but is not required supplementary information. Such information has not been subjected to the auditing procedures applied in the audit of the basic financial statements, and accordingly, we do not express an opinion or provide any assurance on it.

The financial affairs have been professionally conducted. The accounting records were in good condition and we commend the staff for their assistance and support during the audit.

Other Matters – Future Accounting and Auditing Issues

In order to keep you aware of new auditing standards issued by the American Institute of Certified Public Accounts and accounting statements issued by the Governmental Accounting Standards Board (GASB), we have prepared the following summary of the more significant upcoming issues:

GASB 99 – OMNIBUS 2022

The requirements of this Statement that are effective as follows:

- The requirements related to extension of the use of LIBOR, accounting for SNAP distributions, disclosures of nonmonetary transactions, pledges of future revenues by pledging governments, clarification of certain provisions in Statement 34, as amended, and terminology updates related to Statement 53 and Statement 63 are effective upon issuance.
- The requirements related to leases, PPPs, and SBITAs are effective for fiscal years beginning after June 15, 2022, and all reporting periods thereafter.
- The requirements related to financial guarantees and the classification and reporting of derivative instruments within the scope of Statement 53 are effective for fiscal years beginning after June 15, 2023, and all reporting periods thereafter.

The objectives of this Statement are to enhance comparability in accounting and financial reporting and to improve the consistency of authoritative literature by addressing (1) practice issues that have been identified during implementation and application of certain GASB Statements and (2) accounting and financial reporting for financial guarantees.

GASB 100 – ACCOUNTING CHANGES AND ERROR CORRECTIONS – an amendment of GASB 62

The requirements of this Statement are effective for fiscal years beginning after June 15, 2023, and all reporting periods thereafter. The primary objective of this Statement is to enhance accounting and financial reporting requirements for accounting changes and error corrections to provide more understandable, reliable, relevant, consistent, and comparable information for making decisions or assessing accountability.

This Statement defines *accounting changes* as changes in accounting principles, changes in accounting estimates, and changes to or within the financial reporting entity and describes the transactions or other events that constitute those changes. As part of those descriptions, for (1) certain changes in accounting principles and (2) certain changes in accounting estimates that result from a change in measurement methodology, a new principle or methodology should be justified on the basis that it is preferable to the principle or methodology used before the change. That preferability should be based on the qualitative characteristics of financial reporting—understandability, reliability, relevance, timeliness, consistency, and comparability. This Statement also addresses corrections of errors in previously issued financial statements.

This Statement prescribes the accounting and financial reporting for (1) each type of accounting change and (2) error corrections. This Statement requires that (a) changes in accounting principles and error corrections be reported retroactively by restating prior periods, (b) changes to or within the financial reporting entity be

reported by adjusting beginning balances of the current period, and (c) changes in accounting estimates be reported prospectively by recognizing the change in the current period. The requirements of this Statement for changes in accounting principles apply to the implementation of a new pronouncement in absence of specific transition provisions in the new pronouncement. This Statement also requires that the aggregate amount of adjustments to and restatements of beginning net position, fund balance, or fund net position, as applicable, be displayed by reporting unit in the financial statements.

This Statement requires disclosure in notes to financial statements of descriptive information about accounting changes and error corrections, such as their nature. In addition, information about the quantitative effects on beginning balances of each accounting change and error correction should be disclosed by reporting unit in a tabular format to reconcile beginning balances as previously reported to beginning balances as restated.

Furthermore, this Statement addresses how information that is affected by a change in accounting principle or error correction should be presented in required supplementary information (RSI) and supplementary information (SI). For periods that are earlier than those included in the basic financial statements, information presented in RSI or SI should be restated for error corrections, if practicable, but not for changes in accounting principles.

GASB 101 – COMPENSATED ABSENCES

The requirements of this Statement are effective for fiscal years beginning after December 15, 2023, and all reporting periods thereafter. The objective of this Statement is to better meet the information needs of financial statement users by updating the recognition and measurement guidance for compensated absences. That objective is achieved by aligning the recognition and measurement guidance under a unified model and by amending certain previously required disclosures.

This Statement requires that liabilities for compensated absences be recognized for (1) leave that has not been used and (2) leave that has been used but not yet paid in cash or settled through noncash means. A liability should be recognized for leave that has not been used if (a) the leave is attributable to services already rendered, (b) the leave accumulates, and (c) the leave is more likely than not to be used for time off or otherwise paid in cash or settled through noncash means. Leave is attributable to services already rendered when an employee has performed the services required to earn the leave. Leave that accumulates is carried forward from the reporting period in which it is earned to a future reporting period during which it may be used for time off or otherwise paid or settled. In estimating the leave that is more likely than not to be used or otherwise paid or settled, a government should consider relevant factors such as employment policies related to compensated absences and historical information about the use or payment of compensated absences. However, leave that is more likely than not to be settled through conversion to defined benefit postemployment benefits should not be included in a liability for compensated absences.

This Statement requires that a liability for certain types of compensated absences—including parental leave, military leave, and jury duty leave—not be recognized until the leave commences. This Statement also requires that a liability for specific types of compensated absences not be recognized until the leave is used.

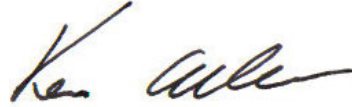
This Statement also establishes guidance for measuring a liability for leave that has not been used, generally using an employee's pay rate as of the date of the financial statements. A liability for leave that has been used but not yet paid or settled should be measured at the amount of the cash payment or noncash settlement to be made. Certain salary-related payments that are directly and incrementally associated with payments for leave also should be included in the measurement of the liabilities.

With respect to financial statements prepared using the current financial resources measurement focus, this Statement requires that expenditures be recognized for the amount that normally would be liquidated with expendable available financial resources.

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This Statement amends the existing requirement to disclose the gross increases and decreases in a liability for compensated absences to allow governments to disclose only the net change in the liability (as long as they identify it as a net change). In addition, governments are no longer required to disclose which governmental funds typically have been used to liquidate the liability for compensated absences.

This information is intended solely for the use of the County Court and management of Crook County and is not intended to be and should not be used by anyone other than these specified parties.

A handwritten signature in black ink, appearing to read "Ken Allen". The signature is written in a cursive style with a large initial "K".

Kenneth Allen, CPA
Municipal Auditor
PAULY, ROGERS AND CO., P.C.

CROOK COUNTY, OREGON

FINANCIAL REPORT

AS OF AND FOR THE YEAR ENDED JUNE 30, 2023



12700 SW 72nd Ave.
Tigard, OR 97223

CROOK COUNTY OREGON

COMPREHENSIVE ANNUAL FINANCIAL REPORT

As of and for the Year Ended June 30, 2023

CROOK COUNTY, OREGON

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CROOK COUNTY, OREGON
INTRODUCTORY SECTION

CROOK COUNTY, OREGON

County Court Members

<u>Name and Address</u>	<u>Term Expires</u>
Seth Crawford, County Judge	December 2024
Jerry Brummer, County Commissioner	December 2024
Brian Barney, County Commissioner	December 2026

Elected Officials

<u>Name</u>	<u>Position</u>	<u>Term Expires</u>
John Soliz	County Assessor	December 2026
Cheryl Seely	County Clerk	December 2026
Kari Hathorn	County District Attorney	December 2024
John Gautney	County Sheriff	December 2024
Galan Carter	County Treasurer	December 2026
Greg Kelso	County Surveyor	December 2026

Board Members receive mail at the County address listed below:

300 NE 3rd Street Prineville, OR 97754

CROOK COUNTY, OREGON

FINANCIAL SECTION



PAULY, ROGERS, AND CO., P.C.
12700 SW 72nd Ave. Tigard, OR 97223
(503) 620-2632 (503) 684-7523 FAX
www.paulyrogersandcocpas.com

January 8, 2024

INDEPENDENT AUDITOR'S REPORT

County Commissioners
Crook County
Prineville, Oregon

Opinions

We have audited the accompanying financial statements of the governmental activities, the business-type activities, each major fund, and the aggregate remaining fund information of Crook County, as of and for the year ended June 30, 2023, and the related notes to the financial statements, which collectively comprise the basic financial statements as listed in the table of contents.

In our opinion, the financial statements referred to above present fairly, in all material respects, the respective financial position of the governmental activities, the business-type activities, each major fund, and the aggregate remaining fund information of Crook County, as of June 30, 2023, and the respective changes in financial position and, where applicable, cash flows thereof for the year then ended in accordance with accounting principles generally accepted in the United States of America.

Basis for Opinions

We conducted our audit in accordance with the auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States. Our responsibilities under those standards are further described in the Auditors' Responsibilities for the Audit of the Financial Statements section of our report. We are required to be independent of Crook County to meet our other ethical responsibilities, in accordance with the relevant ethical requirements relating to our audit. We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinions.

Change in Accounting Principle

The County adopted new accounting guidance, GASB Statement No. 96- Subscription-Based Information Technology Agreements, during the fiscal year under audit. Our opinions are not modified with respect to this matter.

Responsibilities of Management for the Financial Statements

Management is responsible for the preparation and fair presentation of these financial statements in accordance with accounting principles generally accepted in the United States of America, and for the design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of financial statements that are free from material misstatement, whether due to fraud or error.

In preparing the financial statements, management is required to evaluate whether there are conditions or events, considered in the aggregate, that raise substantial doubt about Crook County's ability to continue as a going concern for twelve months beyond the financial statement date, including any currently known information that may raise substantial doubt shortly thereafter.

Auditors' Responsibilities for the Audit of the Financial Statements

Our objectives are to obtain reasonable assurance about whether the financial statements as a whole are free from material misstatement, whether due to fraud or error, and to issue an auditors' report that includes our opinions. Reasonable assurance is a high level of assurance but is not absolute assurance and therefore is not a guarantee that an audit conducted in accordance with generally accepted auditing standards and *Government Auditing Standards* will always detect a material misstatement when it exists. The risk of not detecting a material misstatement resulting from fraud is higher than for one resulting from error, as fraud may involve collusion, forgery, intentional omissions, misrepresentations, or the override of internal control. Misstatements are considered material if there is a substantial likelihood that, individually or in the aggregate, they would influence the judgment made by a reasonable user based on the financial statements.

In performing an audit in accordance with generally accepted auditing standards and *Government Auditing Standards*, we:

- Exercise professional judgment and maintain professional skepticism throughout the audit.
- Identify and assess the risks of material misstatement of the financial statements, whether due to fraud or error, and design and perform audit procedures responsive to those risks. Such procedures include examining, on a test basis, evidence regarding the amounts and disclosures in the financial statements.
- Obtain an understanding of internal control relevant to the audit in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of Crook County's internal control. Accordingly, no such opinion is expressed.
- Evaluate the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluate the overall presentation of the financial statements.
- Conclude whether, in our judgment, there are conditions or events, considered in the aggregate, that raise substantial doubt about Crook County's ability to continue as a going concern for a reasonable period of time.

We are required to communicate with those charged with governance regarding, among other matters, the planned scope and timing of the audit, significant audit findings, and certain internal control-related matters that we identified during the audit.

Required Supplementary Information

Accounting principles generally accepted in the United States of America require that the management's discussion and analysis, budgetary comparison information, and required supplementary information, as listed in the table of contents, be presented to supplement the basic financial statements. Such information is the responsibility of management and, although not a part of the basic financial statements, is required by the Governmental Accounting Standards Board, who considers it to be an essential part of financial reporting for placing the basic financial statements in an appropriate operational, economic, or historical context. We have applied certain limited procedures to the required supplementary information in accordance with auditing standards generally accepted in the United States of America, which consisted of inquiries of management about the methods of preparing the information and comparing the information for consistency with management's responses to our inquiries, the basic financial statements, and other knowledge we obtained during our audit of the basic financial statements. We do not express an opinion or provide any assurance on the information because the limited procedures do not provide us with sufficient evidence to express an opinion or provide any assurance.

Supplementary Information

Our audit was conducted for the purpose of forming opinions on the financial statements that collectively comprise the basic financial statements. The supplementary information, as listed in the table of contents, and the schedule of expenditures of federal awards, as required by Title 2 U.S. Code of Federal Regulations (CRF) Part 200, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, are presented for purposes of additional analysis and are not a required part of the basic financial statements. The supplementary

information, as listed in the table of contents, is the responsibility of management and was derived from and relates directly to the underlying accounting and other records used to prepare the basic financial statements. Such information has been subjected to the auditing procedures applied in the audit of the basic financial statements and certain additional procedures, including comparing and reconciling such information directly to the underlying accounting and other records used to prepare the basic financial statements or to the basic financial statements themselves, and other additional procedures in accordance with auditing standards generally accepted in the United States of America. In our opinion, the supplementary information, as listed in the table of contents, and the schedule of expenditures of federal awards are fairly stated, in all material respects, in relation to the basic financial statements as a whole.

Other Information

Management is responsible for the other information included in the annual report. The other information comprises the other information, as listed in the table of contents, and the listing of court members containing their term expiration dates, located before the table of contents, but does not include the basic financial statements and our auditors' report thereon. Our opinions on the basic financial statements do not cover the other information, and we do not express an opinion or any form of assurance thereon.

In connection with our audit of the basic financial statements, our responsibility is to read the other information and consider whether a material inconsistency exists between the other information and the basic financial statements, or the other information otherwise appears to be materially misstated. If, based on the work performed, we conclude that an uncorrected material misstatement of the other information exists, we are required to describe it in our report.

Report on Other Legal and Regulatory Requirements

In accordance with *Government Auditing Standards*, we have also issued our report dated January 8, 2024 on our consideration of the internal control over financial reporting and on our tests of compliance with certain provisions of laws, regulations, contracts, and grant agreements and other matters. The purpose of that report is to describe the scope of our testing of internal control over financial reporting and compliance and the results of that testing, and not to provide an opinion on the effectiveness of the internal control over financial reporting or on compliance. That report is an integral part of an audit performed in accordance with *Government Auditing Standards* in considering internal control over financial reporting and compliance.

In accordance with Minimum Standards for Audits of Oregon Municipal Corporations, we have issued our report dated January 8, 2024, on our consideration of compliance with certain provisions of laws and regulations, including the provisions of Oregon Revised Statutes as specified in Oregon Administrative Rules. The purpose of that report is to describe the scope of our testing of compliance and the results of that testing and not to provide an opinion on compliance.



Kenny Allen, CPA
PAULY, ROGERS AND CO., P.C.

CROOK COUNTY, OREGON

MANAGEMENT'S DISCUSSION AND ANALYSIS

JUNE 30, 2023

As management of Crook County, we offer readers of Crook County's financial statements this narrative overview and analysis of the financial activities of Crook County as of and for the fiscal year ended June 30, 2023.

Financial Highlights

- Total assets and deferred outflows of the County exceeded its liabilities and deferred inflows by \$90,031,457 as of June 30, 2023. Of this amount, \$57,096,242 (unrestricted net position) may be used to meet the County's on-going obligations to citizens and creditors, compared to unrestricted net position of \$30,104,719 as of June 30, 2022.
- The County's governmental funds reported a combined fund balance of \$81,066,321, a decrease of \$11,881,552 from June 30, 2022. Approximately forty-one percent, \$33,283,254, is available for spending at the County's discretion (assigned and unassigned fund balance), fifty-seven percent, \$45,986,826 is restricted and two percent, \$1,796,241 is inventory or prepaids and considered unspendable.
- County General Fund
 - The General Fund's fund balance was \$6,864,556 as of June 30, 2023, an increase of \$2,305,175.
 - Fund balance is seventy-three percent of the General Fund's expenditures at year end which is 8.8 months of General Fund expenditures. The County needs an adequate amount of carryover to cover its expenditures until November when it begins receiving property taxes. Property taxes make up about twenty percent of the Fund's revenue.
- Noncurrent liabilities were \$70,305,863 as of June 30, 2023, compared to noncurrent liabilities of \$68,371,074 as of June 30, 2022. The increase was primarily due to the correction to deferred revenue received from grants and recalculation of landfill postclosure costs.

Overview of the Financial Statements

This discussion and analysis is intended to serve as an introduction to Crook County's basic financial statements. These basic financial statements comprise three components: 1) government-wide financial statements, 2) fund financial statements and 3) notes to the financial statements. This report also contains other supplementary information in addition to the basic financial statements themselves.

Government-wide financial statements.

The *government-wide financial statements* are designed to provide readers with a broad overview of Crook County's finances, in a manner similar to a private-sector business.

The *Statement of Net Position* presents information on all of Crook County's assets and liabilities, with the difference between the two reported as *net position*. Over time, increases or decreases in net position may serve as a useful indicator of whether the financial position of Crook County is improving or deteriorating.

CROOK COUNTY, OREGON

MANAGEMENT'S DISCUSSION AND ANALYSIS

JUNE 30, 2023

The *Statement of Activities* presents information showing how Crook County's net position changed during the fiscal year ended June 30, 2023. Changes in net position are reported when the underlying event giving rise to the change occurs, regardless of the timing of the related cash, or other financial assets, flows. Thus, revenues and expenses are reported in this statement for some items, for example, property taxes and accrued compensated leave, which will result in cash flows in future fiscal periods.

Each of these government-wide financial statements, *Statement of Net Position* and *Statement of Activities*, distinguish functions of Crook County that are supported primarily by taxes and inter-governmental revenues (*governmental activities*) from other functions that are intended to recover all, or a significant portion of, their costs through user fees and charges (*business-type activities*). The governmental activities of Crook County include general government, highways and streets, public safety, health and welfare, and culture and education. The business-type activities of Crook County include landfill, airport and weed control.

The government-wide financial statements include one county service district, Crook County Agricultural Extension Service District. This entity is legally separate but is included as a blended component unit based on the criteria described in the Notes to Financial Statements (Note 1 – Summary of Significant Accounting Policies). Requests for copies of the separately issued financial statements for the District should be addressed to Crook County, 300 NE Third Street, Prineville, OR 97754.

The government-wide financial statements can be found on pages **4-5** of this report.

Fund financial statements.

A *fund* is a grouping of related accounts that is used to maintain control over resources that have been segregated for specific activities or objectives. Crook County, like other state and local government entities, uses fund accounting to ensure and demonstrate compliance with finance-related legal requirements. Each of the funds of Crook County is classified in one of three categories: governmental funds, proprietary funds or fiduciary funds.

Governmental funds. *Governmental funds* are used to account for essentially the same functions as *governmental activities* in the government-wide financial statements. However, unlike the government-wide financial statements, governmental fund financial statements focus on *near-term inflows and outflows of spendable resources*, as well as on *balances of spendable resources* available at the end of the fiscal year. Such information may be useful in evaluating a government's near-term financing requirements.

Because the focus of governmental funds is narrower than that of the government-wide financial statements, it is useful to compare the information presented for *governmental funds* with similar information presented for *governmental activities* in the government-wide financial statements. By doing so, readers may better understand the long-term impact of the government's near-term financing decisions. A reconciliation from the Governmental Funds Balance Sheet to the Government-wide Statement of Net Position and a reconciliation from the Governmental Funds Statement of Revenues, Expenditures and Changes in Fund Balances to the Government-wide Statement of Activities have been included in this report.

Crook County reported activity in twenty-eight individual governmental funds for the fiscal year ended June 30, 2023. Information is presented separately in the governmental funds Balance Sheet and in the governmental funds Statement of Revenues, Expenditures and Changes in Fund Balances for the General Fund and the County's major funds (Road, Sheriff's Office, Health, and Reserve). Data from all other governmental funds are combined into a single, aggregated presentation. Individual data for each of these

CROOK COUNTY, OREGON

MANAGEMENT'S DISCUSSION AND ANALYSIS

JUNE 30, 2023

non-major governmental funds is provided in the form of combining statements in the "Other Supplementary Information" section of this report and in the budget to actual comparison schedules.

Crook County adopts an annual budget for each of its funds and a budgetary comparison statement has been provided for each to demonstrate compliance with its annual budget.

The Basic Governmental Fund Financial Statements can be found on pages **6-9** of this report.

Proprietary funds. Crook County maintains two different types of proprietary funds. Enterprise funds are used to report the same functions as business-type activities in the government-wide financial statements. Crook County uses enterprise funds to account for its landfill, airport and weed control operations. An internal service fund is an accounting device to accumulate and allocate costs internally among Crook County's functions. Crook County uses an internal service fund to account for facilities services. Because these services predominantly benefit governmental rather than business-type functions, they have been included within governmental activities in the governmental-wide financial statements.

Proprietary funds financial statements provide similar, but more detailed, information as the government-wide financial statements. Individual fund budgetary data for the enterprise funds and internal service fund is provided in the "Other Supplementary Information" section of this report and in the budget to actual comparison schedules.

The Basic Proprietary Funds Financial Statements can be found on pages **10-13** of this report.

Fiduciary funds. Fiduciary funds, all of which are agency funds, are used to account for resources held for the benefit of third parties. Fiduciary funds are not reflected in the government-wide financial statements because the resources of those funds are not available to support Crook County's own programs.

The Fiduciary Fund Statement can be found on pages **14**.

Notes to the financial statements. The notes provide additional information that is essential to an understanding of the data provided in the government-wide and fund financial statements. The notes to the financial statements begin on page **15** of this report.

Other information. In addition to the basic financial statements and accompanying notes, this report also presents as required supplementary information, the budgetary comparisons for the General Fund and major special revenue funds. Required supplementary information begins on page **60**.

The combining statements referred to above in connection with non-major governmental funds and internal service funds are presented in the "Other Supplementary Information" section of this report.

Government-wide Financial Analysis

Net position, at a specific point in time, serves as a useful indicator of an entity's financial position. In the case of Crook County, assets and deferred outflows exceed liabilities and deferred inflows by \$90,031,457 at June 30, 2023.

CROOK COUNTY, OREGON

MANAGEMENT'S DISCUSSION AND ANALYSIS

JUNE 30, 2023

Fourteen percent of Crook County's net position represents its investment in capital assets (land, infrastructure, buildings and equipment) less the related outstanding debt issued to acquire those capital assets. Crook County uses these capital assets to provide services to citizens and this portion of net position is not available for future spending. Although Crook County's investment in its capital assets is reported net of related debt, the resources needed to repay this debt must be provided from other sources, as the capital assets will not be liquidated to service the debt. Crook County's net position restricted for use in its road maintenance, debt service and grant programs requirements total \$20,101,289, twenty-two percent of the net position. The remaining sixty-three percent, \$57,096,242, of Crook County's net position may be used to meet the County's on-going obligations to citizens and creditors.

As of June 30, 2023, Crook County reports positive balances in all three categories of net position (capital assets net of debt, restricted and unrestricted) for the government as a whole and for the governmental activities. The net position for the business-type activities are positive for capital assets, net of related debt and restricted for debt service and positive in the unrestricted category.

CROOK COUNTY'S NET POSITION

	Governmental Activities		Business-type Activities		Total	
	June 30,		June 30,		June 30,	
	2023	2022	2023	2022	2023	2022
Assets other than capital assets	\$ 98,958,577	\$ 107,315,622	\$ 14,693,372	\$ 12,986,734	\$ 113,651,949	\$ 120,302,356
Capital assets	<u>51,968,225</u>	<u>36,029,961</u>	<u>18,435,633</u>	<u>18,642,059</u>	<u>70,403,858</u>	<u>54,672,020</u>
Total assets	<u>150,926,802</u>	<u>143,345,583</u>	<u>33,129,005</u>	<u>31,628,793</u>	<u>184,055,807</u>	<u>174,974,376</u>
Deferred outflows of resources	2,880,577	2,813,549	-	-	2,880,577	2,813,549
Current liabilities	11,810,900	8,567,423	310,295	847,845	12,121,195	9,415,268
Noncurrent liabilities	<u>60,575,227</u>	<u>59,844,753</u>	<u>9,730,636</u>	<u>8,526,321</u>	<u>70,305,863</u>	<u>68,371,074</u>
Total liabilities	<u>72,386,127</u>	<u>68,412,176</u>	<u>10,040,931</u>	<u>9,374,166</u>	<u>82,427,058</u>	<u>77,786,342</u>
Deferred inflows of resources	7,831,953	9,185,838	6,645,916	7,106,952	14,477,869	16,292,790
Net position						
Net investment in capital assets	-	20,043,795	12,833,926	12,891,179	12,833,926	32,934,974
Restricted	20,101,289	20,669,100	-	-	20,101,289	20,669,100
Unrestricted	<u>53,488,010</u>	<u>27,848,223</u>	<u>3,608,232</u>	<u>2,256,496</u>	<u>57,096,242</u>	<u>30,104,719</u>
Net position	<u>\$ 73,589,299</u>	<u>\$ 68,561,118</u>	<u>\$ 16,442,158</u>	<u>\$ 15,147,675</u>	<u>\$ 90,031,457</u>	<u>\$ 83,708,793</u>

Crook County's net position increased by \$6,322,664 during the fiscal year ended June 30, 2023.

CROOK COUNTY, OREGON

MANAGEMENT'S DISCUSSION AND ANALYSIS JUNE 30, 2023

CHANGES DUE TO GOVERNMENTAL ACTIVITIES

The net position of governmental activities increased by \$5,028,181. This is mainly due to capital grants utilized to fund Fairgrounds infrastructure improvements and purchase vehicles for the Sheriff's Office along with a significant increase in investment revenue from strategic investment of the County's funds.

CHANGES DUE TO BUSINESS-TYPE ACTIVITIES

The net position of business-type activities increased by \$1,294,483. This is mainly due to increased activity at the Landfill during the year resulting in increased charges for services revenue.

CROOK COUNTY'S SUMMARIZED STATEMENT OF ACTIVITIES

	Governmental Activities		Business-type Activities		Total	
	2023	2022	2023	2022	2023	2022
Program revenues:						
Charges for services	\$ 6,174,616	\$ 10,520,704	\$ 5,733,739	\$ 3,353,341	\$ 11,908,355	\$ 13,874,045
Operating grants and contributions	27,716,232	16,230,942	309,550	8,841	28,025,782	16,239,783
Capital grants and contributions	2,160,010	335,778	-	-	2,160,010	335,778
General revenues:						
Property taxes	13,546,881	11,197,111	-	-	13,546,881	11,197,111
Other taxes	2,551,529	2,854,112	-	-	2,551,529	2,854,112
Investment revenue	2,649,035	(144,567)	165,529	-	2,814,564	(144,567)
Miscellaneous	205,827	1,712,128	-	317,795	205,827	2,029,923
Total revenues	55,004,130	42,706,208	6,208,818	3,679,977	61,212,948	46,386,185
Expenses:						
General government	21,965,710	10,650,360	-	-	21,965,710	10,650,360
Highways and streets	3,664,255	4,450,242	-	-	3,664,255	4,450,242
Public safety	13,650,016	12,986,645	-	-	13,650,016	12,986,645
Health and welfare	7,052,658	6,330,749	-	-	7,052,658	6,330,749
Culture and education	3,474,762	3,458,588	-	-	3,474,762	3,458,588
Interest on long-term debt	203,989	209,474	513,918	243,367	717,907	452,841
Landfill	-	-	3,441,600	2,165,811	3,441,600	2,165,811
Airport	-	-	688,986	285,404	688,986	285,404
Weed control	-	-	234,390	225,177	234,390	225,177
Total expenses	50,011,390	38,086,058	4,878,894	2,919,759	54,890,284	41,005,817
Change in net position before transfers	4,992,740	4,620,150	1,329,924	760,218	6,322,664	5,380,368
Transfers	35,441	(48,000)	(35,441)	48,000	-	-
Capital contributions	-	-	-	-	-	-
Change in net position	5,028,181	4,572,150	1,294,483	808,218	6,322,664	5,380,368
Sale of property	-	-	-	-	-	-
Net position, beginning	68,561,120	63,988,969	15,147,675	14,339,457	83,708,795	78,328,426
Net position, ending	\$ 73,589,302	\$ 68,561,120	\$ 16,442,158	\$ 15,147,675	\$ 90,031,457	\$ 83,708,795

CROOK COUNTY, OREGON

MANAGEMENT'S DISCUSSION AND ANALYSIS

JUNE 30, 2023

Financial Analysis of the County's Funds

Crook County uses fund accounting to ensure and demonstrate compliance with finance-related legal requirements.

Governmental funds. The focus of Crook County's governmental funds is to provide information on near-term inflows, outflows and balances of spendable resources. Such information is useful in assessing Crook County's financing requirements. In particular, unassigned fund balance may serve as a useful measure of a government's net resources available for spending as of the end of the fiscal year.

As of June 30, 2023, \$81,066,321 is the reported combined ending fund balance for Crook County's governmental funds, a net decrease of \$11,881,552 from June 30, 2022. Changes in the fund balances of the major governmental funds are described below:

General Fund: As of June 30, 2023, the fund balance of Crook County's General Fund was \$6,864,556. The fund balance increased by \$2,305,175 during the fiscal year ending June 30, 2023. The increase was due to increases in property tax, grant, and investment revenue.

Road Fund: The fund balance of the Road Fund decreased by \$43,415 to \$17,476,544. Decrease was due to the reduction in State revenue offset by investment revenue, and costs savings on Materials and Services and asset purchases.

Community Development Fund: The fund balance of the Community Development Fund was \$10,548,631, a decrease of \$558,502 during the fiscal year ended June 30, 2023. Data Center projects during the fiscal year were the primary reason for the decrease as fees are paid in full up front for work spanning the life of the projects.

Sheriff's Office Fund: The fund balance of the Sheriff's Office Fund was \$3,772,561, an increase of \$543,240 during the fiscal year ended June 30, 2023. The increase is due to an increase in property tax collected, investment revenue as well as savings realized from vacant personnel positions.

Health Fund: The fund balance of the Health Fund was \$2,456,506, a decrease of \$342,659 during the fiscal year ended June 30, 2023. Fund balance decrease was due to deferring unspent restricted grant revenue (which had been incorrectly recognized before being spent in prior years) as well as utilizing fund balance from prior years to cover increased programming as staff vacancies were filled for positions funded by grants that were paused in prior years.

Capital Project Fund: The fund balance of the Justice Center Project Fund decreased by \$13,082,448 to \$25,912,762 during the fiscal year ended June 30, 2023. The decrease was due to payments for construction in progress on the Justice Center.

Reserve Fund: The fund balance of the Reserve Fund decreased by \$2,139,965 to \$8,690,276. The decrease was due to the purchase of property from Crook County Airport.

Proprietary funds. The information presented in the proprietary funds statement is similar to that in the government-wide financial statements, but provides greater detail.

CROOK COUNTY, OREGON

MANAGEMENT'S DISCUSSION AND ANALYSIS

JUNE 30, 2023

Landfill Fund: At June 30, 2023, the net position of the Landfill Fund was \$4,425,894, with operating income of \$2,626,171.

Airport Fund: At June 30, 2023, the net position of the Airport Fund \$11,722,879. The fund reports the construction in process related to the airport projects and the related debt.

General Fund Budgetary Highlights

The budget for the General Fund was increased by \$9,922,900 and there were several appropriation transfers during FY 2023. Of the increase, \$9,700,000 was due to receiving state grants that passed through to the City of Prineville and Ochoco Irrigation District. Assumptions used for estimating revenues are generally conservative and General Fund actual revenues were \$107,396 less than estimated largely due to the timing revenue recognition for Federal and State Grants including the American Rescue Plan Act (ARPA). Expenditures were \$746,672 less than appropriated in the budget, consisting of positive variances in every department.

Capital Asset and Debt Administration

Capital Assets. Crook County's investment in capital assets for its governmental and business-type activities as of June 30, 2023, was \$70,406,858, net of accumulated depreciation. The book value of the depreciable assets is sixty-seven percent of historical cost. This investment in capital assets includes land, construction in progress, buildings, equipment and infrastructure such as roads and bridges. Additional information on Crook County's capital assets is included in **Note 6 on pages 26-27** of this report.

Long-term debt. As of June 30, 2023, Crook County's outstanding bonded debt was \$52,268,310. Other long-term liabilities include compensated absences and the landfill closure and post-closure liability. Additional information on Crook County's long-term debt is included in **Note 7 on pages 28-29** of this report.

	Governmental activities		Business-type activities		Total	
	2023	2022	2023	2022	2023	2022
General obligation bonds	\$ 43,258,310	\$ 43,368,310	\$ -	\$ -	\$ 43,258,310	\$ 43,368,310
Full Faith & Credit	3,365,000	3,410,000	5,645,000	5,795,000	9,010,000	9,205,000
Total	\$ 46,623,310	\$ 46,778,310	\$ 5,645,000	\$ 5,795,000	\$ 52,268,310	\$ 52,573,310

Key Economic Factors and Budget Information for the Future

- The cost of fringe benefits, primarily health insurance, will continue to have an impact on the County's budget.
- The County's FY 2023 adopted budget is \$182,792,509, an increase of approximately 22% from the Fiscal Year 2022 budget. The increase is due to the appropriation of the pass through of \$9,500,000

CROOK COUNTY, OREGON

MANAGEMENT'S DISCUSSION AND ANALYSIS

JUNE 30, 2023

in state revenue and construction costs related to the Justice Center project and the Courthouse renovation.

- The County's Assessed Valuation of Taxable Property increased from Fiscal Year 2022 to Fiscal Year 2023 by over 9%, to \$3,127,764,578.

Requests for Information

This financial report is designed to provide a general overview to those parties interested in Crook County's finances. Questions concerning any of the information provided in this report or requests for additional information should be addressed to Crook County Finance, 200 NE Second Street, Prineville, OR 97754.

CROOK COUNTY, OREGON
STATEMENT OF NET POSITION
AT JUNE 30, 2023

	<u>GOVERNMENTAL ACTIVITIES</u>	<u>BUSINESS-TYPE ACTIVITIES</u>	<u>TOTAL</u>
ASSETS			
Current assets:			
Cash and investments	\$ 87,733,037	\$ 8,503,724	\$ 96,236,761
Accounts receivable	2,425,562	386,522	2,812,084
Property taxes receivable	453,237	-	453,237
Prepaid	27,225	-	27,225
Inventories	1,769,016	-	1,769,016
Lease receivable	6,550,500	5,803,126	12,353,626
Total current assets	<u>98,958,577</u>	<u>14,693,372</u>	<u>113,651,949</u>
Noncurrent assets:			
Capital assets			
Subscription Assets (net)	203,024	-	203,024
Lease assets (net)	399,950	463	400,413
Nondepreciable	21,280,890	420,370	21,701,260
Depreciable, net	30,084,361	18,014,800	48,099,161
Total noncurrent assets	<u>51,968,225</u>	<u>18,435,633</u>	<u>70,403,858</u>
TOTAL ASSETS	<u>150,926,802</u>	<u>33,129,005</u>	<u>184,055,807</u>
DEFERRED OUTFLOWS OF RESOURCES			
Pension related deferrals	<u>2,880,577</u>	<u>-</u>	<u>2,880,577</u>
LIABILITIES			
Current liabilities:			
Accounts payable and other current liabilities	1,623,359	43,781	1,667,140
Deferred revenue	8,364,515	-	8,364,515
Accrued interest payable	24,775	58,193	82,968
Current portion of subscription liability	143,259	-	143,259
Current portion of lease liability	119,603	513	120,116
Current portion of bonds payable (net of premium)	582,129	153,095	735,224
Accrued compensated absences	953,260	54,713	1,007,973
Total current liabilities	<u>11,810,900</u>	<u>310,295</u>	<u>12,121,195</u>
Noncurrent liabilities:			
Landfill postclosure costs	-	4,282,537	4,282,537
Noncurrent portion of subscription liability	22,769	-	22,769
Noncurrent portion of lease liability	285,384	-	285,384
Noncurrent portion of bonds payable (net of premium)	55,344,820	5,448,099	60,792,919
Other post employment liability	522,649	-	522,649
Net pension liability	4,399,605	-	4,399,605
Total noncurrent liabilities	<u>60,575,227</u>	<u>9,730,636</u>	<u>70,305,863</u>
TOTAL LIABILITIES	<u>72,386,127</u>	<u>10,040,931</u>	<u>82,427,058</u>
DEFERRED INFLOWS OF RESOURCES			
Pension related deferrals	1,492,855	-	1,492,855
Leases	<u>6,339,098</u>	<u>6,645,916</u>	<u>12,985,014</u>
TOTAL LIABILITIES	<u>7,831,953</u>	<u>6,645,916</u>	<u>14,477,869</u>
NET POSITION			
Net investment in capital assets	-	12,833,926	12,833,926
Restricted for:			
Highways and streets	15,707,528	-	15,707,528
Debt service	24,718	-	24,718
Grant programs	4,369,043	-	4,369,043
Unrestricted	<u>53,488,010</u>	<u>3,608,232</u>	<u>57,096,242</u>
NET POSITION	<u>\$ 73,589,299</u>	<u>\$ 16,442,158</u>	<u>\$ 90,031,457</u>

CROOK COUNTY, OREGON
STATEMENT OF ACTIVITIES
FOR THE YEAR ENDED JUNE 30, 2023

Functions/Programs	Expenses	Program Revenues			Net (Expense) Revenue and Changes in Net Position		Total
		Charges for Services	Operating Grants and Contributions	Capital Grants and Contributions	Governmental Activities	Business-type Activities	
Primary Government							
Governmental activities							
General government	\$ 21,965,710	\$ 4,411,508	\$ 13,614,857	\$ 500,000	\$ (3,439,345)	\$ -	\$ (3,439,345)
Highways and streets	3,664,255	125,400	5,301,359	-	1,762,504	-	1,762,504
Public safety	13,650,016	704,714	2,373,049	754,660	(9,817,593)	-	(9,817,593)
Health and welfare	7,052,658	545,451	5,716,724	-	(790,483)	-	(790,483)
Culture and education	3,474,762	387,543	710,243	905,350	(1,471,626)	-	(1,471,626)
Interest on long-term debt	203,989	-	-	-	(203,989)	-	(203,989)
Total governmental activities	50,011,390	6,174,616	27,716,232	2,160,010	(13,960,532)	-	(13,960,532)
Business-type activities							
Landfill	3,441,600	2,626,171	-	-	-	(815,429)	(815,429)
Airport	688,986	2,916,543	299,013	-	-	2,526,570	2,526,570
Weed control	234,390	191,025	10,537	-	-	(32,828)	(32,828)
Interest expense	513,918	-	-	-	-	(513,918)	(513,918)
Total business-type activities	4,878,894	5,733,739	309,550	-	-	1,164,395	1,164,395
Total primary government	54,890,284	11,908,355	28,025,782	2,160,010	(13,960,532)	1,164,395	(12,796,137)
General revenues							
Property taxes for general purposes					13,546,881	-	13,546,881
Other taxes					2,551,529	-	2,551,529
Investment revenue					2,649,035	165,529	2,814,564
Miscellaneous					205,827	-	205,827
Transfers					35,441	(35,441)	-
Total general revenues and transfers					18,988,713	130,088	19,118,801
Changes in net position					5,028,181	1,294,483	6,322,664
Net position - beginning of year					68,561,118	15,147,675	83,708,793
Net position - ending					\$ 73,589,299	\$ 16,442,158	\$ 90,031,457

The accompanying notes are an integral part of this statement.

**CROOK COUNTY, OREGON
BALANCE SHEET
GOVERNMENTAL FUNDS
AT JUNE 30, 2023**

	General Fund	Road Fund	Community Development	Sheriff's Office	Health Fund	Reserve Fund	Justice Center Project	Other Governmental Funds	Total
ASSETS									
Cash and investments	\$ 11,234,638	\$ 15,697,391	\$ 10,583,888	4,172,159	\$ 3,406,345	\$ 8,453,468	\$ 26,584,818	\$ 6,474,374	\$ 86,607,081
Accounts receivable (net of allowance for uncollectibles)	959,879	81,095	62,223	110,149	109,496	42,301	377,783	676,425	2,419,351
Property taxes receivable	412,334	-	-	-	-	-	-	40,903	453,237
Prepaid	-	-	-	-	27,225	-	-	-	27,225
Lease receivable	-	-	-	-	-	6,217,724	-	-	6,217,724
Due from other funds	423,839	-	-	-	-	-	-	-	423,839
Inventories	-	1,769,016	-	-	-	-	-	-	1,769,016
Total Assets	\$ 13,030,690	\$ 17,547,502	\$ 10,646,111	\$ 4,282,308	\$ 3,543,066	\$ 14,713,493	\$ 26,962,601	\$ 7,191,702	\$ 97,917,473
LIABILITIES									
Accounts payable and other current liabilities	\$ 329,668	\$ 70,958	97,480	\$ 264,407	\$ 84,803	\$ -	\$ 630,012	\$ 118,684	\$ 1,596,012
Due to other funds	-	-	-	-	-	-	-	423,839	423,839
Deferred Revenue	5,430,570	-	-	245,340	1,001,757	-	419,827	1,267,021	8,364,515
Total Liabilities	5,760,238	70,958	97,480	509,747	1,086,560	-	1,049,839	1,809,544	10,384,366
DEFERRED INFLOWS OF RESOURCES									
Unavailable property tax revenue	405,896	-	-	-	-	-	-	37,673	443,569
Leases	-	-	-	-	-	6,023,217	-	-	6,023,217
Total Deferred Inflows of Resources	405,896	-	-	-	-	6,023,217	-	37,673	6,466,786
FUND BALANCES									
Non-spendable									
Prepaid	-	-	-	-	27,225	-	-	-	27,225
Inventory	-	1,769,016	-	-	-	-	-	-	1,769,016
Restricted for state and federal program:	-	15,707,528	-	-	2,429,281	-	-	1,912,537	20,049,346
Restricted for capital projects	-	-	-	-	-	-	25,912,762	-	25,912,762
Restricted for debt service	-	-	-	-	-	-	-	24,718	24,718
Assigned	-	-	10,548,631	3,772,561	-	8,690,276	-	3,407,230	26,418,698
Unassigned	6,864,556	-	-	-	-	-	-	-	6,864,556
TOTAL FUND BALANCES	6,864,556	17,476,544	10,548,631	3,772,561	2,456,506	8,690,276	25,912,762	5,344,485	81,066,321
Total liabilities, deferred inflows of resources and fund balances	\$ 13,030,690	\$ 17,547,502	\$ 10,646,111	\$ 4,282,308	\$ 3,543,066	\$ 14,713,493	\$ 26,962,601	\$ 7,191,702	\$ 97,917,473

CROOK COUNTY, OREGON
RECONCILIATION OF THE GOVERNMENTAL FUNDS
BALANCE SHEET TO THE STATEMENT OF NET POSITION
AT JUNE 30, 2023

Total fund balances - governmental fund type		\$ 81,066,321
Capital assets (including lease and subscription assets) used in governmental activities are not financial resources and, therefore, are not reported in the funds. Capital assets net of depreciation are:		51,615,470
Certain other assets are not available to pay for current-period expenditures and, therefore, are deferred in the funds:		
Property taxes earned but unavailable		443,569
Certain other liabilities are not accrued until due in the governmental funds:		
Accrued interest on long-term debt	\$ (24,775)	
Subscription liability	(166,028)	
Lease liability	(48,738)	
Accrued compensated absences	<u>(951,108)</u>	
		(1,190,649)
Long-term liabilities are not due and payable in the current period and, therefore, not reported in the funds.		
Bonds payable unamortized premium		(55,926,949)
Other post employment liability		(522,649)
Net Pension Liability - the difference between the total pension liability and the assets set aside to pay benefits earned to past and current employees and beneficiaries.		(4,399,605)
Deferred inflows and outflows of resources related to the pension plan include differences between expected and actual experience, changes of assumptions, differences between projected and actual earnings, and contributions subsequent to the measurement date.		1,387,722
Net position of internal service fund, less net capital assets		<u>1,116,069</u>
Net position of governmental activities		<u><u>\$ 73,589,299</u></u>

The accompanying notes are an integral part of this statement.

CROOK COUNTY, OREGON
STATEMENT OF REVENUES, EXPENDITURES AND
CHANGES IN FUND BALANCES
GOVERNMENTAL FUNDS
FOR THE YEAR ENDED JUNE 30, 2023

	General Fund	Road Fund	Community Development	Sheriff's Office	Health Fund	Reserve Fund	Justice Center Project	Other Governmental Funds	Total
REVENUES									
Taxes									
Property taxes	\$ 2,451,659	\$ -	\$ -	\$ 8,422,428	\$ -	\$ -	\$ -	\$ 2,605,080	\$ 13,479,167
Other taxes	2,032,195	-	-	-	-	-	-	519,334	2,551,529
Interest	433,451	327,862	232,437	115,853	65,850	336,589	981,115	129,345	2,622,502
Licenses, permits and fees	460,745	20,114	2,738,179	122,775	89,902	-	-	102,862	3,534,577
Charges for services	4,890,130	105,286	2,826	581,939	455,549	-	-	370,748	6,406,478
Miscellaneous	-	-	-	62,513	84,839	-	-	58,475	205,827
Donations/contributions	-	-	-	-	95	-	-	301,516	301,611
Intergovernmental									
Local	373,223	-	-	3,937	102,417	23,446	-	104,120	607,143
State	992,529	4,416,435	-	2,837,200	465,135	-	-	6,609,780	15,321,079
Federal	12,174,572	-	-	286,572	670,020	-	-	515,245	13,646,409
Total Revenues	23,808,504	4,869,697	2,973,442	12,433,217	1,933,807	360,035	981,115	11,316,505	58,676,322
EXPENDITURES									
Current									
General government	8,285,688	-	3,531,944	-	-	-	-	592,815	12,410,447
Highways and streets	-	3,783,546	-	-	-	-	-	-	3,783,546
Public safety	1,079,779	-	-	10,858,426	-	-	1,866,174	37,000	13,841,379
Health and welfare	-	-	-	-	3,007,466	-	-	4,177,796	7,185,262
Culture and education	-	-	-	-	-	-	-	3,794,844	3,794,844
Debt service									
Principal	-	-	-	-	-	-	-	110,000	110,000
Interest	-	-	-	-	-	-	-	465,000	465,000
Capital outlay	32,261	1,129,566	-	1,040,342	-	2,500,000	12,197,389	1,139,378	18,038,936
Total Expenditures	9,397,728	4,913,112	3,531,944	11,898,768	3,007,466	2,500,000	14,063,563	10,316,833	59,629,414
Excess (Deficiency) of revenues over expenditures	14,410,776	(43,415)	(558,502)	534,449	(1,073,659)	(2,139,965)	(13,082,448)	999,672	(953,092)
Other financing sources (uses)									
Subscription proceeds	40,756	-	-	-	-	-	-	-	40,756
Transfers in	-	-	-	8,791	731,000	-	-	576,141	1,315,932
Transfers out	(1,141,700)	-	-	-	-	-	-	(138,791)	(1,280,491)
Bonds proceeds, net	-	-	-	-	-	-	-	-	-
Special Payments	(11,004,657)	-	-	-	-	-	-	-	(11,004,657)
Total other financing sources and uses	(12,105,601)	-	-	8,791	731,000	-	-	437,350	(10,928,460)
Net change in fund balances	2,305,175	(43,415)	(558,502)	543,240	(342,659)	(2,139,965)	(13,082,448)	1,437,022	(11,881,552)
Fund Balances - beginning	4,559,381	17,519,959	11,107,133	3,229,321	2,799,165	10,830,241	38,995,210	3,907,463	92,947,873
Fund Balances - ending	\$ 6,864,556	\$ 17,476,544	\$ 10,548,631	\$ 3,772,561	\$ 2,456,506	\$ 8,690,276	\$ 25,912,762	\$ 5,344,485	\$ 81,066,321

CROOK COUNTY, OREGON
RECONCILIATION OF THE STATEMENT OF REVENUES, EXPENDITURES AND CHANGES
IN FUND BALANCES - GOVERNMENTAL FUNDS TO THE STATEMENT OF ACTIVITIES
FOR THE YEAR ENDED JUNE 30, 2023

Amount reported for governmental activities in the statement of activities are different because:

Net change in fund balances - total government funds \$ (11,881,552)

Governmental funds report capital outlays as expenditures. However in the statement of activities the cost of those assets is allocated over their estimated useful lives and reported as depreciation expense.

Capital asset additions	\$ 17,417,173	
Book value of disposed assets	-	
Depreciation expense	<u>(1,569,907)</u>	15,847,266

Revenues in the statement of activities that do not provide current financial resources are not reported as revenues in the funds.

Change in deferred revenue		67,714
Change in subscription assets (net)/subscription liabilities		36,996
Change in lease assets (net)/lease liabilities		(454)

Long-term debt proceeds provide current financial resources to governmental funds, but issuing debt increases long-term liabilities in the Statement of Net Position. Repayment of long-term debt principal is an expenditure in the governmental funds, but the repayment reduces long-term liabilities in the Statement of Net Position. This is the amount by which debt proceeds exceeds principal payments:

552,128

Change in net position of ISF, net of capital assets 614,672

Some expenses reported in the statement of activities do not require the use of current financial resources and, therefore, are not reported as expenditures in governmental funds. Changes in:

Other post employment liability	60,100	
Accrued compensated absences	(23,622)	
Accrued interest	<u>283</u>	36,761

The Pension Expense represents the change in Net Pension Liability from year to year due to changes in total pension liability and the fair value of pension plan net position available to pay pension benefits.

(245,350)

Change in net position of governmental activities. \$ 5,028,181

CROOK COUNTY, OREGON
STATEMENT OF NET POSITION
PROPRIETARY FUNDS
AT JUNE 30, 2023

	Business-Type Activities - Enterprise Funds				Internal Service Fund
	Landfill	Weed Control	Airport	TOTAL	Facilities
ASSETS					
Current assets:					
Cash and investments	\$ 5,222,012	\$ 261,617	\$ 3,020,095	\$ 8,503,724	\$ 1,125,956
Accounts receivable	158,796	952	226,774	386,522	6,211
Lease receivable	89,675	-	5,713,451	5,803,126	332,776
Total current assets	5,470,483	262,569	8,960,320	14,693,372	1,464,943
Noncurrent assets:					
Capital assets:					
Leased assets (net of amortization)	463	-	-	463	352,755
Nondepreciable	420,370	-	-	420,370	-
Depreciable, Net	2,973,042	59,181	14,982,577	18,014,800	33,058
Total noncurrent assets	3,393,875	59,181	14,982,577	18,435,633	385,813
TOTAL ASSETS	8,864,358	321,750	23,942,897	33,129,005	1,850,756
LIABILITIES					
Current liabilities:					
Accounts payable and other current liabilities	31,130	8,651	4,000	43,781	27,347
Accrued compensated absences	34,999	19,714	-	54,713	2,152
Interest payable	-	-	58,193	58,193	-
Current portion of lease liabilities	513	-	-	513	98,614
Current portion discount on bonds	-	-	(1,905)	(1,905)	-
Current portion of bonds payable	-	-	155,000	155,000	-
Total current liabilities	66,642	28,365	215,288	310,295	128,113
Noncurrent liabilities					
Lease liability	-	-	-	-	257,635
Bonds payable	-	-	5,490,000	5,490,000	-
Discounts on bonds payable	-	-	(41,901)	(41,901)	-
Landfill postclosure costs	4,282,537	-	-	4,282,537	-
Total noncurrent liabilities	4,282,537	-	5,448,099	9,730,636	257,635
TOTAL LIABILITIES	4,349,179	28,365	5,663,387	10,040,931	385,748
DEFERRED INFLOWS OF RESOURCES					
Leases	89,285	-	6,556,631	6,645,916	315,881
Total deferred inflows of resources	89,285	-	6,556,631	6,645,916	315,881
NET POSITION					
Net investment in capital assets	3,393,362	59,181	9,381,383	12,833,926	418,871
Unrestricted	1,032,532	234,204	2,341,496	3,608,232	730,256
NET POSITION	\$ 4,425,894	\$ 293,385	\$ 11,722,879	\$ 16,442,158	\$ 1,149,127

The accompanying notes are an integral part of this statement.

CROOK COUNTY, OREGON
STATEMENT OF REVENUES, EXPENSES AND
CHANGES IN FUND NET POSITION
PROPRIETARY FUNDS
FOR THE YEAR ENDED JUNE 30, 2023

	Business-Type Activities - Enterprise Funds				Internal Service Fund
	Landfill	Weed Control	Airport	Totals	Facilities
OPERATING REVENUES					
Charges for services	\$ 2,626,171	\$ 191,025	\$ 2,916,543	\$ 5,733,739	\$ 1,990,806
Intergovernmental	-	10,537	299,013	309,550	483,659
Total operating revenues	2,626,171	201,562	3,215,556	6,043,289	2,474,465
OPERATING EXPENSES					
Salaries and wages	728,920	162,562	-	891,482	578,353
Materials and services	2,407,641	63,648	375,485	2,846,774	1,025,786
Depreciation	305,039	8,180	313,501	626,720	108,814
Total operating expenses	3,441,600	234,390	688,986	4,364,976	1,712,953
Operating income (loss)	(815,429)	(32,828)	2,526,570	1,678,313	761,512
NONOPERATING REVENUES/EXPENSES					
Investment earnings	101,921	5,034	58,574	165,529	26,533
Interest expense	-	-	(513,918)	(513,918)	(181,400)
Total nonoperating revenues/expenses	101,921	5,034	(455,344)	(348,389)	(154,867)
Income before transfers	(713,508)	(27,794)	2,071,226	1,329,924	606,645
Transfers out	-	-	(35,441)	(35,441)	-
Total nonoperating transfers	-	-	(35,441)	(35,441)	-
Changes in net position	(713,508)	(27,794)	2,035,785	1,294,483	606,645
Net Position - beginning	5,139,402	321,179	9,687,094	15,147,675	542,482
Net Position - ending	\$ 4,425,894	\$ 293,385	\$ 11,722,879	\$ 16,442,158	\$ 1,149,127

The accompanying notes are an integral part of this statement.

CROOK COUNTY, OREGON
STATEMENT OF CASH FLOWS
PROPRIETARY FUNDS
FOR THE YEAR ENDED JUNE 30, 2023

	<u>Business-Type Activities - Enterprise Funds</u>				<u>Internal Service Fund</u>
	<u>Landfill</u>	<u>Weed Control</u>	<u>Airport</u>	<u>Total</u>	<u>Facilities</u>
Cash flows from operating activities					
Receipts from customers	\$ 2,702,247	\$ 200,610	\$ 2,891,768	\$ 5,794,625	\$ 2,109,096
Payments to suppliers	(1,606,252)	(59,994)	(371,485)	(2,037,731)	(1,138,618)
Payments to employees	(722,603)	(160,640)	-	(883,243)	(582,333)
Net cash (used) by operating activities	<u>373,392</u>	<u>(20,024)</u>	<u>2,520,283</u>	<u>2,873,651</u>	<u>388,145</u>
Cash flows from noncapital financing activities					
Transfers from (to) other funds	-	-	(35,441)	(35,441)	-
Cash flows from capital and related financing activities					
Purchase of capital assets	(259,140)	-	(162,281)	(421,421)	-
Net cash provided (used) by capital and related financing activities	<u>(259,140)</u>	<u>-</u>	<u>(162,281)</u>	<u>(421,421)</u>	<u>-</u>
Cash flows from investing activities					
Payment of bond principal	-	-	(150,000)	(150,000)	-
Interest received	101,821	5,034	58,574	165,429	21,626
Interest paid	-	-	(513,289)	(513,289)	(181,400)
Net cash provided (used) by investing activities	<u>101,821</u>	<u>5,034</u>	<u>(604,715)</u>	<u>(497,860)</u>	<u>(159,774)</u>
Net increase (decrease) in cash	<u>216,073</u>	<u>(14,990)</u>	<u>1,717,846</u>	<u>1,918,929</u>	<u>228,371</u>
Cash and cash equivalents - beginning	<u>5,005,939</u>	<u>276,607</u>	<u>1,302,249</u>	<u>6,584,795</u>	<u>897,585</u>
Cash and cash equivalents - ending	<u>\$ 5,222,012</u>	<u>\$ 261,617</u>	<u>\$ 3,020,095</u>	<u>\$ 8,503,724</u>	<u>1,125,956</u>
Reconciliation of operating income to net cash provided by operating activities					
Operating income (loss)	<u>(815,429)</u>	<u>(32,828)</u>	<u>2,526,570</u>	<u>1,678,313</u>	<u>761,512</u>
Adjustments to reconcile operating income to net cash provided by operating					
Depreciation	305,039	8,180	313,501	626,720	108,814
Change in lease receivable	-	-	304,498	304,498	-
Change in accounts receivable	76,076	(952)	(226,774)	(151,650)	(2,678)
Change in accounts payable	(556,535)	3,654	4,000	(548,881)	(14,218)
Change in deferred leases	-	-	(401,512)	(401,512)	-
Change in deferred revenue	-	-	-	-	(362,691)
Change in lease liabilities	-	-	-	-	(98,614)
Change in accrued compensated absences	6,317	1,922	-	8,239	(3,980)
Change in closure/postclosure	1,357,924	-	-	1,357,924	-
Total adjustments	<u>1,188,821</u>	<u>12,804</u>	<u>(6,287)</u>	<u>1,195,338</u>	<u>(373,367)</u>
Net cash provided by operating activities	<u>\$ 373,392</u>	<u>\$ (20,024)</u>	<u>\$ 2,520,283</u>	<u>\$ 2,873,651</u>	<u>\$ 388,145</u>

The accompanying notes are an integral part of this statement.

CROOK COUNTY
STATEMENT OF FIDUCIARY ASSETS
CUSTODIAL FUNDS
AT JUNE 30, 2023

ASSETS

Cash and investments	\$ 341,078
Accounts receivable	<u>4,586</u>

TOTAL ASSETS	<u><u>\$ 345,664</u></u>
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LIABILITIES

Accounts payable	\$ 145,112
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NET POSITION

Restricted for taxing districts- Due to taxing districts	<u>200,552</u>
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Total LIABILITIES AND NET POSITION	<u><u>\$ 345,664</u></u>
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The accompanying notes are an integral part of this statement.

CROOK COUNTY, OREGON
STATEMENT OF CHANGES IN FIDUCIARY NET POSITION
CUSTODIAL FUNDS
FOR THE YEAR ENDED JUNE 30, 2023

ADDITIONS	<u>Custodial Funds</u>
Investment earnings	\$ 26,291
Property tax collections	64,386,412
Miscellaneous	<u>725,524</u>
TOTAL ADDITIONS	<u>65,138,227</u>
DEDUCTIONS	
Materials and services	206,210
Property tax distributions	<u>64,990,714</u>
TOTAL DEDUCTIONS	<u>65,196,924</u>
CHANGE IN NET POSITION	(58,697)
NET POSITION HELD - BEGINNING	<u>259,249</u>
NET POSITION HELD - ENDING	<u><u>\$ 200,552</u></u>

The accompanying notes are an integral part of this statement.

CROOK COUNTY, OREGON

NOTES TO BASIC FINANCIAL STATEMENTS

CROOK COUNTY, OREGON
NOTES TO THE BASIC FINANCIAL STATEMENTS

(1) Summary of Significant Accounting Policies

A. Description of Reporting Entity

The accompanying financial statements present the activities of Crook County (the County), and its one component unit, a legally separate organization for which the County is considered to be financially accountable. Financial accountability is defined as appointment of a voting majority of the component unit's governing board, and (a) the ability to impose its will on the organization or (b) the organization provides a financial benefit to, or imposes as specific financial burden on, the primary government. Component units may either be blended in to the County's operations or reported discretely in a separate column based on the closeness of the relationship to the County.

The County Court, consisting of a County Judge and two Commissioners elected at-large, serves as the governing board for the County and for the component unit.

Blended Component Units

Agricultural Extension Service District

Agricultural Extension Service District (the District), the County's component unit, furnishes support staff and a program coordinator for Oregon State University Extension Service. It issues separate financial statements which are available in the Crook County Finance Department. The County Court is financially accountable for the District.

Crook County Road Agency

Crook County Road Agency (the Agency), the County's component unit, receives and distributes U.S. Forest Service Secure Rural School funds for road construction and all other necessary or appropriate functions. The County Court is financially accountable for the District.

Other Component Units

There are other districts within the County that have not been included as component units of the County. The County Court appoints the boards of special road districts and vector districts; however, the County Court does not exercise any administrative or financial control. These districts are autonomous Oregon municipal corporations and are not considered component units of Crook County.

B. Government-Wide and Fund Financial Statements

Government-Wide Statements

The statement of net position and the statement of activities display information about the primary government (the County) and its component unit. These statements include the financial activities of the overall government, except for fiduciary activities. Eliminations have been made to minimize the double-counting of internal activities. These statements distinguish between the *governmental* and *business-type activities* of the County. Governmental activities generally are financed through taxes, intergovernmental revenues and other non-exchange transactions. Business-type activities are financed in whole or in part by fees charged to external parties.

The statement of activities presents a comparison between direct expenses and program revenues for the different business-type activities of the County and for each function of the County's governmental activities. Direct expenses are those that are specifically associated with a program or function and, therefore, are clearly identifiable to a particular function. Program revenues include (a) fees, fines and charges paid by the recipients of goods or services offered by the programs and (b) grants and contributions that are restricted to meeting the operational or capital requirements of a particular program. Revenues that are not classified as program revenues, including all taxes, are presented as general revenues.

CROOK COUNTY, OREGON
NOTES TO THE BASIC FINANCIAL STATEMENTS

(1) Summary of Significant Accounting Policies (continued)

Fund Financial Statements

The fund financial statements provide information about the County's funds, including its fiduciary funds and blended component units. Separate statements for each fund category *governmental*, *proprietary* and *fiduciary* are presented. The emphasis of fund financial statements is on major governmental and enterprise funds, each displayed in a separate column. All remaining governmental and enterprise funds are aggregated and reported as non-major funds.

Proprietary fund operating revenues, such as charges for services, result from exchange transactions associated with the principal activity of the fund. Exchange transactions are those in which each party receives and gives up essentially equal values. Non-operating revenues, such as subsidies and investment earnings, result from non-exchange transactions or ancillary activities.

GOVERNMENTAL FUNDS

General Fund: The financial resources of the general government are accounted for in the General Fund, except those that are more appropriately or are required to be, accounted for in another fund. The General Fund's primary revenue sources are property taxes, Federal and State of Oregon payments and fees for services. The major expenditure categories are general government, public safety and public health services.

Road Fund: The financial resources, primarily motor vehicle taxes received from the State of Oregon and Federal Forest Receipts, of the County's Road Department are used for the building, repair and maintenance of the County's roads, bridges, culverts, street lighting and drainage.

Community Development Fund: The financial resources are primarily from fees for services and permits with expenditures for programs for land-use planning, in-site systems, building safety and code compliance.

Sheriff's Office Fund: The financial resources are primarily from property taxes and federal and state grants with expenditures for public safety.

Jail Project Fund: This capital project fund accounts for the resources from the bonds issued in FY 2018 and the related expenditures for the construction of the County's jail.

Health Fund: The financial resources are primarily federal and state grants and similar special-purpose revenues with expenditures for health services and other services as directed by each grant.

Reserve Fund: This fund accumulates resources for long-term projects as determined by the County Court.

Capital Project Fund: The financial resources are primarily bond proceeds with expenditures for construction of a new Justice Center.

The County reports the following enterprise funds, two of which are major:

Landfill: This fund accounts for the operations of the County's sanitary landfill.

Airport: This fund accounts for assets and certain activity at the local airport which are jointly owned by the County and the City of Prineville and currently operated by the City. The City and County are parties to an intergovernmental agreement for City operations of the airport

Weed Control (nonmajor fund): Charges for services provide funding for weed control.

CROOK COUNTY, OREGON
NOTES TO THE BASIC FINANCIAL STATEMENTS

(1) Summary of Significant Accounting Policies (continued)

The County reports the following internal service fund:

Facilities: This internal service fund accounts for facilities services provided to other County departments on a cost recovery basis.

The County also reports the following custodial fund type in its financial statements:

Custodial Fund: These funds account for monies held on behalf of school districts, special districts and retirement boards that use the County as a depository; property taxes collected on behalf of other governments; and surety bonds and performance deposits.

C. Measurement Focus, Basis of Accounting and Financial Statement Presentation

Government-wide, Proprietary, and Fiduciary Fund Financial Statement: The government-wide, proprietary, and fiduciary fund financial statements are reported using the economic resources measurement focus and the accrual basis of accounting. Revenues are recorded when earned and expenses are recorded at the time liabilities are incurred, regardless of when the related cash flows take place. Non exchange transactions, in which the County gives (or receives) value without directly receiving (or giving) equal value in exchange, include property taxes, grants, entitlements and donations. On an accrual basis, revenue from property taxes is recognized in the fiscal year for which the taxes are levied. Revenue from grants, entitlements and donations is recognized in the fiscal year in which all eligibility requirements have been satisfied.

Measurement focus refers to “what” is being measured by a fund. Basis of accounting refers to “when” revenues, expenditures/expenses are recognized in the accounts and reported in the financial statements. Basis of presentation refers to the application of measurement focus and basis of accounting to financial statement types.

Government-wide, Proprietary and Fiduciary Fund Financial Statements

Governmental Fund Financial Statements: Governmental funds are reported using the current financial resources measurement focus and the modified accrual basis of accounting. Under this method, revenues are recognized when measurable and available. The County considers all revenues reported in the governmental funds to be available if the revenues are collected within sixty days after year-end. Property taxes, sales taxes, franchise taxes, licenses and interest are considered to be susceptible to accrual. Expenditures are recorded when the related fund liability is incurred, except for principal and interest on general long-term debt, claims and judgments, and compensated absences, which are recognized as expenditures to the extent they have matured. Capital asset acquisitions are reported as expenditures in governmental funds. Proceeds of general long-term debt and financing from capital leases are reported as other financing sources.

Government-wide, proprietary and fiduciary fund statements are accounted for using the economic resources measurement focus, whereby all assets, deferred outflows of resources, liabilities and deferred inflows of resources are included in the Statement of Net Position. {see the rest in Lane County]

D. Cash, Cash Equivalents, and Investments

State statutes authorize the County to invest in obligations of the U.S. Treasury, certificates of deposit, U.S. government agency securities, instrumentalities of U.S. government-sponsored corporations, commercial paper, bankers’ acceptances, repurchase agreements and the State of Oregon Treasurer’s Local Government Investment Pool (LGIP). Additionally, Oregon Revised Statutes require that deposits be made with approved depository banks. Local Government Investment Pool balances are backed by the full faith and credit of the State of Oregon.

(1) Summary of Significant Accounting Policies (continued)

The County maintains a cash and investment pool for all of the County's funds. Monies within the cash and investment pool are identified by fund and by type. Interest earned on the cash and investment pool is allocated to the individual funds based on the individual fund's average cash balance for the period in which the interest was earned. For the *Statement of Cash Flow* purposes, the County considers "cash" to include the pooled cash and investments. The cash and investment pool possesses the general characteristics of a demand deposit account since the cash and investment pool has sufficient liquidity in that any fund may deposit or withdraw cash at any time without notice or penalty.

E. Receivables and Payables

Real and personal property taxes receivable that are collected within 60 days after year-end are considered measurable and available, and therefore, are recognized as revenue. The remaining balance is recorded as unavailable or unearned revenue because it is not deemed available to finance the operations of the current period. Property taxes are levied and become a lien on the property as of July 1. Taxes are payable in three installments on November 15, February 15 and May 15. Taxes unpaid as of May 16 are considered delinquent. All property taxes are billed and collected by the County.

Grant proceeds are recorded as revenue in the period in which qualified program expenditures are incurred. Franchise fees and transient room taxes are recorded as revenue in the period in which they are earned, provided they are remitted to the County within 60 days after year-end.

All governmental type accounts receivable, property taxes, grants, notes, assessments and other receivables are shown net of an allowance for uncollectible accounts, and as of June 30, 2023, no uncollectible amounts are anticipated or have been recognized by management.

F. Supply Inventories and Prepaids

Inventories, consisting primarily of road department rock and gravel, are valued at cost using the first-in/first-out (FIFO) method. The costs of governmental fund-type inventories are recorded as expenditures when purchased.. Certain payments to vendors reflect costs applicable to future accounting periods and are recorded as prepaid items.

G. Capital Assets and Depreciation

Capital assets include property, plant, equipment, and infrastructure assets (e.g. roads, bridges, culverts, etc.). Capital assets are reported in the government-wide financial statements. In the governmental funds statements, capital assets are charged to expenditures as purchased. Donated fixed assets are recorded at their estimated fair value at the date of donation. General infrastructure assets acquired prior to July 1, 2011, consist of the road network assets that were acquired or that received substantial improvements subsequent to July 1, 1980, and are reported at estimated historical cost using deflated replacement cost. The cost of normal maintenance and repairs that do not add to the value of the asset or materially extend assets' lives are not capitalized.

Capital assets are defined by the County as assets with an initial, individual cost of \$5,000 or more, and having useful lives extending beyond a single reporting period. Additions or improvements and other capital outlays that significantly extend the useful life of an asset, or that significantly increase the capacity of an asset are capitalized. Other costs incurred for repairs and maintenance are expensed as incurred.

(1) Summary of Significant Accounting Policies (continued)

Depreciation of exhaustible assets is recorded as an allocated expense in the Statement of Activities with accumulated depreciation reflected in the Statement of Net Position and is provided on the straight-line basis over the following estimated useful lives:

<u>ASSET</u>	<u>YEARS</u>
Buildings & Improvements	40-50
Roads and Infrastructure	50
Equipment and Vehicles	10
Landfill Cells	50

H. Deferred Outflows/Inflows of Resources

In addition to assets, the Statement of Net Position reports a separate section for deferred outflows of resources. This separate financial statement element, deferred outflows of resources, represents a consumption of net position that applies to a future period(s), and so will not be recognized as an outflow of resources (expense/expenditure) until then.

In addition to liabilities, the Statement of Financial Position reports a separate section for deferred inflows of resources. This separate financial statement element represents an acquisition of net position that applies to a future period(s) and so will not be recognized as an inflow of resources (revenue) until that time.

I. Interfund Transactions

Payments between funds – reimbursements when one fund incurs a cost and then charges the appropriate benefiting fund – are considered transfers in and transfers out respectively.

Payments to county component units are budgeted as Special payments and on the financial statements are treated as a transfer as they are offsetting payments.

J. Subscription Assets and Subscription Liabilities

Subscription assets are assets in which the government obtains control of the right to use the underlying IT asset. The value of the subscription asset is initially measured as the sum of the initial subscription liability amount, any payments made to the IT software vendor before commencement of the subscription term, and any capitalizable implementation costs, less any incentives received from the SBITA vendor at or before the commencement of the subscription term. The subscription asset is amortized in a straight-line manner over the course of the subscription term.

In the government-wide financial statements, subscription liabilities are reported as liabilities in the Statement of Net Position. In the governmental fund financial statements, the present value of subscription payments expected to be made during the subscription term is reported as other financing sources. The subscription liability is initially measured at the present value of subscription payments expected to be made during the subscription term. Future subscription payments are discounted using the interest rate the SBITA vendor charges the government, which may be implicit, or the government’s incremental borrowing rate if the interest rate is not readily determinable. Amortization of the discount on the subscription liability is recognized as an outflow of resources (for example, interest expense) in subsequent financial reporting periods.

(1) Summary of Significant Accounting Policies (continued)

K. Leased Assets and Lease Liabilities

Leased assets are assets which the County leases for a term of more than one year. The value of the leases is determined by the net present value of the leases at the government's incremental borrowing rate at the time of the lease agreement, amortized over the term of the agreement

In the government-wide financial statements, leases payable are reported as liabilities in the Statement of Net Position. In the governmental fund financial statements, the present value of lease payments is reported as other financing sources.

L. Long-Term Debt

In the government-wide financial statements, long-term debt and other long-term obligations are reported as liabilities in the Statement of Net Position. Bond premiums and discounts are deferred and amortized over the life of the bonds. Bonds payable are reported net of the applicable bond premium or discount. Bond issuance costs are treated as period costs in the year of issue and are shown as other financial uses.

In the fund financial statements, governmental fund types recognize bond premiums and discounts, as well as bond issuance costs during the current period.

M. Compensated Absences

The liability for compensated absences reported in the government-wide and proprietary fund statements consists of unpaid, accumulated annual and sick leave balances. The liability has been calculated using the vesting method, in which leave balances for employees who currently are eligible to receive termination payments and for other employees who are expected to become eligible in the future to receive such payments upon termination are included.

N. Retirement Plans

Only employees of the County's law enforcement departments are participants in the State of Oregon Public Employees Retirement System (PERS). For the purpose of measuring the net pension liability, deferred outflows of resources and deferred inflows of resources related to pensions, and pension expense, information about fiduciary net position of PERS and additions to/deductions from PERS's fiduciary net position have been determined on the same basis as they are reported by PERS. For this purpose, benefit payments (including refunds of employee contributions) are recognized when due and payable in accordance with the benefit terms. Investments are reported at fair value. GASB Statements 68 and 71 have been implemented as of July 1, 2014.

O. Use of Estimates

The preparation of the financial statements in conformity with accounting principles generally accepted in the United States of America require management to make estimates and assumptions that affect the amounts reported in the financial statements and accompanying notes. Actual results may differ from those estimates.

P. Net Position

Net position is comprised of net earnings from operations, nonoperating revenues, expenses and contributions of capital. Net position is classified in the following three categories:

(1) **Summary of Significant Accounting Policies (continued)**

Net Investment in Capital Assets – consists of capital assets, net of accumulated depreciation and reduced by any outstanding balances of any bonds or other borrowings that are attributable to the acquisition, construction, or improvement of those assets.

Restricted – consists of external constraints placed on asset use by creditors, grantors, contributors, or laws or regulations of other governments or constraints imposed by law through constitutional provisions or enabling legislation. A portion of Net Position is restricted for highways and streets and grant programs..

Unrestricted net position – consists of all other assets, deferred outflows of resources, less liabilities and deferred inflows of resources that are not included in the other categories previously mentioned.

Sometimes the County will fund outlays for a particular purpose from both restricted and unrestricted resources. In order to calculate the amounts to report as restricted net position and unrestricted net position in the government-wide financial statements, a flow assumption must be made about the order in which the resources are considered to be applied. It is the County's policy to consider restricted net position to have been depleted before unrestricted net position is applied.

Q. Fund Balance

In March 2009, the GASB issued Statement No. 54, *Fund Balance Reporting and Governmental Fund-type Definitions*. The objective of this statement is to enhance the usefulness of fund balance information by providing clearer fund balance classifications that can be more consistently applied and by clarifying the existing governmental fund-type definitions.

This statement establishes fund balance classifications that comprise a hierarchy based primarily on the extent to which a government is bound to observe constraints imposed on the use of the resources reported in governmental funds. Under this standard, the fund balance classifications of reserved, designated, and unreserved/undesignated were replaced with five new classifications – nonspendable, restricted, committed, assigned, and unassigned.

- Nonspendable fund balance represents amounts that are not in a spendable form. The nonspendable fund balance represents inventories and prepaid items.
- Restricted fund balance represents amounts that are legally restricted by outside parties for a specific purpose (such as debt covenants, grant requirements, donor requirements, or other governments) or are restricted by law (constitutionally or by enabling legislation).
- Committed fund balance represents funds formally set aside by the governing body for a particular purpose. The use of committed funds would be approved by resolution.
- Assigned fund balance represents amounts that are constrained by the expressed intent to use resources for specific purposes that do not meet the criteria to be classified as restricted or committed. Intent can be stipulated by the governing body or by an official to whom that authority has been given by the governing body. To date, the Board has not delegated that authority to any other government officials.
- Unassigned fund balance is the residual classification of the General Fund. Only the General Fund may report a positive unassigned fund balance. Other governmental funds would report any negative residual fund balance as unassigned.

(1) Summary of Significant Accounting Policies (continued)

The County has approved the following order of spending regarding fund balance categories: Restricted, Committed, Assigned, Unassigned.

R. Fair Value Inputs and Methodologies and Hierarchy

Fair value is defined as the price that would be received to sell an asset or paid to transfer a liability in an orderly transaction between market participants at the measurement date. Observable inputs are developed based on market data obtained from sources independent of the reporting entity. Unobservable inputs are developed based on the best information available about the assumptions market participants would use in pricing the asset. The classification of securities within the fair value hierarchy is based up on the activity level in the market for the security type and the inputs used to determine their fair value, as follows:

- Level 1 – unadjusted price quotations in active markets/exchanges for identical assets or liabilities that each Fund has the ability to access
- Level 2 – other observable inputs (including, but not limited to, quoted prices for similar assets or liabilities in markets that are active, quoted prices for identical or similar assets or liabilities in markets that are not active, inputs other than quoted prices that are observable for the assets or liabilities (such as interest rates, yield curves, volatilities, loss severities, credit risks and default rates) or other market–corroborated inputs)
- Level 3 – unobservable inputs based on the best information available in the circumstances, to the extent observable inputs are not available (including each Fund’s own assumptions used in determining the fair value of investments)

The hierarchy gives the highest priority to unadjusted quoted prices in active markets for identical assets or liabilities (Level 1 measurements) and the lowest priority to unobservable inputs (Level 3 measurements). Accordingly, the degree of judgment exercised in determining fair value is greatest for instruments categorized in Level 3. The inputs used to measure fair value may fall into different levels of the fair value hierarchy. In such cases, for disclosure purposes, the fair value hierarchy classification is determined based on the lowest level input that is significant to the fair value measurement in its entirety.

(2) Stewardship, Compliance, and Accountability

A. Budget Requirements, Compliance, and Accountability

Budgets are prepared on the modified accrual basis for all funds, except for the Fiduciary Fund, all of which are agency funds that account for "pass-through" transactions. The County adopts annual budgets for each of its funds, and sub-funds as determined appropriate and as required by state law. The resolution, authorizing appropriations for each fund, sets the level by which expenditures cannot lawfully exceed appropriations. The levels of control established by the resolution are: by department/division in the General Fund, Sherriff’s Office and Community Development Fund and by personnel services, materials and services, debt service, capital outlay and transfers out in the remaining funds. The County's published budget contains more specific detailed information for the above mentioned expenditure categories. Unexpected additional resources may be added to the budget through the use of a supplemental budget and appropriation resolution. Original and supplemental budgets may be modified by the use of appropriation transfers between the levels of control. Such transfers require approval of the County Court. Appropriations lapse at year-end.

CROOK COUNTY, OREGON
 NOTES TO THE BASIC FINANCIAL STATEMENTS

(2) Stewardship, Compliance, and Accountability (continued)

The County adopted resolutions for appropriation transfers which amended the fiscal year 2023 original budget. Expenditures of the various funds were within authorized appropriations except for the Mental Health A&D and Development Disabilities fund where Materials and Services were overexpended by \$107,796, and the Fairgrounds Operations Fund where Personnel Services were overexpended by \$2,311.

(3) Cash and Cash Equivalents

Cash management policies are governed by state statutes. Pooled cash is utilized to manage cash and investments for all funds. Each fund type’s portion of this pool is reported on the combined balance sheet as Cash and Cash Equivalents. Cash and Investments consisted of:

Deposits With Financial Institutions	
Demand Deposits	\$ 7,416,643
Investments	<u>89,161,196</u>
Total Cash and Investments	<u><u>96,577,839</u></u>
Governmental	87,733,037
Proprietary	8,503,724
Fiduciary	<u>341,078</u>
Total Cash and Investments	<u><u>96,577,839</u></u>

Participants' equity in the pool is determined by the amount of participant deposits, adjusted for withdrawals and distributed income. Amortized discounts and premiums, accrued interest and realized gains and losses, net of expenses are distributed on a monthly basis to participants' account balances based on the participants' average monthly cash balance in relation to total monthly average pool investments. This method differs from the fair value method used to value investments in these financial statements because the amortized cost method is not designed to distribute to participants all unrealized gains and losses in the fair values of the pool's investments.

A. Deposits

Deposits with financial institutions are comprised of demand checking accounts. Effective July 1, 2008, the State of Oregon formed the Oregon Public Funds Collateralization Program under ORS 295. The collateralization program creates a state-wide pool of qualified bank depositories for local governments, providing collateralization for bank balances that exceed the limits of Federal Depository Insurance Corporation (FDIC), and eliminating the need for certificates of participation. As of June 30, 2023, the County had a total bank balance of \$10,111,882 of which \$250,000 was covered by FDIC and the NCUA, with the remaining amount collateralized by the Oregon Public Collateralization Program.

B. Investments

Investments in the Local Government Investment Pool (LGIP) are included in the Oregon Short-Term Fund, which is an external investment pool that is not a 2a-7-like external investment pool, and is not registered with the U.S. Securities and Exchange Commission as an investment company. Fair value of the LGIP is calculated at the same value as the number of pool shares owned. The unit of account is each share held, and the value of the position would be the fair value of the pool’s share price multiplied by the number of shares held. Investments in the Short-Term Fund are governed by ORS 294.135, Oregon Investment Council, and portfolio guidelines issued by the

CROOK COUNTY, OREGON
 NOTES TO THE BASIC FINANCIAL STATEMENTS

(3) Cash and Cash Equivalents (continued)

Oregon Short-Term Fund Board, which establish diversification percentages and specify the types and maturities of investments. The portfolio guidelines permit securities lending transactions as well as investments in repurchase agreements and reverse repurchase agreements. The fund appears to be in compliance with all portfolio guidelines at June 30, 2023. The LGIP seeks to exchange shares at \$1.00 per share; an investment in the LGIP is neither insured nor guaranteed by the FDIC or any other government agency. Although the LGIP seeks to maintain the value of share investments at \$1.00 per share, it is possible to lose money by investing in the pool. We have measured these investments at book value since it materially approximates fair value. The pool is comprised of a variety of investments. These investments are characterized as a level 2 fair value measurement in the Oregon Short Term Fund’s audited financial report. As of June 30, 2023, the fair value of the position in the LGIP is 99.63 percent of the value of the pool shares as reported in the Oregon Short Term Fund audited financial statements. Amounts in the State Treasurer’s Local Government Investment Pool are not required to be collateralized.

As of June 30, 2023, the County had the following investments:

Investment Type	Investment Maturities (in months)			
	Fair Value	Less than 3	3-18	More than 18
US Government Agencies/Treasury Bonds	\$ 54,628,166	\$14,938,522	\$ 26,343,810	\$ 13,345,834
Corporate Bonds	4,368,970	-	-	4,368,970
Municipal Bonds	2,829,154	-	-	2,829,154
State Treasurer's LGIP	27,334,906	-	-	-
Total	\$ 89,161,196	\$14,938,522	\$ 26,343,810	\$ 20,543,958

C. Interest Rate Risk

Oregon Revised Statutes require investments to not exceed a maturity of 18 months, except when the local government has adopted a written investment policy that was submitted to and reviewed by the OSTFB. The County has a written investment policy approved by the OSTFB, which allows for maturities of up to five years.

D. Custodial Credit Risk

Custodial credit risk is the risk that deposits with a financial institution may not be returned to the County. The County’s policy, in compliance with state statutes, requires that bank deposits be covered by FDIC and deposited in a financial institution that is qualified in the Oregon Public Funds Collateralization Program. Additionally, deposits in the LGIP are administered by the Oregon State Treasury with the advice of other state agencies and is not rated or registered with the U.S. Securities and Exchange Commission.

The LGIP is an open-ended, no-load diversified portfolio offered to any agency, political subdivision, or public corporation of the state that by law is made the custodian of, or has control of any public funds. The LGIP is commingled with the State of Oregon’s short-term funds. In seeking to best serve local governments of Oregon, the Oregon Legislature established the Oregon Short-term Fund Board (OSTFB). The purpose of the OSTFB is to advise the Oregon State Treasury in the management and investment of the LGIP.

The OSTFB established portfolio diversification percentages based on the types and maturities of investments. LGIP must manage and invest its funds as a prudent investor would, exercising reasonable care, skill and caution. Professional standards indicate that the investments in external investment pools are not subject to custodial risk because they are not evidenced by securities that exist in physical or book entry form. Nevertheless, management does not believe that there is any substantial custodial risk related to investments in the LGIP. A copy of the State’s

CROOK COUNTY, OREGON
 NOTES TO THE BASIC FINANCIAL STATEMENTS

(3) Cash and Cash Equivalents (continued)

Annual Comprehensive Financial Report may be obtained at <http://www.ost.state.or.us/>.

E. Concentration of Credit Risk

To avoid incurring unreasonable risks inherent to over-investing in specific instruments or in individual financial institutions, the LGIP investment policy sets maximum limits on the percentage of the portfolio that can be invested in any one type of security. At June 30, 2023, there was compliance with all percentage restrictions. Amounts in the State Treasurer’s Local Government Investment Pool are not required by law to be collateralized.

F. Investment Policy

The County's investment policy has been approved by the County Court and specifies the County's investment objectives, required diversification, certain limitations and reporting requirements. These requirements limit the pool's investment by type as follows:

<u>Investment Type</u>	<u>Percent of Portfolio</u>
US Government Agency Securities and Instruments	100%
US Government Treasury Obligations	100%
Municipal Bonds (OR, CA, ID, WA)	25%
Combined Corporate Bonds & Commercial Paper	35%
Bank Time Deposits/Savings Accounts	20%
Bankers' Acceptance	10%
Certificates of Deposit	10%
	Maximum allowed
Oregon LGIP	per ORS 294.810

(4) Property Taxes

Crook County makes assessments of property value, and levies and collects the taxes for the County and all other taxing districts within the County. Assessments of property values are as of January 1 of the preceding fiscal year. Taxes levied are a lien on the properties as of July 1 of each year. Taxes are due November 15 and a 3% discount is allowed for payment at this time. Uncollected taxes, including delinquent amounts, are deemed to be substantially collectible or recoverable through liens.

(5) Interfund Transfers and Balances Due to/from Other Funds

Cash transfers are indicative of funding for capital projects, debt service, subsidies of various County operations, and re-allocations of special revenues. The County had a balance of \$421,992 in the Mental Health A&D and Development Disabilities Fund and a balance of \$1,847 in the Crooked River Watershed Fund due to the General Fund. The County expects repayment of these advances through budgeted transfers in the next fiscal year. Transfers are netted on the Statement of Activities as required by GASB 34. The following schedule briefly summarizes the County's transfer activity for the year ended June 30, 2023:

CROOK COUNTY, OREGON
 NOTES TO THE BASIC FINANCIAL STATEMENTS

(5) Interfund Transfers and Balances Due to/from Other Funds (continued)

<u>Fund</u>	<u>Transfers In</u>	<u>Transfers Out</u>
General	\$ -	\$ (1,141,700)
Sheriff's Office	8,791	-
Health	731,000	-
Other Governmental Funds	576,141	(138,791)
Airport Fund	-	(35,441)
	<u>\$ 1,315,932</u>	<u>\$ (1,315,932)</u>

(6) Capital Assets

Capital asset activity for governmental activities for the year ended June 30, 2023 is as follows:

	<u>Beginning Balance</u>	<u>Additions</u>	<u>Deletions</u>	<u>Ending Balance</u>
<u>Governmental Activities</u>				
Capital assets not being depreciated				
Land	\$ 5,981,348	\$ -	\$ -	\$ 5,981,348
Construction in progress	683,547	14,674,040	(58,045)	15,299,542
Total capital assets not being depreciated	<u>6,664,895</u>	<u>14,674,040</u>	<u>(58,045)</u>	<u>21,280,890</u>
Capital assets being depreciated				
Buildings	37,943,334	962,300	-	38,905,634
Equipment and vehicles	10,914,342	1,414,599	(6,100)	12,322,841
Roads and infrastructure	6,244,948	424,279	-	6,669,227
Intangibles	444,978	-	-	444,978
Total capital assets being depreciated	<u>55,547,602</u>	<u>2,801,178</u>	<u>(6,100)</u>	<u>58,342,680</u>
Accumulated depreciation				
Buildings and improvements	(15,530,303)	(781,670)	-	(16,311,973)
Equipment and vehicles	(8,795,246)	(568,934)	6,100	(9,358,080)
Roads and infrastructure	(2,219,125)	(135,506)	-	(2,354,631)
Intangibles	(149,838)	(83,797)	-	(233,635)
Total accumulated depreciation	<u>(26,694,512)</u>	<u>(1,569,907)</u>	<u>6,100</u>	<u>(28,258,319)</u>
Net capital assets being depreciated	<u>28,853,090</u>	<u>1,231,271</u>	<u>-</u>	<u>30,084,361</u>
Governmental activities capital assets, net	<u>\$ 35,517,985</u>	<u>\$ 15,905,311</u>	<u>\$ (58,045)</u>	<u>\$ 51,365,251</u>

CROOK COUNTY, OREGON
 NOTES TO THE BASIC FINANCIAL STATEMENTS

(6) Capital Assets (continued)

Depreciation expense for governmental activities is charged to functions as follows:

General government	\$ 484,068
Highways and street	150,186
Public safety	528,891
Health and welfare	274,555
Culture and recreation	132,207
Total governmental activities and depreciation	<u>\$ 1,569,907</u>

Capital asset activity for Business-type activities for the year ended June 30, 2023 is as follows:

	<u>Beginning</u>				<u>Ending</u>
Business-type activities	Balance	Additions	Reclasses	Dispositions	Balance
Capital assets not being depreciated					
Land - Landfill	\$ 420,370	\$ -	\$ -	\$ -	\$ 420,370
Construction in progress - Landfill	41,600	-	-	(41,600)	-
Construction in progress - Airport	<u>2,732,075</u>	<u>68,612</u>	<u>(2,800,687)</u>	<u>-</u>	<u>-</u>
Total capital assets not being depreciated	<u>3,194,045</u>	<u>68,612</u>	<u>(2,800,687)</u>	<u>(41,600)</u>	<u>420,370</u>
Capital assets being depreciated					
Buildings and improvements - Landfill	1,513,489	-	-	-	1,513,489
Equipment and vehicles - Landfill	3,543,467	300,740	-	-	3,844,207
Landfill cells	1,150,721	-	-	-	1,150,721
Intangibles - Landfill	65,785	-	-	-	65,785
Buildings and improvements - Airport	14,762,683	93,669	2,800,687	-	17,657,039
Equipment - Weed Control	<u>130,598</u>	<u>-</u>	<u>-</u>	<u>-</u>	<u>130,598</u>
Total capital assets being depreciated	<u>21,166,744</u>	<u>394,409</u>	<u>2,800,687</u>	<u>-</u>	<u>24,361,840</u>
ACCUMULATED DEPRECIATION					
Buildings and Improvements - Landfill	(324,064)	(38,410)	-	-	(362,474)
Equipment and vehicles - Landfill	(2,360,880)	(205,165)	-	-	(2,566,045)
Landfill cells	(604,601)	(54,886)	-	-	(659,487)
Buildings and Improvements - Airport	(2,360,957)	(313,502)	-	-	(2,674,459)
Equipment - Weed Control	(63,238)	(8,180)	-	-	(71,418)
Intangibles - Landfill	<u>(6,579)</u>	<u>(6,579)</u>	<u>-</u>	<u>-</u>	<u>(13,158)</u>
Total accumulated depreciation	<u>(5,720,318)</u>	<u>(626,722)</u>	<u>-</u>	<u>-</u>	<u>(6,347,040)</u>
Business-type activities capital assets, net	<u>\$ 18,640,471</u>	<u>\$ (163,701)</u>	<u>\$ -</u>	<u>\$ (41,600)</u>	<u>\$ 18,435,170</u>

CROOK COUNTY, OREGON
 NOTES TO THE BASIC FINANCIAL STATEMENTS

(7) **Debt**

Governmental Activities

A. Changes in noncurrent liabilities

Long-term liability activity of the governmental activities for the year ended June 30, 2023 was as follows:

Government Activities	Amount of Original Issue	Interest Rates	Beginning Balance	Additions	Reductions	Ending Balance	Due Within One Year
Bonds:							
Full Faith & Credit 2017	\$ 3,635,000	3-4%	\$ 3,410,000	\$ -	\$ 45,000	\$ 3,365,000	50,000
General Obligation 2017	10,000,000	3-5%	9,670,000	-	110,000	9,560,000	135,000
Full Faith & Credit 2022	33,698,310	5%	33,698,310	-	-	33,698,310	-
Total	<u>\$ 47,333,310</u>		46,778,310	-	155,000	46,623,310	185,000
Premium on Bonds 2017			1,194,054	-	56,860	1,137,194	56,860
Premium on Bonds 2022			8,506,713	-	340,268	8,166,445	340,269
Compensated Absences			933,618	274,826	255,184	953,260	953,260
Total Long-Term Liabilities			<u>\$ 57,412,695</u>	<u>\$ 274,826</u>	<u>\$ 807,312</u>	<u>\$ 56,880,209</u>	<u>\$ 1,535,389</u>

All the bonds noted above contain a provision stating that in the event of default, the majority Owners of the Bonds may take whatever action at law or in equity to enforce the Financing Agreement or protect the rights of the Owner. However, upon default the unpaid principal components will not become immediately due and payable.

Long-term liability activity of the business-type activities for the year ended June 30, 2023 was as follows:

Business-type Activities	Amount of Original Issue	Interest Rate	Beginning Balance	Additions	Reductions	Ending Balance	Due Within One Year
Bond							
Full Faith & Credit, 2018	\$ 6,080,000	3.5%	\$ 5,795,000	\$ -	\$ (150,000)	\$ 5,645,000	155,000
Discount on FF&C			(45,710)	-	1,905	(43,805)	1,905
Landfill closure and postclosure			2,924,613	1,357,924	-	4,282,537	-
Compensated absences			46,474	70,851	(62,612)	54,713	54,713
Total non-current liabilities			<u>8,720,377</u>	<u>1,428,775</u>	<u>(210,707)</u>	<u>9,938,445</u>	<u>211,618</u>

In October of 2018, the County issued \$6,080,000 in bonds to finance construction of a building and associated infrastructure at the County’s airport. The building is subject to a 20 year lease with the US Forest Service. The interest rate on the bonds is 3.5% and they mature in 2046. The discount on the bonds is \$43,805. The bond financing agreement, above contains a provision stating that in the event of default, the majority Owners of the Bonds may take whatever action at law or in equity to enforce the Financing Agreement or protect the rights of the Owner. However, upon default the unpaid principal components will not become immediately due and payable.

CROOK COUNTY, OREGON
 NOTES TO THE BASIC FINANCIAL STATEMENTS

(7) Debt (continued)

B. Future debt service requirements on long-term debt at June 30, 2023, are as follows:

Bonds (Governmental):

Year	Full Faith & Credit 2017		GO Bonds 2017		GO Bonds 2022	
	Principal	Interest	Principal	Interest	Principal	Interest
2024	50,000	134,600	135,000	460,600	-	-
2025	50,000	132,600	155,000	455,200	-	-
2026	50,000	130,600	180,000	449,000	-	-
2027	55,000	126,400	205,000	441,800	-	-
2028	55,000	128,400	235,000	431,550	426,950	2,318,300
2029-2033	320,000	596,400	1,675,000	1,978,600	3,527,148	11,477,601
2034-2038	385,000	527,600	2,740,000	1,495,250	6,531,187	10,867,313
2039-2043	465,000	444,200	4,235,000	670,250	10,677,606	9,401,519
2044-2048	575,000	343,000	-	-	12,535,419	5,471,957
2049-2053	700,000	218,000	-	-	-	-
2054-2057	660,000	67,400	-	-	-	-
	<u>\$ 3,365,000</u>	<u>\$ 2,849,200</u>	<u>\$ 9,560,000</u>	<u>\$ 6,382,250</u>	<u>\$ 33,698,310</u>	<u>\$ 39,536,690</u>

Bond (Business-Type):

Year	Full Faith and Credit 2018	
	Principal	Interest
2024	155,000	232,774
2025	160,000	227,349
2026	165,000	221,589
2027	175,000	215,484
2028	175,000	208,834
2029-2033	1,010,000	930,179
2034-2038	1,225,000	703,969
2039-2043	1,515,000	424,788
2044-2047	1,065,000	91,800
	<u>\$ 5,645,000</u>	<u>\$ 3,256,765</u>

8. Defined Benefit Pension Plan

Plan Description – The Oregon Public Employees Retirement System (PERS) consists of a single cost-sharing multiple-employer defined benefit plan. All benefits of the system are established by the legislature pursuant to Oregon Revised Statute (ORS) Chapters 238 and 238A. Oregon PERS produces an independently audited Annual Comprehensive Financial Report which can be found at:

<https://www.oregon.gov/pers/Documents/Financials/CAFR/2022-Annual-Comprehensive-Financial-Report.pdf>

If the link is expired please contact Oregon PERS for this information.

- a. **PERS Pension (Chapter 238).** The ORS Chapter 238 Defined Benefit Plan is closed to new members hired on or after August 29, 2003.

8. Defined Benefit Pension Plan (continued)

- i. **Pension Benefits.** The PERS retirement allowance is payable monthly for life. It may be selected from 13 retirement benefit options. These options include survivorship benefits and lump-sum refunds. The basic benefit is based on years of service and final average salary. A percentage (2.0 percent for police and fire employees, and 1.67 percent for general service employees) is multiplied by the number of years of service and the final average salary. Benefits may also be calculated under either a formula plus annuity (for members who were contributing before August 21, 1981) or a money match computation if a greater benefits results.

A member is considered vested and will be eligible at minimum retirement age for a service retirement allowance if he or she has had a contribution in each of five calendar years or has reached at least 50 years of age before ceasing employment with a participating employer (age 45 for police and fire members). General service employees may retire after reaching age 55. Police and fire members are eligible after reaching age 50. Tier 1 general service employee benefits are reduced if retirement occurs prior to age 58 with fewer than 30 years of service. Police and fire member benefits are reduced if retirement occurs prior to age 55 with fewer than 25 years of service. Tier 2 members are eligible for full benefits at age 60. The ORS Chapter 238 Defined Benefit Pension Plan is closed to new members hired on or after August 29, 2003.

- ii. **Death Benefits.** Upon the death of a non-retired member, the beneficiary receives a lump-sum refund of the member's account balance (accumulated contributions and interest). In addition, the beneficiary will receive a lump-sum payment from employer funds equal to the account balance, provided one or more of the following contributions are met:
- member was employed by PERS employer at the time of death,
 - member died within 120 days after termination of PERS covered employment,
 - member died as a result of injury sustained while employed in a PERS-covered job, or
 - member was on an official leave of absence from a PERS-covered job at the time of death.
- iii. **Disability Benefits.** A member with 10 or more years of creditable service who becomes disabled from other than duty-connected causes may receive a non-duty disability benefit. A disability resulting from a job-incurred injury or illness qualifies a member (including PERS judge members) for disability benefits regardless of the length of PERS-covered service. Upon qualifying for either a non-duty or duty disability, service time is computed to age 58 (55 for police and fire members) when determining the monthly benefit.
- iv. **Benefit Changes After Retirement.** Members may choose to continue participation in their variable account after retiring and may experience annual benefit fluctuations due to changes in the fair value of the underlying global equity investments of that account. Under ORS 238.360 monthly benefits are adjusted annually through cost-of-living changes (COLA). The COLA is capped at 2.0 percent.

- b. **OPSRP Pension Program (OPSRP DB).** The ORS Chapter 238A Defined Benefit Pension Program provides benefits to members hired on or after August 29, 2003.

- i. **Pension Benefits.** This portion of OPSRP provides a life pension funded by employer contributions. Benefits are calculated with the following formula for members who attain normal retirement age:

Police and fire: 1.8 percent is multiplied by the number of years of service and the final average salary. Normal retirement age for police and fire members is age 60 or age 53 with 25 years of retirement credit. To be classified as a police and fire member, the individual must have been employed continuously as a police and fire member for at least five years immediately preceding retirement.

8. Defined Benefit Pension Plan (continued)

General service: 1.5 percent is multiplied by the number of years of service and the final average salary. Normal retirement age for general service members is age 65, or age 58 with 30 years of retirement credit.

A member of the pension program becomes vested on the earliest of the following dates: the date the member completes 600 hours of service in each of five calendar years, the date the member reaches normal retirement age, and, if the pension program is terminated, the date on which termination becomes effective.

- ii. **Death Benefits.** Upon the death of a non-retired member, the spouse or other person who is constitutionally required to be treated in the same manner as the spouse, receives for life 50 percent of the pension that would otherwise have been paid to the deceased member. The surviving spouse may elect to delay payment of the death benefit, but payment must commence no later than December 31 of the calendar year in which the member would have reached 70½ years.
- iii. **Disability Benefits.** A member who has accrued 10 or more years of retirement credits before the member becomes disabled or a member who becomes disabled due to job-related injury shall receive a disability benefit of 45 percent of the member's salary determined as of the last full month of employment before the disability occurred.

Contributions – PERS funding policy provides for monthly employer contributions at actuarially determined rates. These contributions, expressed as a percentage of covered payroll, are intended to accumulate sufficient assets to pay benefits when due. The funding policy applies to the PERS Defined Benefit Plan and the Other Postemployment Benefit Plans. Employer contribution rates during the period were based on the December 31, 2019 actuarial valuation, which became effective July 1, 2021. The state of Oregon and certain schools, community colleges, and political subdivision have made unfunded actuarial liability payments and their rates have been reduced. Employer contributions for the year ended June 30, 2023 were \$621,322, excluding amounts to fund employer specific liabilities. In addition approximately \$171,998 in employee contributions were paid or picked up by the County in fiscal 2023. At June 30, 2023, the County reported a net pension liability of \$4,399,606 for its proportionate share of the net pension liability. The pension liability was measured as of June 30, 2022, and the total pension liability used to calculate the net pension liability was determined by an actuarial valuation dated December 31, 2020. The County's proportion of the net pension liability was based on a projection of the County's long-term share of contributions to the pension plan relative to the projected contributions of all participating employers, actuarially determined. As of the measurement date of June 30, 2022 and 2021, the County's proportion was .029 percent and .025 percent, respectively. Pension expense for the year ended June 30, 2023 was \$245,350.

The rates in effect for the year ended June 30, 2023 were:

- (1) Tier 1/Tier 2 – 26.1%
- (2) OPSRP general services – 20.83%

CROOK COUNTY, OREGON
 NOTES TO THE BASIC FINANCIAL STATEMENTS

8. Defined Benefit Pension Plan (continued)

	Deferred Outflow of Resources	Deferred Inflow of Resources
Difference between expected and actual experience	\$ 213,565	\$ 27,437
Changes in assumptions	690,322	6,307
Net difference between projected and actual earnings on pension plan investments		786,565
Net changes in proportionate share	1,336,548	257,229
Differences between contributions and proportionate share of contributions	18,820	415,317
Subtotal - Amortized Deferrals (below)	2,259,255	1,492,855
Contributions subsequent to measuring date	621,322	-
Deferred outflow (inflow) of resources	\$ 2,880,577	\$ 1,492,855

The amount of contributions subsequent to the measurement date will be included as a reduction of the net pension liability in the fiscal year ended June 30, 2024.

Amounts reported as deferred outflows or inflows of resources related to pension will be recognized in pension expense as follows:

<u>Year ending June 30,</u>	<u>Amount</u>
2024	\$ 273,195
2025	76,299
2026	(115,543)
2027	500,873
2028	31,578
Thereafter	-
Total	\$ 766,402

All assumptions, methods and plan provisions used in these calculations are described in the Oregon PERS system-wide GASB 68 reporting summary dated February 2, 2023. Oregon PERS produces an independently audited ACFR which can be found at:

<https://www.oregon.gov/pers/Documents/Financials/CAFR/2022-Annual-Comprehensive-Financial-Report.pdf>

Actuarial Valuations – The employer contribution rates effective July 1, 2021 through June 30, 2023, were set using the entry age normal actuarial cost method. For the Tier One/Tier Two component of the PERS Defined Benefit Plan, this method produced an employer contribution rate consisting of (1) an amount for normal cost (estimated amount necessary to finance benefits earned by employees during the current service year), (2) an amount for the amortization unfunded actuarial accrued liabilities, which are being amortized over a fixed period with new unfunded actuarial liabilities being amortized over 20 years.

For the OPSRP Pension Program component of the PERS Defined Benefit Plan, this method produced an employer rate consisting of (a) an amount for normal cost (the estimated amount necessary to finance benefits earned by the employees during the current service year), (b) an actuarially determined amount for funding a disability benefit component, and (c) an amount for the amortization of unfunded actuarial

CROOK COUNTY, OREGON
 NOTES TO THE BASIC FINANCIAL STATEMENTS

8. Defined Benefit Pension Plan (continued)

accrued liabilities, which are being amortized over a fixed period with new unfunded actuarial accrued liabilities being amortized over 16 years.

Actuarial Methods and Assumptions:

Valuation date	December 31, 2020
Experience Study Report	2020, Published July 20, 2021
Actuarial cost method	Entry Age Normal
Amortization method	Level percentage of payroll
Asset valuation method	Fair value
Inflation rate	2.40 percent
Investment rate of return	6.90 percent
Discount rate	6.90 percent
Projected salary increase	3.40 percent
Cost of Living Adjustment	Blend of 2% COLA and graded COLA (1.25%/0.15%) in accordance with <i>Moro</i> decision; blend based on service
Mortality	Healthy retirees and beneficiaries: Pub-2010 Healthy Retiree, sex distinct, generational with Unisex, Social Security Data Scale, with job category adjustments and set-backs as described in the valuation. Active members: Pub-2010 Employee, sex distinct, generational with Unisex, Social Security Data Scale, with job category adjustments and set-backs as described in the valuation. Disabled retirees: Pub-2010 Disabled Retiree, sex distinct, generational with Unisex, Social Security Data Scale, with job category adjustments and set-backs as described in the valuation.

Actuarial valuations of an ongoing plan involve estimates of value of reported amounts and assumptions about the probability of events far into the future. Actuarially determined amounts are subject to continual revision as actual results are compared to past expectations and new estimates are made about the future. Experience studies are performed as of December 31 of even numbered years. The method and assumptions shown are based on the 2020 Experience Study which is reviewed for the four-year period ending December 31, 2020.

Assumed Asset Allocation:

Asset Class/Strategy	Low Range	High Range	OIC Target
Debt Securities	15.0%	25.0%	20.0%
Public Equity	25.0%	35.0%	30.0%
Real Estate	7.5%	17.5%	12.5%
Private Equity	15.0%	27.5%	20.0%
Risk Parity	0.0%	3.5%	2.5%
Real Assets	2.5%	10.0%	7.5%
Diversifying Strategies	2.5%	10.0%	7.5%
Opportunity Portfolio	0.0%	5.0%	0.0%
Total			100.0%

(Source: June 30, 2022 PERS ACFR; p. 104)

CROOK COUNTY, OREGON
 NOTES TO THE BASIC FINANCIAL STATEMENTS

8. Defined Benefit Pension Plan (continued)

Long-Term Expected Rate of Return:

To develop an analytical basis for the selection of the long-term expected rate of return assumption, in June 2021 the PERS Board reviewed long-term assumptions developed by both Milliman’s capital market assumptions team and the Oregon Investment Council’s (OIC) investment advisors. The table below shows Milliman’s assumptions for each of the asset classes in which the plan was invested at that time based on the OIC long-term target asset allocation. The OIC’s description of each asset class was used to map the target allocation to the asset classes shown below. Each asset class assumption is based on a consistent set of underlying assumptions, and includes adjustment for the inflation assumption. These assumptions are not based on historical returns, but instead are based on a forward-looking capital market economic model.

Asset Class	Target Allocation	Compound Annual (Geometric) Return
Global Equity	30.62%	5.85%
Private Equity	25.50%	7.71%
Core Fixed Income	23.75%	2.73%
Real Estate	12.25%	5.66%
Master Limited Partnerships	0.75%	5.71%
Infrastructure	1.50%	6.26%
Commodities	0.63%	3.10%
Hedge Fund of Funds - Multistrategy	1.25%	5.11%
Hedge Fund Equity - Hedge	0.63%	5.31%
Hedge Fund - Macro	5.62%	5.06%
US Cash	-2.50%	1.76%
<i>Assumed Inflation - Mean</i>		2.40%

(Source: June 30, 2022 PERS ACFR; p. 74)

Discount Rate – The discount rate used to measure the total pension liability was 6.90 percent for the Defined Benefit Pension Plan. The projection of cash flows used to determine the discount rate assumed that contributions from the plan members and those of the contributing employers are made at the contractually required rates, as actuarially determined. Based on those assumptions, the pension plan’s fiduciary net position was projected to be available to make all projected future benefit payments of current plan members. Therefore, the long-term expected rate of return on pension plan investments for the Defined Benefit Pension Plan was applied to all periods of projected benefit payments to determine the total pension liability.

Sensitivity of the County’s proportionate share of the net pension liability to changes in the discount rate – the following presents the County’s proportionate share of the net pension liability calculated using the discount rate of 6.90 percent, as well as what the County’s proportionate share of the net pension liability would be if it were calculated using a discount rate that is one percent lower (5.90 percent) or one percent higher (7.90 percent) than the current rate.

	1% Decrease (5.90%)	Discount Rate (6.90%)	1% Increase (7.90%)
Proportionate share of the net pension liability	\$ 7,802,321	\$ 4,399,606	\$ 1,551,691

8. Defined Benefit Pension Plan (continued)

Changes Subsequent to the Measurement Date

As described above, GASB 67 and GASB 68 require the Total Pension Liability to be determined based on the benefit terms in effect at the Measurement Date. Any changes to benefit terms that occurs after that date are reflected in amounts reported for the subsequent Measurement Date. However, Paragraph 80f of GASB 68 requires employers to briefly describe any changes between the Measurement Date and the employer's reporting date that are expected to have a significant effect on the employer's share of the collective Net Pension Liability, along with an estimate of the resulting change, if available.

There are no changes subsequent to the June 30, 2022 Measurement Date that meet this requirement and thus would require a brief description under the GASB standard.

Deferred Compensation Plan

A deferred compensation plan is available to employees wherein they may execute an individual agreement with the County for amounts earned by them to not be paid until a future date when certain circumstances are met. These circumstances are: termination by reason of resignation, death, disability, or retirement; unforeseeable emergency; or by requesting a de minimis distribution from inactive accounts valued less than \$5,000. Payment to the employee will be made over a period not to exceed 15 years. The deferred compensation plan is one which is authorized under IRC Section 457 and has been approved in its specifics by a private ruling from the Internal Revenue Service. The assets of the plan are held by the administrator for the sole benefit of the plan participants and are not considered assets or liabilities of the County.

OPSRP Individual Account Program (OPSRP IAP)

Plan Description:

Employees of the County are provided with pensions through OPERS. All the benefits of OPERS are established by the Oregon legislature pursuant to Oregon Revised Statute (ORS) Chapters 238 and 238A. Chapter 238 Defined Benefit Pension Plan is closed to new members hired on or after August 29, 2003. Chapter 238A created the Oregon Public Service Retirement Plan (OPSRP), which consists of the Defined Benefit Pension Program and the Individual Account Program (IAP). Membership includes public employees hired on or after August 29, 2003. PERS members retain their existing defined benefit plan accounts, but member contributions are deposited into the member's IAP account. OPSRP is part of OPERS, and is administered by the OPERS Board.

Pension Benefits:

Participants in OPERS defined benefit pension plans also participate in their defined contribution plan. An IAP member becomes vested on the date the employee account is established or on the date the rollover account was established. If the employer makes optional employer contributions for a member, the member becomes vested on the earliest of the following dates: the date the member completes 600 hours of service in each of five calendar years, the date the member reaches normal retirement age, the date the IAP is terminated, the date the active member becomes disabled, or the date the active member dies. Upon retirement, a member of the OPSRP IAP may receive the amounts in his or her employee account, rollover account, and vested employer account as a lump-sum payment or in equal installments over a 5-, 10-, 15-, 20-year period or an anticipated life span option. Each distribution option has a \$200 minimum distribution limit.

Death Benefits:

Upon the death of a non-retired member, the beneficiary receives in a lump sum the member's account balance, rollover account balance, and vested employer optional contribution account balance. If a retired member dies before the installment payments are completed, the beneficiary may receive the remaining installment payments or choose a lump-sum payment.

8. Defined Benefit Pension Plan (continued)

Contributions:

Employees of the County pay six (6) percent of their covered payroll. Effective July 1, 2020, currently employed Tier 1/Tier 2 and OPSRP members earning \$2,500 or more per month (increased to \$3,333 per month in 2022) will have a portion of their 6 percent monthly IAP contributions redirected to an Employee Pension Stability Account. The Employee Pension Stability Account will be used to pay part of the member's future benefit. Of the 6 percent monthly IAP contribution, Tier 1/Tier 2 will have 2.5 percent redirected to the Employee Pension Stability Account and OPSRP will have 0.75 percent redirected to the Employee Pension Stability Account, with the remaining going to the member's existing IAP account. Members may voluntarily choose to make additional after-tax contributions into their IAP account to make a full 6 percent contribution to the IAP. The County did not make any optional contributions to member IAP accounts for the year ended June 30, 2023.

Additional disclosures related to Oregon PERS not applicable to specific employers are available online, or by contacting PERS at the following address: PO Box 23700 Tigard, OR 97281-3700.

<http://www.oregon.gov/pers/EMP/Pages/GASB.aspx>

Retirement Health Insurance Account

Plan Description:

As a member of Oregon Public Employees Retirement System (OPERS) the County contributes to the Retirement Health Insurance Account (RHIA) for each of its eligible employees. RHIA is a cost-sharing multiple-employer defined benefit other postemployment benefit plan administered by OPERS. RHIA pays a monthly contribution toward the cost of Medicare companion health insurance premiums of eligible retirees. Oregon Revised Statute (ORS) 238.420 established this trust fund. Authority to establish and amend the benefit provisions of RHIA reside with the Oregon Legislature. The plan is closed to new entrants after January 1, 2004. OPERS issues a publicly available financial report that includes financial statements and required supplementary information. That report may be obtained by writing to Oregon Public Employees Retirement System, PO Box 23700, Tigard, OR 97281-3700.

Funding Policy:

Because RHIA was created by enabling legislation (ORS 238.420), contribution requirements of the plan members and the participating employers were established and may be amended only by the Oregon Legislature. ORS require that an amount equal to \$60 dollars or the total monthly cost of Medicare companion health insurance premiums coverage, whichever is less, shall be paid from the Retirement Health Insurance Account established by the employer, and any monthly cost in excess of \$60 dollars shall be paid by the eligible retired member in the manner provided in ORS 238.410. To be eligible to receive this monthly payment toward the premium cost the member must: (1) have eight years or more of qualifying service in OPERS at the time of retirement or receive a disability allowance as if the member had eight years or more of creditable service in OPERS, (2) receive both Medicare Parts A and B coverage, and (3) enroll in an OPERS-sponsored health plan. A surviving spouse or dependent of a deceased OPERS retiree who was eligible to receive the subsidy is eligible to receive the subsidy if he or she (1) is receiving a retirement benefit or allowance from OPERS or (2) was insured at the time the member died and the member retired before May 1, 1991.

Participating Counties are contractually required to contribute to RHIA at a rate assessed each year by OPERS, and the County currently contributes 0.53% of annual covered OPERF payroll and 0.45% of OPSRP payroll under a contractual requirement in effect until June 30, 2023. Consistent with GASB Statement 75, the OPERS Board of Trustees sets the employer contribution rates as a measure of the proportionate relationship of the employer to all employers consistent with the manner in which contributions to the OPEB plan are determined. The basis for the employer's portion is determined by comparing the employer's actual, legally required contributions made durin

8. Defined Benefit Pension Plan (continued)

the fiscal year to the plan with the total actual contributions made in the fiscal year of all employers. The County's contributions to RHIA for the years ended June 30, 2021, 2022 and 2023 were \$333, \$515 and \$410, respectively, which equaled the required contributions each year.

At June 30, 2023, the County's net OPEB liability/(asset) and deferred inflows and outflows were not considered significant by management and were not accrued on the government wide statements.

(9) Defined Contribution Retirement Plan

The County sponsors a 401 (k) plan for all eligible employees except in the Sheriff's department, which are covered by the Public Employees Retirement System (Note 7). The Plan is known as the Crook County Employees 401 (k) Plan. The County contributed a flat amount of \$325 per month for each eligible employee until January 1, 2022 when contributions were updated to the greater of a flat amount of \$325 per month or 8% of gross wages for each eligible employee. In January 1, 2023, the contribution percentage was increased to 10% or \$325. The County Court established the Plan and has the authority to amend the Plan as may be necessary. Employees are eligible after 500 months of service in a six month consecutive period. Employees may also make voluntary contributions to their plan accounts within limits established by the Internal Revenue Service. Total employer and employee contributions for the year ended June 30, 2023, were \$942,181 and \$580,200, respectively.

(10) Risk management

The County is exposed to various risks of loss related to torts; theft of, damage to, and destruction of assets; errors and omissions; injuries to employees; and natural disasters. The County purchases commercial insurance for coverage of its various risks. The costs of insurance are allocated to all departments/operations throughout the County based upon estimated premium coverage for that/those particular activity or activities. Amounts of settlements have not exceeded insurance coverage in the past three years.

(11) Landfill Closure and Post-closure Care Costs

State and Federal laws and regulations require that the County Landfill place a final cover on its landfill sites and perform certain maintenance and monitoring functions at the landfill sites for a minimum of 30 years after closure. In addition to operating expenses related to current activities of the landfill sites, an expense provision and related liability are being recognized based on the future closure and post-closure care costs that will be incurred near or after the date the landfills no longer accept waste. The recognition of these landfill closure and post-closure care costs is based on the amount of the landfills used (capacity) during the year. The estimated liability for landfill closure and post-closure care costs is \$2,462,481 as of June 30, 2023, which is based on 0% under final cover. It is estimated that an additional \$1,820,055 will be recognized as closure and post-closure care expenses between the date of the balance sheet and the date the landfills are currently expected to be filled to capacity (the year 2031). The estimated total current cost of the landfill closure and post-closure care of \$4,282,537 is based on the amount that would be paid if all equipment, facilities and services required to close, monitor and maintain the landfills were acquired as of June 30, 2023. However, the actual cost of closure and post-closure care may be higher due to inflation, changes in technology or changes in landfill laws and regulations. In addition, the County is required by State and Federal laws and regulations to make annual contributions to finance closure and post-closure care. For the past several years, the County has designated resources for future closure and post-closure care and it anticipates continuing to do so. The County meets the "Local Government Financial Test" which provides financial assurance as to the County's ability to meet its financial obligations for closure and post-closure. The County is in compliance with these requirements, and at June 30, 2023, cash and investments of \$5,222,012 in the Landfill Fund are part of the pooled funds held by the County Treasurer.

(12) Commitment and Contingencies

The County is contingently liable with respect to lawsuits and other claims incidental to the ordinary course of its operations. Claims are reviewed and losses are accrued based on the judgment of County management. According to County management, based on advice of legal counsel with respect to such litigation and claims, ultimate disposition of these matters will not have a material adverse effect on the financial position or results of County operations.

(13) Other Post-Employment Benefits

Post-Employment Health Insurance Subsidy

Plan Description

The County administers a single-employer defined benefit healthcare plan that covers both active and retired participants. The plan provides post-retirement healthcare benefits for eligible retirees and their dependents through the County's group health insurance plans. The County's post-retirement plan was established in accordance with Oregon Revised Statutes (ORS) 243.303 which states, in part, that for the purposes of establishing healthcare premiums, the calculated rate must be based on the cost of all plan members, including both active employees and retirees. Because claim costs are generally higher for retiree groups than for active members, the premium amount does not represent the full cost of coverage for retirees. The resulting additional cost, or implicit subsidy, is required to be valued under GASB Statement 75 related to Other Post-Employment Benefits (OPEB). Calculations are based on the OPEB benefits provided under the terms of the substantive plan in effect at the time of each valuation and on the pattern of sharing of costs between the employer and plan members to that point. Actuarial valuations for OPEB plans involve estimates of the value of reported amounts and assumptions about the probability of events far into the future, and actuarially determined amounts are subject to continual revision as results are compared to past expectations and new estimates are made about the future. Actuarial calculations of the OPEB plan reflect a long-term perspective. The valuation date was July 1, 2022 and the measurement date was June 30, 2022.

Funding Policy

The County has not established a trust fund to finance the cost of post-employment health care benefits related to implicit rate subsidies. Premiums are paid by retirees based on the rates established for active employees. Additional costs related to an implicit subsidy are paid by the County on a pay-as-you-go basis. There is no obligation on the part of the County to fund these benefits in advance. The County considered the liability to be solely the responsibility of the County as a whole and it is allocated to the governmental statements.

Actuarial Methods and Assumptions

The County engaged an actuary to perform a valuation as of June 30, 2020 using the Entry Age Normal, level percent of salary Actuarial Cost Method. Mortality rates were based on the RP-2000 healthy white collar male and female mortality tables, set back one year for males. Mortality is projected on a generational basis using Scale BB for males and females. Demographic assumptions regarding retirement, mortality, and turnover are based on Oregon PERS valuation assumptions as of December 31, 2019. Election rate and lapse assumptions are based on experience implied by valuation data for this and other Oregon public employers.

CROOK COUNTY, OREGON
 NOTES TO THE BASIC FINANCIAL STATEMENTS

(13) Other Post-Employment Benefits (continued)

Health Care Cost Trend Medical and vision:

Year	Pre-65 Trend
2022	4.25%
2023	6.75%
2024	6.50%
2025	6.00%
2026	5.25%
2027	5.00%
2028-2029	4.75%
2030	4.50%
2031-2065	4.25%
2066-2071	4.00%
2072+	3.75%

Dental: 4.00% per year

Health care cost trend affects both the projected health care costs as well as the projected health care

General Inflation

2.40% per year, used to develop other economic assumptions

Annual Pay Increases

3.40% per year, based on general inflation and the likelihood of raises throughout participants' careers

Mortality

Pub-2010 General and Safety Employee and Healthy Retiree tables, sex distinct for members and dependents, with a one-year setback for male general service employees and female safety employees.

Disability

Not used

Withdrawal

Based on Oregon PERS assumptions. Annual rates are based on employment classification, gender, and duration from hire date.

Retirement

Based on Oregon PERS assumptions. Annual rates are based on age, Tier/OPSRP, duration of service, and employment classification.

CROOK COUNTY, OREGON
 NOTES TO THE BASIC FINANCIAL STATEMENTS

(13) Other Post-Employment Benefits (continued)

Changes in the Net OPEB Liability

Total OPEB Liability at June 30, 2022	\$ 582,749
Changes for the year:	
Service cost	80,917
Interest	14,156
Changes in benefit terms	(3,590)
Changes of assumptions or other input	(134,913)
Benefit payments	(16,670)
Balance as of June 30, 2023	<u><u>\$ 522,649</u></u>

Sensitivity of the Net OPEB Liability to Changes in the Discount Rate and Trend Rates

The following analysis presents the net OPEB liability using a discount rate of 3.54%, as well as what the County's net OPEB liability would be if it was calculated using a discount rate that is one percentage point lower (2.54%) or one percentage point higher (4.54%) than the current rate, a similar sensitivity analysis is presented for the changes in the healthcare trend assumption:

	1% Decrease 2.54%	Current Discount Rate 3.54%	1% Increase 4.54%
Total OPEB Liability	\$ 563,125	\$ 522,649	\$ 485,068

	1% Decrease Healthcare	Current Trend Rate Healthcare	1% Increase Healthcare
Total OPEB Liability	\$ 463,301	\$ 522,649	\$ 593,787

Deferred Outflows of Resources and Deferred Inflows of Resources Related to OPEB Benefits

The County reports information on deferred outflows and deferred inflows of resources at year end as well as a schedule of amounts of those deferred outflows of resources and deferred inflows of resources that will be recognized in other post-employment benefit expense for the following five years.

	Deferred Inflows of Resources	Deferred Outflows of Resources
Difference between expected and actual experience	\$ (39,812)	\$ -
Changes in assumptions or other input	(154,937)	53,193
Benefit Payments	-	32,623
Deferred outflow (inflow) of resources	<u><u>\$ (194,749)</u></u>	<u><u>\$ 85,816</u></u>

The County deemed the OPEB deferred inflows/outflows not significant to the financial statements and therefore did not accrue the amounts in the government wide statements.

CROOK COUNTY, OREGON
 NOTES TO THE BASIC FINANCIAL STATEMENTS

(13) Other Post-Employment Benefits (continued)

Amounts reported as deferred outflows or inflow of resources related to pension will be recognized in pension expense as follows:

<u>Year ending June 30,</u>	<u>Amount</u>
2024	\$ (34,969)
2025	(27,274)
2026	(9,835)
2027	(13,595)
2028	(16,308)
Thereafter	(39,575)
Total	<u>\$ (141,556)</u>

(14) Fund Balances

The specific purposes for each of the categories of fund balance as of June 30, 2023 are as follows:

	<u>General Fund</u>	<u>Road Fund</u>	<u>Community Development</u>	<u>Sheriff's Office</u>	<u>Health Fund</u>
<u>Nonspendable:</u>					
Inventories	\$ -	\$ 1,769,016	\$ -	\$ -	\$ -
<u>Restricted</u>					
Grants	-	-	-	-	2,456,506
Roads	-	15,707,528	-	-	-
Debt Service	-	-	-	-	-
Total Restricted	-	15,707,528	-	-	2,456,506
<u>Assigned</u>					
Capital Projects	-	-	-	-	-
Other Purposes	-	-	10,548,631	3,772,561	-
Reserve	-	-	-	-	-
Total assigned	-	-	10,548,631	3,772,561	-
<u>Unassigned</u>					
	6,864,556	-	-	-	-
Total Fund Balances	<u>\$ 6,864,556</u>	<u>\$ 17,476,544</u>	<u>\$ 10,548,631</u>	<u>\$ 3,772,561</u>	<u>\$ 2,456,506</u>

CROOK COUNTY, OREGON
 NOTES TO THE BASIC FINANCIAL STATEMENTS

(14) Fund Balances (continued)

	Reserve Fund	Capital Projects Fund	Other Governmental Funds	Total
<u>Nonspendable:</u>				
Inventories	\$ -	\$ -	\$ -	\$ 1,769,016
<u>Restricted</u>				
Grants	-	-	1,912,537	20,076,571
Capital Projects	-	25,912,762	422,319	26,335,081
Roads	-	-	-	-
Debt Service	-	-	24,718	24,718
Total Restricted	-	25,912,762	2,359,574	46,436,370
<u>Assigned</u>				
Other Purposes	-	-	2,984,911	17,306,103
Reserve	8,690,276	-	-	8,690,276
Total assigned	8,690,276	-	2,984,911	25,996,379
<u>Unassigned</u>				
	-	-	-	6,900,806
Total Fund Balances	\$ 8,690,276	\$ 25,912,762	\$ 5,344,485	\$ 81,102,571

(15) Tax Abatement

As of June 30, 2023, the County provides tax abatements through three programs: Long-Term Rural Enterprise Zone Facilities, ORS 285C.400, Levy Exemption, ORS 307.519 and 2015 Oregon Laws Chapter 571 regarding solar agreements.

The Oregon Long-Term Rural Enterprise Zone Facilities program is a State of Oregon economic development program established, that allows for property tax exemptions for up to fifteen years. In exchange for receiving property tax exemption, participating firms are required to meet the program requirements set by state statute and the local sponsor. This program is only available in counties with chronic low income or chronic unemployment. The Enterprise Zone program allows industrial firms that will be making a substantial new capital investment a waiver of 100% of the amount of real property taxes attributable to the new investment for up to a 15-year period after completion. Land or existing machinery or equipment is not tax exempt; therefore, there is no loss of current property tax levies to local taxing jurisdiction.

The Levy Exemption ORS 307.519 provides an exemption from taxation for low income housing properties. These properties must either be offered for rent or held for the purpose of developing low income rental housing.

2015 Oregon Laws regarding solar agreements provides an exemption from taxation for properties constituting solar projects and allows the payment of a fee in lieu of property taxes imposed on the property.

For the fiscal year ended June 30, 2023, the County abated property taxes totaling \$17,067,556, \$36,010, \$701,023, and \$15,692 under the Enterprise Zone, Levy Exemption, 2015 Oregon Laws Chapter 571, and other miscellaneous exemptions, respectively.

CROOK COUNTY, OREGON
NOTES TO THE BASIC FINANCIAL STATEMENTS

16. Leases

Leases Payable

For the year ended June 30, 2023, the financial statements include GASB Statement No. 87, Leases. The primary objective of this statement is to enhance the relevance and consistency of information about governments' leasing activities. This statement establishes a single model for lease accounting based on the principle that leases are financings of the right to use an underlying asset. Under this Statement, a lessee is required to recognize a lease liability and an intangible right-to-use lease asset, and a lessor is required to recognize a lease receivable and a deferred inflow of resources. For additional information, refer to the disclosures below.

On 07/01/2021, Crook County, OR entered into a 36-month lease as Lessee for the use of Copier - 203 NE Court St.. An initial lease liability was recorded in the amount of \$5,398.91. As of 06/30/2023, the value of the lease liability is \$1,955.32. Crook County, OR is required to make monthly fixed payments of \$171.31. The lease has an interest rate of 9.3460%. The Equipment estimated useful life was 36 months as of the contract commencement. The value of the right to use asset as of 06/30/2023 of \$5,398.91 with accumulated amortization of \$3,592.62 is included with Equipment on the Lease Class activities table found below. Crook County, OR has the option to purchase the Equipment for \$2,329.62.

On 07/01/2021, Crook County, OR entered into a 20-month lease as Lessee for the use of Canon Copier - SKA12672. An initial lease liability was recorded in the amount of \$3,312.05. As of 06/30/2023, the value of the lease liability is \$0.02. Crook County, OR is required to make monthly fixed payments of \$179.00. The lease has an interest rate of 9.4958%. The Equipment estimated useful life was 20 months as of the contract commencement. The value of the right to use asset as of 06/30/2023 of \$0.00 with accumulated amortization of \$0.00 is included with Equipment on the Lease Class activities table found below. Crook County, OR has the option to purchase the Equipment for \$1.00.

On 07/01/2021, Crook County, OR entered into a 22-month lease as Lessee for the use of Mailing Systems - Administration. An initial lease liability was recorded in the amount of \$663.71. As of 06/30/2023, the value of the lease liability is \$0.00. Crook County, OR is required to make quarterly fixed payments of \$95.00. The lease has an interest rate of 0.2180%. The Equipment estimated useful life was 22 months as of the contract commencement. The value of the right to use asset as of 06/30/2023 of \$0.00 with accumulated amortization of \$0.00 is included with Equipment on the Lease Class activities table found below.

On 07/01/2021, Crook County, OR entered into a 34-month lease as Lessee for the use of Canon Copier - XTK07115. An initial lease liability was recorded in the amount of \$3,443.40. As of 06/30/2023, the value of the lease liability is \$1,155.46. Crook County, OR is required to make monthly fixed payments of \$123.00. The lease has an interest rate of 13.8379%. The Equipment estimated useful life was 34 months as of the contract commencement. The value of the right to use asset as of 06/30/2023 of \$3,443.40 with accumulated amortization of \$2,379.32 is included with Equipment on the Lease Class activities table found below. Crook County, OR has the option to purchase the Equipment for \$1,997.51.

On 07/01/2021, Crook County, OR entered into an 18-month lease as Lessee for the use of Canon Copier - Legal Department. An initial lease liability was recorded in the amount of \$2,479.84. As of 06/30/2023, the value of the lease liability is \$0.04. Crook County, OR is required to make monthly fixed payments of \$138.00. The lease has an interest rate of 0.2180%. The Equipment estimated useful life was 18 months as of the contract commencement. The value of the right to use asset as of 06/30/2023 of \$0.00 with accumulated amortization of \$0.00 is included with Equipment on the Lease Class activities table found below.

CROOK COUNTY, OREGON
NOTES TO THE BASIC FINANCIAL STATEMENTS

16. Leases (continued)

On 07/01/2021, Crook County, OR entered into a 49-month lease as Lessee for the use of McCormack Gravel Pit Lease. An initial lease liability was recorded in the amount of \$3,970.52. As of 06/30/2023, the value of the lease liability is \$1,986.38. Crook County, OR is required to make annual fixed payments of \$1,000.00. The lease has an interest rate of 0.4570%. The Land estimated useful life was 0 months as of the contract commencement. The value of the right to use asset as of 06/30/2023 of \$3,970.52 with accumulated amortization of \$1,925.10 is included with Land on the Lease Class activities table found below.

On 07/01/2021, Crook County, OR entered into a 20-month lease as Lessee for the use of Canon Copier - XLN03851. An initial lease liability was recorded in the amount of \$2,727.54. As of 06/30/2023, the value of the lease liability is \$0.00. Crook County, OR is required to make monthly fixed payments of \$138.00. The lease has an interest rate of 7.2800%. The Equipment estimated useful life was 20 months as of the contract commencement. The value of the right to use asset as of 06/30/2023 of \$0.00 with accumulated amortization of \$0.00 is included with Equipment on the Lease Class activities table found below. Crook County, OR has the option to purchase the Equipment for \$1.00.

On 07/01/2021, Crook County, OR entered into a 28-month lease as Lessee for the use of Canon Copier - 110 SW Landfill Rd. An initial lease liability was recorded in the amount of \$2,716.30. As of 06/30/2023, the value of the lease liability is \$513.22. Crook County, OR is required to make monthly fixed payments of \$105.29. The lease has an interest rate of 10.2645%. The Equipment estimated useful life was 28 months as of the contract commencement. The value of the right to use asset as of 06/30/2023 of \$2,716.30 with accumulated amortization of \$2,253.15 is included with Equipment on the Lease Class activities table found below. Crook County, OR has the option to purchase the Equipment for \$1,713.15.

On 07/01/2021, Crook County, OR entered into a 37-month lease as Lessee for the use of Canon Copier - 300 NE 3rd St Room 23. An initial lease liability was recorded in the amount of \$4,751.49. As of 06/30/2023, the value of the lease liability is \$1,815.56. Crook County, OR is required to make monthly fixed payments of \$147.52. The lease has an interest rate of 9.5004%. The Equipment estimated useful life was 37 months as of the contract commencement. The value of the right to use asset as of 06/30/2023 of \$4,751.49 with accumulated amortization of \$3,079.28 is included with Equipment on the Lease Class activities table found below. Crook County, OR has the option to purchase the Equipment for \$2,539.75.

On 07/01/2021, Crook County, OR entered into a 46-month lease as Lessee for the use of Canon Copier - C5550i. An initial lease liability was recorded in the amount of \$8,327.41. As of 06/30/2023, the value of the lease liability is \$4,241.77. Crook County, OR is required to make monthly fixed payments of \$206.00. The lease has an interest rate of 6.9978%. The Equipment estimated useful life was 46 months as of the contract commencement. The value of the right to use asset as of 06/30/2023 of \$8,327.41 with accumulated amortization of \$4,332.18 is included with Equipment on the Lease Class activities table found below. Crook County, OR has the option to purchase the Equipment for \$1.00.

On 07/01/2021, Crook County, OR entered into a 47-month lease as Lessee for the use of Canon Copier - Comm. Dev. (2). An initial lease liability was recorded in the amount of \$18,334.59. As of 06/30/2023, the value of the lease liability is \$9,462.20. Crook County, OR is required to make monthly fixed payments of \$435.00. The lease has an interest rate of 5.6398%. The Equipment estimated useful life was 47 months as of the contract commencement. The value of the right to use asset as of 06/30/2023 of \$18,334.59 with accumulated amortization of \$9,231.40 is included with Equipment on the Lease Class activities table found below. Crook County, OR has the option to purchase the Equipment for \$6,890.32.

CROOK COUNTY, OREGON
NOTES TO THE BASIC FINANCIAL STATEMENTS

16. Leases (continued)

On 07/01/2021, Crook County, OR entered into a 46-month lease as Lessee for the use of Canon Copier - Finance Office. An initial lease liability was recorded in the amount of \$8,822.63. As of 06/30/2023, the value of the lease liability is \$4,505.73. Crook County, OR is required to make monthly fixed payments of \$219.44. The lease has an interest rate of 7.3003%. The Equipment estimated useful life was 46 months as of the contract commencement. The value of the right to use asset as of 06/30/2023 of \$8,822.63 with accumulated amortization of \$4,589.81 is included with Equipment on the Lease Class activities table found below. Crook County, OR has the option to purchase the Equipment for \$1.00.

On 07/01/2021, Crook County, OR entered into a 59-month lease as Lessee for the use of Xerox Copier - Library. An initial lease liability was recorded in the amount of \$7,569.04. As of 06/30/2023, the value of the lease liability is \$4,514.32. Crook County, OR is required to make monthly fixed payments of \$130.10. The lease has an interest rate of 0.5770%. The Equipment estimated useful life was 59 months as of the contract commencement. The value of the right to use asset as of 06/30/2023 of \$7,569.04 with accumulated amortization of \$3,066.80 is included with Equipment on the Lease Class activities table found below.

On 07/01/2021, Crook County, OR entered into a 66-month lease as Lessee for the use of 375 NW Beaver Street. An initial lease liability was recorded in the amount of \$554,329.14. As of 06/30/2023, the value of the lease liability is \$356,249.15. Crook County, OR is required to make monthly variable principal and interest payments of \$8,559.79 based on a CPI index of 0.00%. The lease has an interest rate of 0.7030%. The Buildings estimated useful life was 240 months as of the contract commencement. The value of the right to use asset as of 06/30/2023 of \$554,329.14 with accumulated amortization of \$201,574.23 is included with Buildings on the Lease Class activities table found below.

On 03/08/2022, Crook County, OR entered into a 60-month lease as Lessee for the use of Canon Copier - Health Department. An initial lease liability was recorded in the amount of \$3,780.86. As of 06/30/2023, the value of the lease liability is \$2,919.78. Crook County, OR is required to make monthly fixed payments of \$79.00. The lease has an interest rate of 9.6116%. The Equipment estimated useful life was 60 months as of the contract commencement. The value of the right to use asset as of 06/30/2023 of \$3,780.86 with accumulated amortization of \$992.98 is included with Equipment on the Lease Class activities table found below. Crook County, OR has the option to purchase the Equipment for \$1,000.80.

On 07/01/2021, Crook County, OR entered into a 174-month lease as Lessee for the use of Betrothal Rock Quarry. An initial lease liability was recorded in the amount of \$7,699.68. As of 06/30/2023, the value of the lease liability is \$12,160.98. Crook County, OR is required to make annual fixed payments of \$1,000.00. The lease has an interest rate of 0.9670%. The Land estimated useful life was 0 months as of the contract commencement. The value of the right to use asset as of 06/30/2023 of \$14,102.93 with accumulated amortization of \$2,013.75 is included with Land on the Lease Class activities table found below.

On 04/19/2023, Crook County, OR entered into a 60-month lease as Lessee for the use of Canon Copier - D.A. An initial lease liability was recorded in the amount of \$4,058.48. As of 06/30/2023, the value of the lease liability is \$4,020.15. Crook County, OR is required to make monthly fixed payments of \$81.31. The lease has an interest rate of 6.6882%. The Equipment estimated useful life was 60 months as of the contract commencement. The value of the right to use asset as of 06/30/2023 of \$4,058.48 with accumulated amortization of \$162.34 is included with Equipment on the Lease Class activities table found below. Crook County, OR has the option to purchase the Equipment for \$3,719.56.

CROOK COUNTY, OREGON
 NOTES TO THE BASIC FINANCIAL STATEMENTS

16. Leases (continued)

On 07/01/2021, Crook County, OR entered into a 42-month lease as Lessee for the use of 765 NW Third Street. An initial lease liability was recorded in the amount of \$5,988.14. As of 06/30/2023, the value of the lease liability is \$449.23. Crook County, OR is required to make monthly fixed payments of \$300.00. The lease has an interest rate of 0.2180%. The Buildings estimated useful life was 42 months as of the contract commencement. The value of the right to use asset as of 06/30/2023 of \$5,988.14 with accumulated amortization of \$3,421.79 is included with Buildings on the Lease Class activities table found below. Crook County, OR has 1 extension option(s), each for 42 months.

Amount of Lease Assets by Major Classes of Underlying Asset

Asset Class	As of Fiscal Year-end		
	Lease Asset Value	Accumulated Amortization	Lease Assets (net)
Equipment	67,203	33,680	33,523
Land	18,073	3,939	14,134
Buildings	554,329	201,573	352,756
Total Leases	639,605	239,192	400,413

Principal and Interest Requirements to Maturity

Fiscal Year	Business-Type Activities		
	Principal Payments	Interest Payments	Total Payments
2024	513	13	526

Fiscal Year	Governmental Activities		
	Principal Payments	Interest Payments	Total Payments
2024	119,603	3,981	123,584
2025	115,153	2,236	117,389
2026	105,973	1,100	107,073
2027	53,662	304	53,966
2028	1,706	107	1,813
2029 - 2033	4,720	280	5,000
2034 - 2036	4,170	57	4,227
Total	404,987	8,065	413,052

Leases Receivable

For the year ended 6/30/2023, the financial statements include GASB Statement No. 87, Leases. The primary objective of this statement is to enhance the relevance and consistency of information about governments' leasing activities. This statement establishes a single model for lease accounting based on the principle that leases are financings of the right to use an underlying asset. Under this Statement, a lessee is required to recognize a lease liability and an intangible right-to-use lease asset, and a lessor is required to recognize a lease receivable and a deferred inflow of resources. For additional information, refer to the disclosures below.

CROOK COUNTY, OREGON
NOTES TO THE BASIC FINANCIAL STATEMENTS

16. Leases (continued)

On 07/01/2021, Crook County, OR entered into a 324-month lease as Lessor for the use of Hangar - BZ3. An initial lease receivable was recorded in the amount of \$101,423.01. As of 06/30/2023, the value of the lease receivable is \$94,583.54. The lessee is required to make annual variable principal and interest payments of \$4,661.19 based on a CPI index of 0.00%. The lease has an interest rate of 1.6740%. The Land estimated useful life was 0 months as of the contract commencement. The value of the deferred inflow of resources as of 06/30/2023 was \$93,922.54, and Crook County, OR recognized lease revenue of \$3,750.23 during the fiscal year. The lessee has 1 extension option(s), each for 120 months.

On 07/01/2021, Crook County, OR entered into a 328-month lease as Lessor for the use of Hangar Space Avalon. An initial lease receivable was recorded in the amount of \$53,129.04. As of 06/30/2023, the value of the lease receivable is \$49,546.28. The lessee is required to make annual variable principal and interest payments of \$2,441.70 based on a CPI index of 0.00%. The lease has an interest rate of 1.6740%. The Land estimated useful life was 0 months as of the contract commencement. The value of the deferred inflow of resources as of 06/30/2023 was \$49,249.04, and Crook County, OR recognized lease revenue of \$1,940.00 during the fiscal year. The lessee has 1 extension option(s), each for 120 months.

On 03/02/2022, Crook County, OR entered into a 480-month lease as Lessor for the use of 4217 Aviation Blvd.. An initial lease receivable was recorded in the amount of \$73,976.14. As of 06/30/2023, the value of the lease receivable is \$37,752.57. The lessee is required to make annual fixed payments of \$1,344.00. The lease has an interest rate of 1.7510%. The Land estimated useful life was 0 months as of the contract commencement. The value of the deferred inflow of resources as of 06/30/2023 was \$71,520.35, and Crook County, OR recognized lease revenue of \$1,845.69 during the fiscal year. The lessee has 1 extension option(s), each for 120 months.

On 07/01/2021, Crook County, OR entered into a 350-month lease as Lessor for the use of Hangar - Deanne Cooper. An initial lease receivable was recorded in the amount of \$47,310.90. As of 06/30/2023, the value of the lease receivable is \$44,362.92. The lessee is required to make annual variable principal and interest payments of \$2,061.01 based on a CPI index of 0.00%. The lease has an interest rate of 1.6940%. The Land estimated useful life was 0 months as of the contract commencement. The value of the deferred inflow of resources as of 06/30/2023 was \$44,073.51, and Crook County, OR recognized lease revenue of \$1,618.70 during the fiscal year. The lessee has 1 extension option(s), each for 120 months.

On 07/01/2021, Crook County, OR entered into a 314-month lease as Lessor for the use of Hangar J-3. An initial lease receivable was recorded in the amount of \$15,424.79. As of 06/30/2023, the value of the lease receivable is \$14,340.44. The lessee is required to make annual variable principal and interest payments of \$729.56 based on a CPI index of 0.00%. The lease has an interest rate of 1.6630%. The Land estimated useful life was 0 months as of the contract commencement. The value of the deferred inflow of resources as of 06/30/2023 was \$14,248.82, and Crook County, OR recognized lease revenue of \$587.98 during the fiscal year. The lessee has 1 extension option(s), each for 120 months.

On 03/02/2022, Crook County, OR entered into a 360-month lease as Lessor for the use of 4187 SW Aviation Blvd. An initial lease receivable was recorded in the amount of \$20,166.64. As of 06/30/2023, the value of the lease receivable is \$18,784.63. The lessee is required to make annual variable principal and interest payments of \$831.60 based on a CPI index of 0.00%. The lease has an interest rate of 1.7510%. The Land estimated useful life was 0 months as of the contract commencement. The value of the deferred inflow of resources as of 06/30/2023 was \$19,272.21, and Crook County, OR recognized lease revenue of \$672.22 during the fiscal year. The lessee has 1 extension option(s), each for 60 months.

CROOK COUNTY, OREGON
NOTES TO THE BASIC FINANCIAL STATEMENTS

16. Leases (continued)

On 07/01/2021, Crook County, OR entered into a 412-month lease as Lessor for the use of Hangar - Orr. An initial lease receivable was recorded in the amount of \$16,898.98. As of 06/30/2023, the value of the lease receivable is \$16,015.44. The lessee is required to make annual variable principal and interest payments of \$653.52 based on a CPI index of 0.00%. The lease has an interest rate of 1.7050%. The Land estimated useful life was 0 months as of the contract commencement. The value of the deferred inflow of resources as of 06/30/2023 was \$15,914.73, and Crook County, OR recognized lease revenue of \$492.12 during the fiscal year. The lessee has 1 extension option(s), each for 120 months.

On 07/01/2021, Crook County, OR entered into a 42-month lease as Lessor for the use of Taylor Northwest Lease. An initial lease receivable was recorded in the amount of \$208,332.40. As of 06/30/2023, the value of the lease receivable is \$89,675.21. The lessee is required to make monthly fixed payments of \$5,000.00. The lease has an interest rate of 0.4570%. The Land estimated useful life was 0 months as of the contract commencement. The value of the deferred inflow of resources as of 06/30/2023 was \$89,285.31, and Crook County, OR recognized lease revenue of \$59,523.54 during the fiscal year. The lessee has 3 extension option(s), each for 12 months.

On 07/01/2021, Crook County, OR entered into a 31-month lease as Lessor for the use of Hangar - 607 NE 3rd St. An initial lease receivable was recorded in the amount of \$884.76. As of 06/30/2023, the value of the lease receivable is -\$0.01. The lessee is required to make annual fixed payments of \$443.98. The lease has an interest rate of 0.3150%. The Land estimated useful life was 0 months as of the contract commencement. The value of the deferred inflow of resources as of 06/30/2023 was \$216.32, and Crook County, OR recognized lease revenue of \$334.22 during the fiscal year.

On 07/01/2021, Crook County, OR entered into a 315-month lease as Lessor for the use of Hangar - A-2. An initial lease receivable was recorded in the amount of \$15,707.68. As of 06/30/2023, the value of the lease receivable is \$14,603.45. The lessee is required to make annual variable principal and interest payments of \$742.94 based on a CPI index of 0.00%. The lease has an interest rate of 1.6630%. The Land estimated useful life was 0 months as of the contract commencement. The value of the deferred inflow of resources as of 06/30/2023 was \$14,511.15, and Crook County, OR recognized lease revenue of \$598.26 during the fiscal year. The lessee has 1 extension option(s), each for 120 months.

On 07/01/2021, Crook County, OR entered into a 314-month lease as Lessor for the use of Hangar A-15. An initial lease receivable was recorded in the amount of \$12,151.07. As of 06/30/2023, the value of the lease receivable is \$11,296.86. The lessee is required to make annual variable principal and interest payments of \$574.72 based on a CPI index of 0.00%. The lease has an interest rate of 1.6630%. The Land estimated useful life was 0 months as of the contract commencement. The value of the deferred inflow of resources as of 06/30/2023 was \$11,223.51, and Crook County, OR recognized lease revenue of \$463.78 during the fiscal year. The lessee has 1 extension option(s), each for 120 months.

On 07/01/2021, Crook County, OR entered into a 312-month lease as Lessor for the use of Hangar J-2. An initial lease receivable was recorded in the amount of \$19,794.75. As of 06/30/2023, the value of the lease receivable is \$18,403.19. The lessee is required to make annual fixed payments of \$936.25. The lease has an interest rate of 1.6630%. The Land estimated useful life was 0 months as of the contract commencement. The value of the deferred inflow of resources as of 06/30/2023 was \$18,274.68, and Crook County, OR recognized lease revenue of \$760.04 during the fiscal year. The lessee has 1 extension option(s), each for 120 months.

On 07/01/2021, Crook County, OR entered into a 329-month lease as Lessor for the use of Hangar A-11. An initial lease receivable was recorded in the amount of \$16,429.81. As of 06/30/2023, the value of the lease receivable is \$15,321.87. The lessee is required to make annual variable principal and interest payments of \$755.08 based on a **Page 135**

CROOK COUNTY, OREGON
NOTES TO THE BASIC FINANCIAL STATEMENTS

16. Leases (continued)

CPI index of 0.00%. The lease has an interest rate of 1.6740%. The Land estimated useful life was 0 months as of the contract commencement. The value of the deferred inflow of resources as of 06/30/2023 was \$15,231.41, and Crook County, OR recognized lease revenue of \$599.20 during the fiscal year. The lessee has 1 extension option(s), each for 120 months.

On 07/01/2021, Crook County, OR entered into a 357-month lease as Lessor for the use of Hangar - Wolfe Pack B-16. An initial lease receivable was recorded in the amount of \$22,887.76. As of 06/30/2023, the value of the lease receivable is \$21,514.40. The lessee is required to make annual variable principal and interest payments of \$972.73 based on a CPI index of 0.00%. The lease has an interest rate of 1.7050%. The Land estimated useful life was 0 months as of the contract commencement. The value of the deferred inflow of resources as of 06/30/2023 was \$21,351.10, and Crook County, OR recognized lease revenue of \$768.33 during the fiscal year. The lessee has 1 extension option(s), each for 120 months.

On 07/01/2021, Crook County, OR entered into a 329-month lease as Lessor for the use of Hangar - Wolfe Pack A-13. An initial lease receivable was recorded in the amount of \$15,215.01. As of 06/30/2023, the value of the lease receivable is \$14,188.99. The lessee is required to make annual variable principal and interest payments of \$699.25 based on a CPI index of 0.00%. The lease has an interest rate of 1.6740%. The Land estimated useful life was 0 months as of the contract commencement. The value of the deferred inflow of resources as of 06/30/2023 was \$14,105.21, and Crook County, OR recognized lease revenue of \$554.90 during the fiscal year. The lessee has 1 extension option(s), each for 120 months.

On 07/01/2021, Crook County, OR entered into a 315-month lease as Lessor for the use of Hangar - Oberdofer Trust J5. An initial lease receivable was recorded in the amount of \$19,794.75. As of 06/30/2023, the value of the lease receivable is \$18,403.19. The lessee is required to make annual variable principal and interest payments of \$936.25 based on a CPI index of 0.00%. The lease has an interest rate of 1.6630%. The Land estimated useful life was 0 months as of the contract commencement. The value of the deferred inflow of resources as of 06/30/2023 was \$18,286.58, and Crook County, OR recognized lease revenue of \$754.09 during the fiscal year. The lessee has 1 extension option(s), each for 120 months.

On 05/18/2022, Crook County, OR entered into a 480-month lease as Lessor for the use of Hangar - Godlasky. An initial lease receivable was recorded in the amount of \$19,649.04. As of 06/30/2023, the value of the lease receivable is \$9,126.03. The lessee is required to make annual fixed payments of \$394.24. The lease has an interest rate of 2.9070%. The Land estimated useful life was 0 months as of the contract commencement. The value of the deferred inflow of resources as of 06/30/2023 was \$19,099.63, and Crook County, OR recognized lease revenue of \$490.78 during the fiscal year. The lessee has 1 extension option(s), each for 120 months.

On 07/01/2021, Crook County, OR entered into a 385-month lease as Lessor for the use of Hangar - 13920 S. ELM St. An initial lease receivable was recorded in the amount of \$14,373.18. As of 06/30/2023, the value of the lease receivable is \$13,569.77. The lessee is required to make annual variable principal and interest payments of \$581.59 based on a CPI index of 0.00%. The lease has an interest rate of 1.7050%. The Land estimated useful life was 0 months as of the contract commencement. The value of the deferred inflow of resources as of 06/30/2023 was \$13,478.66, and Crook County, OR recognized lease revenue of \$447.26 during the fiscal year. The lessee has 1 extension option(s), each for 120 months.

CROOK COUNTY, OREGON
NOTES TO THE BASIC FINANCIAL STATEMENTS

16. Leases (continued)

On 07/01/2021, Crook County, OR entered into an 86-month lease as Lessor for the use of Hangar - Prineville Aviation. An initial lease receivable was recorded in the amount of \$3,248.50. As of 06/30/2023, the value of the lease receivable is \$2,323.42. The lessee is required to make annual variable principal and interest payments of \$476.36 based on a CPI index of 0.00%. The lease has an interest rate of 0.8330%. The Land estimated useful life was 0 months as of the contract commencement. The value of the deferred inflow of resources as of 06/30/2023 was \$2,341.94, and Crook County, OR recognized lease revenue of \$453.28 during the fiscal year.

On 07/01/2021, Crook County, OR entered into a 291-month lease as Lessor for the use of 5185 SW Airport Road. An initial lease receivable was recorded in the amount of \$22,096.62. As of 06/30/2023, the value of the lease receivable is \$20,400.44. The lessee is required to make annual variable principal and interest payments of \$1,111.76 based on a CPI index of 0.00%. The lease has an interest rate of 1.6370%. The Land estimated useful life was 0 months as of the contract commencement. The value of the deferred inflow of resources as of 06/30/2023 was \$20,279.00, and Crook County, OR recognized lease revenue of \$908.81 during the fiscal year. The lessee has 3 extension option(s), each for 60 months.

On 07/01/2021, Crook County, OR entered into a 476-month lease as Lessor for the use of Hangar - Robbins Family. An initial lease receivable was recorded in the amount of \$28,415.13. As of 06/30/2023, the value of the lease receivable is \$27,174.33. The lessee is required to make annual variable principal and interest payments of \$977.49 based on a CPI index of 0.00%. The lease has an interest rate of 1.7050%. The Land estimated useful life was 0 months as of the contract commencement. The value of the deferred inflow of resources as of 06/30/2023 was \$26,984.04, and Crook County, OR recognized lease revenue of \$715.55 during the fiscal year. The lessee has 1 extension option(s), each for 120 months.

On 07/01/2021, Crook County, OR entered into a 312-month lease as Lessor for the use of Hangar - Shelk J-4. An initial lease receivable was recorded in the amount of \$21,071.97. As of 06/30/2023, the value of the lease receivable is \$19,590.63. The lessee is required to make annual variable principal and interest payments of \$996.66 based on a CPI index of 0.00%. The lease has an interest rate of 1.6630%. The Land estimated useful life was 0 months as of the contract commencement. The value of the deferred inflow of resources as of 06/30/2023 was \$19,453.82, and Crook County, OR recognized lease revenue of \$809.08 during the fiscal year. The lessee has 1 extension option(s), each for 120 months.

On 07/01/2021, Crook County, OR entered into a 411-month lease as Lessor for the use of Hangar A3- 4151 Aviation Blvd. An initial lease receivable was recorded in the amount of \$18,155.18. As of 06/30/2023, the value of the lease receivable is \$17,205.96. The lessee is required to make annual variable principal and interest payments of \$702.10 based on a CPI index of 0.00%. The lease has an interest rate of 1.7050%. The Land estimated useful life was 0 months as of the contract commencement. The value of the deferred inflow of resources as of 06/30/2023 was \$17,095.46, and Crook County, OR recognized lease revenue of \$529.86 during the fiscal year. The lessee has 1 extension option(s), each for 120 months.

On 07/01/2021, Crook County, OR entered into a 224-month lease as Lessor for the use of Hangar - EAA. An initial lease receivable was recorded in the amount of \$8,458.55. As of 06/30/2023, the value of the lease receivable is \$7,588.48. The lessee is required to make annual variable principal and interest payments of \$536.35 based on a CPI index of 0.00%. The lease has an interest rate of 1.4850%. The Land estimated useful life was 0 months as of the contract commencement. The value of the deferred inflow of resources as of 06/30/2023 was \$7,552.28, and Crook County, OR recognized lease revenue of \$453.14 during the fiscal year. The lessee has 1 extension option(s), each for 120 months.

CROOK COUNTY, OREGON
NOTES TO THE BASIC FINANCIAL STATEMENTS

16. Leases (continued)

On 07/01/2021, Crook County, OR entered into a 315-month lease as Lessor for the use of Hangar D-3. An initial lease receivable was recorded in the amount of \$9,127.02. As of 06/30/2023, the value of the lease receivable is \$8,876.91. The lessee is required to make annual variable principal and interest payments of \$436.89 based on a CPI index of 0.00%. The lease has an interest rate of 1.6630%. The Land estimated useful life was 0 months as of the contract commencement. The value of the deferred inflow of resources as of 06/30/2023 was \$8,433.31, and Crook County, OR recognized lease revenue of \$346.85 during the fiscal year. The lessee has 1 extension option(s), each for 120 months.

On 07/01/2021, Crook County, OR entered into a 448-month lease as Lessor for the use of 4411 SW Airport Road. An initial lease receivable was recorded in the amount of \$21,594.72. As of 06/30/2023, the value of the lease receivable is \$20,566.50. The lessee is required to make annual variable principal and interest payments of \$785.13 based on a CPI index of 0.00%. The lease has an interest rate of 1.7050%. The Land estimated useful life was 0 months as of the contract commencement. The value of the deferred inflow of resources as of 06/30/2023 was \$20,438.98, and Crook County, OR recognized lease revenue of \$577.87 during the fiscal year. The lessee has 1 extension option(s), each for 120 months.

On 07/01/2021, Crook County, OR entered into a 214-month lease as Lessor for the use of Hangar - 4-T. An initial lease receivable was recorded in the amount of \$9,571.92. As of 06/30/2023, the value of the lease receivable is \$8,565.46. The lessee is required to make annual variable principal and interest payments of \$604.28 based on a CPI index of 0.00%. The lease has an interest rate of 1.4620%. The Land estimated useful life was 0 months as of the contract commencement. The value of the deferred inflow of resources as of 06/30/2023 was \$8,498.43, and Crook County, OR recognized lease revenue of \$536.74 during the fiscal year. The lessee has 1 extension option(s), each for 120 months.

On 07/01/2021, Crook County, OR entered into a 369-month lease as Lessor for the use of Hangar - B-13. An initial lease receivable was recorded in the amount of \$18,216.96. As of 06/30/2023, the value of the lease receivable is \$17,162.51. The lessee is required to make annual variable principal and interest payments of \$755.06 based on a CPI index of 0.00%. The lease has an interest rate of 1.7050%. The Land estimated useful life was 0 months as of the contract commencement. The value of the deferred inflow of resources as of 06/30/2023 was \$17,032.54, and Crook County, OR recognized lease revenue of \$592.21 during the fiscal year. The lessee has 1 extension option(s), each for 120 months.

On 07/01/2021, Crook County, OR entered into a 401-month lease as Lessor for the use of Hangar B-2 - 4193 SW Aviation Blvd. An initial lease receivable was recorded in the amount of \$18,534.89. As of 06/30/2023, the value of the lease receivable is \$17,533.38. The lessee is required to make annual variable principal and interest payments of \$732.87 based on a CPI index of 0.00%. The lease has an interest rate of 1.7050%. The Land estimated useful life was 0 months as of the contract commencement. The value of the deferred inflow of resources as of 06/30/2023 was \$17,425.85, and Crook County, OR recognized lease revenue of \$554.52 during the fiscal year. The lessee has 1 extension option(s), each for 120 months.

On 07/01/2021, Crook County, OR entered into a 403-month lease as Lessor for the use of Prineville Solar Lease. An initial lease receivable was recorded in the amount of \$6,404,634.04. As of 06/30/2023, the value of the lease receivable is \$6,217,723.98. The lessee is required to make annual fixed payments of \$181,254.33. The lease has an interest rate of 1.7050%. The Land estimated useful life was 0 months as of the contract commencement. The value of the deferred inflow of resources as of 06/30/2023 was \$6,023,216.63, and Crook County, OR recognized lease revenue of \$190,708.71 during the fiscal year. The lessee has 1 extension option(s), each for 144 months.

CROOK COUNTY, OREGON
NOTES TO THE BASIC FINANCIAL STATEMENTS

16. Leases (continued)

On 07/01/2021, Crook County, OR entered into a 348-month lease as Lessor for the use of 4169 SW Aviation Blvd. An initial lease receivable was recorded in the amount of \$16,051.42. As of 06/30/2023, the value of the lease receivable is \$15,051.25. The lessee is required to make annual fixed payments of \$699.25. The lease has an interest rate of 1.6940%. The Land estimated useful life was 0 months as of the contract commencement. The value of the deferred inflow of resources as of 06/30/2023 was \$14,947.29, and Crook County, OR recognized lease revenue of \$552.07 during the fiscal year. The lessee has 1 extension option(s), each for 120 months.

On 04/01/2022, Crook County, OR entered into a 120-month lease as Lessor for the use of Les Schwab Hangars - LASER. An initial lease receivable was recorded in the amount of \$372,895.80. As of 06/30/2023, the value of the lease receivable is \$330,448.34. The lessee is required to make monthly variable principal and interest payments of \$3,500.00 based on a CPI index of 0.00%. The lease has an interest rate of 2.4520%. The Buildings estimated useful life was 336 months as of the contract commencement. The value of the deferred inflow of resources as of 06/30/2023 was \$326,283.82, and Crook County, OR recognized lease revenue of \$37,289.58 during the fiscal year. The lessee has 1 extension option(s), each for 60 months.

On 07/01/2021, Crook County, OR entered into a 90-month lease as Lessor for the use of 4085 SW Airport Road. An initial lease receivable was recorded in the amount of \$7,013.36. As of 06/30/2023, the value of the lease receivable is \$5,033.30. The lessee is required to make annual variable principal and interest payments of \$1,036.05 based on a CPI index of 0.00%. The lease has an interest rate of 0.9670%. The Land estimated useful life was 0 months as of the contract commencement. The value of the deferred inflow of resources as of 06/30/2023 was \$5,143.13, and Crook County, OR recognized lease revenue of \$935.11 during the fiscal year.

On 02/07/2022, Crook County, OR entered into a 480-month lease as Lessor for the use of 4219 Aviation Blvd. An initial lease receivable was recorded in the amount of \$64,786.75. As of 06/30/2023, the value of the lease receivable is \$33,033.49. The lessee is required to make annual fixed payments of \$1,176.00. The lease has an interest rate of 1.7510%. The Land estimated useful life was 0 months as of the contract commencement. The value of the deferred inflow of resources as of 06/30/2023 was \$62,522.99, and Crook County, OR recognized lease revenue of \$1,616.97 during the fiscal year. The lessee has 1 extension option(s), each for 120 months.

On 03/02/2022, Crook County, OR entered into a 360-month lease as Lessor for the use of 4075 Aviation Blvd. An initial lease receivable was recorded in the amount of \$20,540.10. As of 06/30/2023, the value of the lease receivable is \$19,132.50. The lessee is required to make annual variable principal and interest payments of \$847.00 based on a CPI index of 0.00%. The lease has an interest rate of 1.7510%. The Land estimated useful life was 0 months as of the contract commencement. The value of the deferred inflow of resources as of 06/30/2023 was \$19,629.02, and Crook County, OR recognized lease revenue of \$684.73 during the fiscal year. The lessee has 1 extension option(s), each for 120 months.

On 07/01/2021, Crook County, OR entered into a 335-month lease as Lessor for the use of 5169 SW Airport Road. An initial lease receivable was recorded in the amount of \$19,378.67. As of 06/30/2023, the value of the lease receivable is \$18,123.31. The lessee is required to make annual variable principal and interest payments of \$866.51 based on a CPI index of 0.00%. The lease has an interest rate of 1.6840%. The Land estimated useful life was 0 months as of the contract commencement. The value of the deferred inflow of resources as of 06/30/2023 was \$17,993.38, and Crook County, OR recognized lease revenue of \$692.65 during the fiscal year. The lessee has 1 extension option(s), each for 120 months.

CROOK COUNTY, OREGON
NOTES TO THE BASIC FINANCIAL STATEMENTS

16. Leases (continued)

On 07/01/2021, Crook County, OR entered into a 113-month lease as Lessor for the use of Hangar - Peverieri. An initial lease receivable was recorded in the amount of \$7,225.18. As of 06/30/2023, the value of the lease receivable is \$5,649.46. The lessee is required to make annual fixed payments of \$842.80. The lease has an interest rate of 1.0950%. The Land estimated useful life was 0 months as of the contract commencement. The value of the deferred inflow of resources as of 06/30/2023 was \$5,703.20, and Crook County, OR recognized lease revenue of \$760.99 during the fiscal year.

On 07/01/2021, Crook County, OR entered into a 250-month lease as Lessor for the use of T-Mobile Lease. An initial lease receivable was recorded in the amount of \$279,754.39. As of 06/30/2023, the value of the lease receivable is \$268,960.87. The lessee is required to make monthly fixed payments of \$366.03. The lease has an interest rate of 1.5510%. The Land estimated useful life was 0 months as of the contract commencement. The value of the deferred inflow of resources as of 06/30/2023 was \$252,897.97, and Crook County, OR recognized lease revenue of \$13,428.21 during the fiscal year. The lessee has 3 extension option(s), each for 60 months.

On 07/01/2021, Crook County, OR entered into a 202-month lease as Lessor for the use of Helibase Lease. An initial lease receivable was recorded in the amount of \$4,889,808.31. As of 06/30/2023, the value of the lease receivable is \$4,618,768.57. The lessee is required to make monthly fixed payments of \$28,806.56. The lease has an interest rate of 1.4270%. The Land Improvements estimated useful life was 475 months as of the contract commencement. The value of the deferred inflow of resources as of 06/30/2023 was \$5,395,862.15, and Crook County, OR recognized lease revenue of \$363,697.88 during the fiscal year.

On 07/01/2021, Crook County, OR entered into a 90-month lease as Lessor for the use of Hangar - 432 Lakefront Ln. An initial lease receivable was recorded in the amount of \$11,810.85. As of 06/30/2023, the value of the lease receivable is \$8,476.33. The lessee is required to make annual variable principal and interest payments of \$1,744.76 based on a CPI index of 0.00%. The lease has an interest rate of 0.9670%. The Land estimated useful life was 0 months as of the contract commencement. The value of the deferred inflow of resources as of 06/30/2023 was \$8,661.29, and Crook County, OR recognized lease revenue of \$1,574.78 during the fiscal year.

On 07/01/2021, Crook County, OR entered into a 329-month lease as Lessor for the use of Hangar - Wolfe Pack A-9. An initial lease receivable was recorded in the amount of \$15,215.01. As of 06/30/2023, the value of the lease receivable is \$14,188.99. The lessee is required to make annual variable principal and interest payments of \$699.25 based on a CPI index of 0.00%. The lease has an interest rate of 1.6740%. The Land estimated useful life was 0 months as of the contract commencement. The value of the deferred inflow of resources as of 06/30/2023 was \$14,105.21, and Crook County, OR recognized lease revenue of \$554.90 during the fiscal year. The lessee has 1 extension option(s), each for 120 months.

On 07/01/2021, Crook County, OR entered into a 320-month lease as Lessor for the use of Hangar J-6, Robbins. An initial lease receivable was recorded in the amount of \$13,465.29. As of 06/30/2023, the value of the lease receivable is \$12,556.76. The lessee is required to make annual variable principal and interest payments of \$618.00 based on a CPI index of 0.00%. The lease has an interest rate of 1.6630%. The Land estimated useful life was 0 months as of the contract commencement. The value of the deferred inflow of resources as of 06/30/2023 was \$12,455.81, and Crook County, OR recognized lease revenue of \$504.74 during the fiscal year. The lessee has 1 extension option(s), each for 120 months.

CROOK COUNTY, OREGON
NOTES TO THE BASIC FINANCIAL STATEMENTS

16. Leases (continued)

On 07/01/2021, Crook County, OR entered into a 380-month lease as Lessor for the use of Hangar T-1A - 4221 Aviation Blvd. An initial lease receivable was recorded in the amount of \$22,353.69. As of 06/30/2023, the value of the lease receivable is \$21,104.20. The lessee is required to make annual variable principal and interest payments of \$904.51 based on a CPI index of 0.00%. The lease has an interest rate of 1.7050%. The Land estimated useful life was 0 months as of the contract commencement. The value of the deferred inflow of resources as of 06/30/2023 was \$20,945.09, and Crook County, OR recognized lease revenue of \$704.30 during the fiscal year. The lessee has 1 extension option(s), each for 120 months.

On 07/01/2021, Crook County, OR entered into a 380-month lease as Lessor for the use of Hangar T-1A - 4221 Aviation Blvd. An initial lease receivable was recorded in the amount of \$22,353.69. As of 06/30/2023, the value of the lease receivable is \$21,639.75. The lessee is required to make annual variable principal and interest payments of \$904.51 based on a CPI index of 0.00%. The lease has an interest rate of 1.7050%. The Land estimated useful life was 0 months as of the contract commencement. The value of the deferred inflow of resources as of 06/30/2023 was \$0.00, and Crook County, OR recognized lease revenue of \$344.58 during the fiscal year. The lessee has 1 extension option(s), each for 120 months.

On 07/01/2021, Crook County, OR entered into a 314-month lease as Lessor for the use of Hangar J-1. An initial lease receivable was recorded in the amount of \$20,596.27. As of 06/30/2023, the value of the lease receivable is \$19,148.37. The lessee is required to make annual variable principal and interest payments of \$974.16 based on a CPI index of 0.00%. The lease has an interest rate of 1.6630%. The Land estimated useful life was 0 months as of the contract commencement. The value of the deferred inflow of resources as of 06/30/2023 was \$19,026.03, and Crook County, OR recognized lease revenue of \$785.12 during the fiscal year. The lessee has 1 extension option(s), each for 120 months.

On 07/01/2021, Crook County, OR entered into a 238-month lease as Lessor for the use of 4013 Aviation Blvd. An initial lease receivable was recorded in the amount of \$15,385.23. As of 06/30/2023, the value of the lease receivable is \$13,934.23. The lessee is required to make annual variable principal and interest payments of \$890.52 based on a CPI index of 0.00%. The lease has an interest rate of 1.5180%. The Land estimated useful life was 0 months as of the contract commencement. The value of the deferred inflow of resources as of 06/30/2023 was \$13,837.68, and Crook County, OR recognized lease revenue of \$773.78 during the fiscal year.

On 07/01/2021, Crook County, OR entered into a 204-month lease as Lessor for the use of TDS (BendBroadband) Lot 17. An initial lease receivable was recorded in the amount of \$71,376.57. As of 06/30/2023, the value of the lease receivable is \$63,814.78. The lessee is required to make monthly variable principal and interest payments of \$392.08 based on a CPI index of 0.00%. The lease has an interest rate of 1.4270%. The Land estimated useful life was 0 months as of the contract commencement. The value of the deferred inflow of resources as of 06/30/2023 was \$62,983.44, and Crook County, OR recognized lease revenue of \$4,196.56 during the fiscal year.

CROOK COUNTY, OREGON
 NOTES TO THE BASIC FINANCIAL STATEMENTS

16. Leases (continued)

Principal and Interest Expected to Maturity

Fiscal Year	Business-Type Activities		
	Principal Payments	Interest Payments	Total Payments
2024	401,500	84,908	486,408
2025	377,047	79,361	456,408
2026	352,476	73,932	426,408
2027	357,952	68,456	426,408
2028	363,516	62,892	426,408
2029 - 2033	1,831,853	228,873	2,060,726
2034 - 2038	1,747,992	95,936	1,843,928
2039 - 2043	139,689	27,114	166,804
2044 - 2048	138,627	15,139	153,766
2049 - 2053	54,226	6,071	60,297
2054 - 2058	24,290	2,539	26,828
2059 - 2062	13,958	632	14,589
Total	5,803,126	745,853	6,548,978

Fiscal Year	Governmental Activities		
	Principal Payments	Interest Payments	Total Payments
2024	95,477	111,005	206,482
2025	100,853	109,400	210,254
2026	106,396	107,704	214,100
2027	112,440	105,914	218,354
2028	119,999	104,008	224,007
2029 - 2033	697,964	487,621	1,185,585
2034 - 2038	887,578	422,562	1,310,140
2039 - 2043	1,056,623	341,510	1,398,133
2044 - 2048	1,210,287	247,966	1,458,253
2049 - 2053	1,767,760	126,392	1,894,152
2054 - 2058	395,123	6,737	401,860
Total	6,550,500	2,170,819	8,721,320

17. Subscriptions Payable

For the year ended June 30, 2023, the financial statements include the adoption of GASB Statement No. 96, Subscription-Based Information Technology Arrangements. The primary objective of this statement is to enhance the relevance and consistency of information about governments' subscription activities. This statement establishes a single model for subscription accounting based on the principle that subscriptions are financings of the right to use an underlying asset. Under this Statement, an organization is required to recognize a subscription liability and an intangible right-to-use subscription asset. For additional information, refer to the disclosures below.

On 07/01/2022, Crook County, OR entered into a 15-month subscription for the use of AuthAnvil. An initial subscription liability was recorded in the amount of \$787.87. As of 06/30/2023, the value of the subscription liability is \$158.70. Crook County, OR is required to make monthly fixed payments of \$53.05. The subscription has an interest rate of 1.7103%. The value of the right to use asset as of 06/30/2023 of \$787.87 with accumulated amortization of \$630.30 is included with Software on the Subscription Class activities table found below.

CROOK COUNTY, OREGON
NOTES TO THE BASIC FINANCIAL STATEMENTS

17. Subscriptions Payable (continued)

On 07/01/2022, Crook County, OR entered into a 25-month subscription for the use of IT Glue Software Service. An initial subscription liability was recorded in the amount of \$4,773.75. As of 06/30/2023, the value of the subscription liability is \$2,505.35. Crook County, OR is required to make monthly fixed payments of \$195.00. The subscription has an interest rate of 2.0237%. The value of the right to use asset as of 06/30/2023 of \$4,773.75 with accumulated amortization of \$2,246.47 is included with Software on the Subscription Class activities table found below.

On 07/01/2022, Crook County, OR entered into a 25-month subscription for the use of Network Glue Software Service. An initial subscription liability was recorded in the amount of \$7,095.83. As of 06/30/2023, the value of the subscription liability is \$3,725.85. Crook County, OR is required to make monthly fixed payments of \$290.00. The subscription has an interest rate of 2.0237%. The value of the right to use asset as of 06/30/2023 of \$7,095.83 with accumulated amortization of \$3,300.39 is included with Software on the Subscription Class activities table found below.

On 07/01/2022, Crook County, OR entered into a 15-month subscription for the use of Compliance Module Software Service. An initial subscription liability was recorded in the amount of \$6,186.40. As of 06/30/2023, the value of the subscription liability is \$1,246.46. Crook County, OR is required to make monthly fixed payments of \$416.67. The subscription has an interest rate of 1.7103%. The value of the right to use asset as of 06/30/2023 of \$6,186.40 with accumulated amortization of \$4,884.00 is included with Software on the Subscription Class activities table found below.

On 07/01/2022, Crook County, OR entered into a 15-month subscription for the use of VSA Module & Software Service. An initial subscription liability was recorded in the amount of \$9,486.68. As of 06/30/2023, the value of the subscription liability is \$1,910.87. Crook County, OR is required to make monthly fixed payments of \$638.77. The subscription has an interest rate of 1.7103%. The value of the right to use asset as of 06/30/2023 of \$9,486.68 with accumulated amortization of \$7,589.34 is included with Software on the Subscription Class activities table found below.

On 07/01/2022, Crook County, OR entered into a 14-month subscription for the use of BMS Module Software Service. An initial subscription liability was recorded in the amount of \$0.00. As of 06/30/2023, the value of the subscription liability is \$0.00. Crook County, OR is required to make annual fixed payments of \$0.00. The subscription has an interest rate of 1.7103%. The value of the right to use asset as of 06/30/2023 of \$0.00 with accumulated amortization of \$0.00 is included with Software on the Subscription Class activities table found below.

On 07/01/2022, Crook County, OR entered into a 24-month subscription for the use of WebRoot Software Service. An initial subscription liability was recorded in the amount of \$13,594.94. As of 06/30/2023, the value of the subscription liability is \$6,854.63. Crook County, OR is required to make monthly fixed payments of \$577.50. The subscription has an interest rate of 2.0237%. The value of the right to use asset as of 06/30/2023 of \$13,594.94 with accumulated amortization of \$6,797.47 is included with Software on the Subscription Class activities table found below.

On 07/01/2022, Crook County, OR entered into an 18-month subscription for the use of CDW-G - Adobe Acrobat Platform. An initial subscription liability was recorded in the amount of \$1,238.50. As of 06/30/2023, the value of the subscription liability is \$0.00. Crook County, OR is required to make annual fixed payments of \$1,251.24. The subscription has an interest rate of 2.0237%. The value of the right to use asset as of 06/30/2023 of \$1,238.50 with accumulated amortization of \$821.10 is included with Software on the Subscription Class activities table found below.

CROOK COUNTY, OREGON
NOTES TO THE BASIC FINANCIAL STATEMENTS

17. Subscriptions Payable (continued)

On 07/01/2022, Crook County, OR entered into a 17-month subscription for the use of Cleardesign Enterprise Software. An initial subscription liability was recorded in the amount of \$8,132.68. As of 06/30/2023, the value of the subscription liability is \$0.00. Crook County, OR is required to make annual fixed payments of \$10,927.27. The subscription has an interest rate of 1.7103%. The value of the right to use asset as of 06/30/2023 of \$25,132.68 with accumulated amortization of \$17,332.88 is included with Software on the Subscription Class activities table found below.

On 07/01/2022, Crook County, OR entered into a 34-month subscription for the use of Darktrace Enterprise Immune System. An initial subscription liability was recorded in the amount of \$116,414.69. As of 06/30/2023, the value of the subscription liability is \$58,717.41. Crook County, OR is required to make annual fixed payments of \$60,000.00. The subscription has an interest rate of 2.1843%. The value of the right to use asset as of 06/30/2023 of \$116,414.69 with accumulated amortization of \$40,066.24 is included with Software on the Subscription Class activities table found below.

On 12/01/2022, Crook County, OR entered into a 37-month subscription for the use of Towncloud Platform. An initial subscription liability was recorded in the amount of \$40,756.20. As of 06/30/2023, the value of the subscription liability is \$34,631.20. Crook County, OR is required to make annual fixed payments of \$6,125.00. The subscription has an interest rate of 3.2380%. The value of the right to use asset as of 06/30/2023 of \$40,756.20 with accumulated amortization of \$7,710.63 is included with Software on the Subscription Class activities table found below.

On 07/01/2022, Crook County, OR entered into a 24-month subscription for the use of LexisNexis Professional Service. An initial subscription liability was recorded in the amount of \$11,417.40. As of 06/30/2023, the value of the subscription liability is \$5,756.71. Crook County, OR is required to make monthly fixed payments of \$485.00. The subscription has an interest rate of 2.0237%. The value of the right to use asset as of 06/30/2023 of \$11,417.40 with accumulated amortization of \$5,708.70 is included with Software on the Subscription Class activities table found below.

On 07/01/2022, Crook County, OR entered into a 17-month subscription for the use of Lumen Data Management Service. An initial subscription liability was recorded in the amount of \$10,059.19. As of 06/30/2023, the value of the subscription liability is \$2,982.64. Crook County, OR is required to make monthly fixed payments of \$599.08. The subscription has an interest rate of 1.7103%. The value of the right to use asset as of 06/30/2023 of \$10,059.19 with accumulated amortization of \$6,819.79 is included with Software on the Subscription Class activities table found below.

On 07/01/2022, Crook County, OR entered into a 17-month subscription for the use of Lumen VoIP Portal Service. An initial subscription liability was recorded in the amount of \$66,446.41. As of 06/30/2023, the value of the subscription liability is \$19,701.92. Crook County, OR is required to make monthly fixed payments of \$3,957.25. The subscription has an interest rate of 1.7103%. The value of the right to use asset as of 06/30/2023 of \$66,446.41 with accumulated amortization of \$45,048.41 is included with Software on the Subscription Class activities table found below.

On 07/01/2022, Crook County, OR entered into a 14-month subscription for the use of Municode Customer Support. An initial subscription liability was recorded in the amount of \$2,789.66. As of 06/30/2023, the value of the subscription liability is \$0.00. Crook County, OR is required to make annual fixed payments of \$2,800.00. The subscription has an interest rate of 1.7103%. The value of the right to use asset as of 06/30/2023 of \$9,489.66 with accumulated amortization of \$7,799.72 is included with Software on the Subscription Class activities table found below. Crook County, OR had a termination period of 2 months as of the subscription commencement.

CROOK COUNTY, OREGON
 NOTES TO THE BASIC FINANCIAL STATEMENTS

17. Subscriptions Payable (continued)

On 07/01/2022, Crook County, OR entered into a 24-month subscription for the use of OpenGov Software Services. An initial subscription liability was recorded in the amount of \$37,211.68. As of 06/30/2023, the value of the subscription liability is \$27,836.68. Crook County, OR is required to make annual fixed payments of \$28,400.00. The subscription has an interest rate of 2.0237%. The value of the right to use asset as of 06/30/2023 of \$73,511.68 with accumulated amortization of \$36,755.84 is included with Software on the Subscription Class activities table found below.

On 07/01/2022, Crook County, OR entered into a 12-month subscription for the use of VMSG Dashboard Cloud Service. An initial subscription liability was recorded in the amount of \$2,297.38. As of 06/30/2023, the value of the subscription liability is \$0.00. Crook County, OR is required to make annual fixed payments of \$2,300.00. The subscription has an interest rate of 1.7103%. The value of the right to use asset as of 06/30/2023 of \$2,297.38 with accumulated amortization of \$2,153.79 is included with Software on the Subscription Class activities table found below. Crook County, OR has 1 extension option(s), each for 12 months.

As of Fiscal Year-end			
Asset Class	Subscription Asset Value	Accumulated Amortization	Subscription Asset (net)
Software	\$ 398,689	\$ 195,665	\$ 203,024

Principal and Interest Requirements to Maturity

Fiscal Year	Governmental Activities		
	Principal Payments	Interest Payments	Total Payments
2024	143,259	2,818	146,077
2025	15,263	722	15,985
2026	7,507	243	7,750
Total	166,029	3,783	169,812

CROOK COUNTY, OREGON

REQUIRED SUPPLEMENTARY INFORMATION

**CROOK COUNTY, OREGON
SCHEDULE OF FUNDING PROGRESS
FOR THE YEAR ENDED JUNE 30, 2023**

IMPLICIT RATE SUBSIDY - GASB 75:	2023	2022	2021	2020	2019	2018
Total Other Post Employment Benefits Liability Beginning	\$ 582,749	\$ 512,198	\$ 440,505	\$ 395,229	\$ 513,393	\$ 486,839
Changes for the year:						
Service Cost	80,917	78,662	49,646	44,923	56,008	58,680
Interest	14,156	12,802	16,677	16,501	19,989	15,295
Changes in Benefit Terms	-	-	-	-	-	-
Differences between expected and actual experience	(3,590)	-	(54,081)	-	-	-
Changes in assumptions or other input	(134,913)	2,346	87,045	11,660	(171,883)	(30,249)
Employer Contributions	-	-	-	-	-	-
Benefit Payments	(16,670)	(23,259)	(27,594)	(27,808)	(22,278)	(17,172)
Net changes for the year	-60,100	70,551	71,693	45,276	-118,164	26,554
Total Other Post Employment Benefits Liability Ending	\$ 522,649	\$ 582,749	\$ 512,198	\$ 440,505	\$ 395,229	\$ 513,393
Fiduciary Net Position - Beginning	-	-	-	-	-	-
Contributions - Employer	16,670	23,259	27,594	27,808	22,278	17,172
Contributions - Employee	-	-	-	-	-	-
Net Investment Income	-	-	-	-	-	-
Benefit Payments	(16,670)	(23,259)	(27,594)	(27,808)	(22,278)	(17,172)
Administrative Expense	-	-	-	-	-	-
Net changes for the year	-	-	-	-	-	-
Fiduciary Net Position - Ending	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Net Liability for Other Post Employment Benefits - End of Year	\$ 522,649	\$ 582,749	\$ 512,198	\$ 440,505	\$ 395,229	\$ 513,393
Fiduciary Net Position as a percentage of the total						
Single Employer Pension Liability	0%	0%	0%	0%	0%	0%
Covered Payroll	\$ 2,958,143	\$ 3,007,276	\$ 2,643,262	\$ 2,457,378	\$ 2,224,742	\$ 2,138,020
Net Single Employer Pension Plan as a Percentage of Covered Payroll	18%	19%	19%	18%	18%	24%

**CROOK COUNTY, OREGON
REQUIRED SUPPLEMENTARY INFORMATION
FOR THE YEAR ENDED JUNE 30, 2023**

SCHEDULE OF THE PROPORTIONATE SHARE OF THE NET PENSION LIABILITY

Year Ended June 30,	(a) Employer's proportion of the net pension liability (NPL)	(b) Employer's proportionate share of the net pension liability (NPL)	(c) Employer's covered payroll	(b/c) NPL as a percentage of covered payroll	Plan fiduciary net position as a percentage of the total pension liability
2023	0.03 %	\$ 4,399,606	\$ 3,007,276	146.3 %	84.5 %
2022	0.02	2,941,675	2,643,262	111.3	87.6
2021	0.02	4,135,967	2,457,378	168.3	75.8
2020	0.02	3,985,953	2,224,742	179.2	80.2
2019	0.01	2,699,162	2,138,020	126.2	82.1
2018	0.01	1,807,374	1,587,104	113.9	83.1
2017	0.01	2,127,997	1,452,267	146.5	80.5
2016	0.01	806,097	1,333,592	60.4	91.9
2015	0.01	(319,932)	1,331,977	(24.0)	103.6
2014	0.01	720,277	1,478,962	48.7	92.0

The amounts presented for each fiscal year were actuarial determined at 12/31 and rolled forward to the measurement date.

These schedules are presented to illustrate the requirements to show information for 10 years. However, until a full 10-year trend has been compiled, information is presented only for the years for which the required supplementary information is available.

SCHEDULE OF CONTRIBUTIONS

	Statutorily required contribution	Contributions in relation to the statutorily required contribution	Contribution deficiency (excess)	Employer's covered payroll	Contributions as a percent of covered payroll
2023	\$ 621,322	\$ 621,322	\$ -	\$ 2,958,143	21.0 %
2022	625,189	625,189	-	3,007,276	20.8
2021	514,192	514,192	-	2,643,262	19.5
2020	449,116	449,116	-	2,457,378	18.3
2019	239,184	247,855	-	2,224,742	11.1
2018	247,855	247,855	-	2,138,020	11.6
2017	146,255	146,255	-	1,587,104	9.2
2016	122,391	122,391	-	1,452,267	8.4
2015	123,870	123,870	-	1,333,592	9.3
2014	125,442	125,442	-	1,331,977	9.4

The amounts presented for each fiscal year were actuarial determined at 12/31 and rolled forward to the measurement date.

These schedules are presented to illustrate the requirements to show information for 10 years. However, until a full 10-year trend has been compiled, information is presented only for the years for which the required supplementary information is available.

CROOK COUNTY, OREGON

**GENERAL FUND
SCHEDULE OF REVENUES, EXPENDITURES AND CHANGES IN FUND BALANCE -
BUDGET AND ACTUAL
FOR THE YEAR ENDED JUNE 30, 2023**

	Budgeted Amounts		Actual Amounts	Variance With Final Budget
	Original	Final		
REVENUES				
Local				
Taxes - property	\$ 3,533,000	\$ 3,748,000	\$ 2,451,659	\$ (1,296,341)
Taxes - other	-	-	2,032,195	2,032,195
Interest	-	-	433,451	433,451
Licenses, permits and fees	404,900	404,900	460,745	55,845
Charges for services	96,900	96,900	912,820	815,920
Interfund charges	3,773,300	3,844,700	3,977,310	132,610
Miscellaneous	50,500	50,500	-	-
Intergovernmental				
Local	6,184,900	6,121,400	373,223	(5,748,177)
State	-	-	992,529	992,529
Federal	-	9,700,000	12,174,572	2,474,572
Total Revenues	<u>14,043,500</u>	<u>23,966,400</u>	<u>23,808,504</u>	<u>(107,396)</u>
EXPENDITURES				
Assessor	583,500	1,128,400	(1) 1,054,898	73,502
Clerk	1,130,800	595,100	(1) 538,650	56,450
Finance	1,187,600	1,215,000	(1) 1,213,102	1,898
Legal	508,500	525,800	(1) 521,845	3,955
Administration	741,700	967,000	(1) 930,048	36,952
Natural Resources	55,800	61,000	(1) 60,274	726
Human Resources	761,600	740,300	(1) 513,278	227,022
District Attorney	1,731,600	1,731,600	(1) 1,572,050	159,550
Victims	360,100	373,700	(1) 289,186	84,514
Juvenile	1,125,100	1,151,400	(1) 1,079,779	71,621
GIS	248,800	255,500	(1) 252,438	3,062
Information Technology	1,094,800	1,114,600	(1) 1,090,530	24,070
Non-departmental	225,000	285,000	(1) 281,650	3,350
Total Expenditures	<u>9,754,900</u>	<u>10,144,400</u>	<u>9,397,728</u>	<u>746,672</u>
Excess (Deficiency) of revenues over expenditures	4,288,600	13,822,000	14,410,776	639,276
Contingency	6,488,600	6,489,488	-	6,489,488
Other financing sources (uses)				
Subscription proceeds	-	-	40,756	(40,756)
Transfers out	(2,191,600)	(2,164,112)	(1) (1,141,700)	1,022,412
Special Payments	(1,446,100)	(11,006,100)	(1) (11,004,657)	1,443
Total other financing sources (uses)	<u>(3,637,700)</u>	<u>(13,170,212)</u>	<u>(12,105,601)</u>	<u>1,023,855</u>
Net change in fund balance	(5,837,700)	(5,837,700)	2,305,175	8,142,875
Fund balance - beginning	<u>5,837,700</u>	<u>5,837,700</u>	<u>4,559,381</u>	<u>(1,278,319)</u>
Fund balance - ending	<u>\$ -</u>	<u>\$ -</u>	<u>\$ 6,864,556</u>	<u>\$ 6,864,556</u>

(1) Appropriation Level

CROOK COUNTY, OREGON

ROAD FUND

**SCHEDULE OF REVENUES, EXPENDITURES AND CHANGES IN FUND BALANCE -
BUDGET AND ACTUAL**

FOR THE YEAR ENDED JUNE 30, 2023

	Original	Final		Actual Amounts	Variance With Final Budget
REVENUES					
Local					
Interest	\$ 150,000	\$ 150,000		\$ 327,862	\$ 177,862
Licenses, permits and fines	21,000	21,000		20,114	(886)
Charges for services	6,000	6,000		105,286	99,286
Intergovernmental					
State	5,112,000	1,405,000		4,416,435	3,011,435
Federal	3,592,000	3,592,000		-	(3,592,000)
Total Revenues	8,881,000	5,174,000		4,869,697	(304,303)
EXPENDITURES					
Personnel services	1,832,800	1,932,000 (1)		1,905,942	26,058
Materials and services	3,186,800	3,186,800 (1)		2,189,567	997,233
Capital outlay	5,112,000	1,405,000 (1)		1,129,566	275,434
Operating contingency	1,000,000	900,800 (1)		-	900,800
Total Expenditures	11,131,600	7,424,600		5,225,075	2,199,525
Excess (Deficiency) of revenues over expenditures	(2,250,600)	(2,250,600)		(355,378)	1,895,222
Net change in fund balance	(2,250,600)	(2,250,600)		(355,378)	1,895,222
Fund Balance - Beginning	15,970,000	15,970,000		16,062,906	92,906
Fund Balance - Ending	\$ 13,719,400	\$ 13,719,400		\$ 15,707,528	\$ 1,988,128
Adjustment from budgetary statement Inventory				1,769,016	
				17,476,544	

(1) Appropriation Level

CROOK COUNTY, OREGON
COMMUNITY DEVELOPMENT
SCHEDULE OF REVENUES, EXPENDITURES AND CHANGES IN FUND BALANCE -
BUDGET AND ACTUAL
FOR THE YEAR ENDED JUNE 30, 2023

	<u>Budgeted Amounts</u>		<u>Actual Amounts</u>	<u>Variance With Final Budget</u>
	<u>Original</u>	<u>Final</u>		
REVENUES				
Local				
Interest	\$ -	\$ -	\$ 232,437	\$ 232,437
Licenses, permits and fees	4,692,700	4,692,700	2,738,179	(1,954,521)
Charges for Services	8,100	8,100	2,826	(5,274)
Miscellaneous	<u>110,000</u>	<u>110,000</u>	<u>-</u>	<u>(110,000)</u>
Total Revenues	<u>4,810,800</u>	<u>4,810,800</u>	<u>2,973,442</u>	<u>(1,837,358)</u>
EXPENDITURES				
Administration	948,000	954,300 (1)	627,935	326,365
Electrical	727,100	661,800 (1)	488,520	173,280
Building	2,549,400	2,600,900 (1)	2,041,919	558,981
Onsite	321,500	322,500 (1)	267,691	54,809
Code Enforcement	100,800	110,000 (1)	105,879	4,121
Contingency	<u>1,972,300</u>	<u>1,969,600 (1)</u>	<u>-</u>	<u>1,969,600</u>
Total Expenditures	<u>6,619,100</u>	<u>6,619,100</u>	<u>3,531,944</u>	<u>3,087,156</u>
Excess (Deficiency) of revenues over expenditures	<u>(1,808,300)</u>	<u>(1,808,300)</u>	<u>(558,502)</u>	<u>1,249,798</u>
Net change in fund balance	(1,808,300)	(1,808,300)	(558,502)	1,249,798
Fund balance - beginning	<u>10,676,600</u>	<u>10,676,600</u>	<u>11,107,133</u>	<u>430,533</u>
Fund balance - ending	<u>\$ 8,868,300</u>	<u>\$ 8,868,300</u>	<u>\$ 10,548,631</u>	<u>\$ 1,680,331</u>

CROOK COUNTY, OREGON
SHERIFF'S OFFICE
SCHEDULE OF REVENUES, EXPENDITURES AND CHANGES IN FUND BALANCE -
BUDGET AND ACTUAL
FOR THE YEAR ENDED JUNE 30, 2023

	<u>Original</u>	<u>Final</u>	<u>Actual</u> <u>Amounts</u>	<u>Variance</u> <u>With Final</u> <u>Budget</u>
REVENUES				
Local				
Taxes - Property	\$ 8,301,000	\$ 8,301,000	\$ 8,422,428	\$ 121,428
Interest	-	-	115,853	115,853
Licenses, permits and fines	94,700	94,700	122,775	28,075
Charges for services	17,200	24,300	1,755	(22,545)
Internal Charges	580,184	580,184	580,184	-
Miscellaneous	12,200	12,200	62,513	50,313
Intergovernmental				
Local	2,212,200	2,212,200	3,937	(2,208,263)
State	-	-	2,837,200	2,837,200
Federal	-	-	286,572	286,572
Total Revenues	11,217,484	11,224,584	12,433,217	1,208,633
EXPENDITURES				
Sheriff's Office	6,063,600	6,191,100 (1)	5,593,386	597,714
Jail	4,469,400	4,487,800 (1)	4,149,404	338,396
Parole & Probation	2,277,600	2,286,600 (1)	1,812,596	474,004
Special Services	444,900	452,800 (1)	343,382	109,418
Debt Service	-	181,400 (1)	-	181,400
Operating contingency	1,856,800	1,512,600 (1)	-	1,512,600
Total Expenditures	15,112,300	15,112,300	11,898,768	3,213,532
Excess (Deficiency) of revenues over expenditures	<u>(3,894,816)</u>	<u>(3,887,716)</u>	<u>534,449</u>	<u>4,422,165</u>
Other financing sources (uses)				
Transfers In	<u>914,816</u>	<u>907,716</u>	<u>8,791</u>	<u>(898,925)</u>
Total other financing sources (uses)	<u>914,816</u>	<u>907,716</u>	<u>8,791</u>	<u>(898,925)</u>
Net change in fund balance	(2,980,000)	(2,980,000)	543,240	3,523,240
Fund Balance - Beginning	<u>2,980,000</u>	<u>2,980,000</u>	<u>3,229,321</u>	<u>249,321</u>
Fund Balance - Ending	<u>\$ -</u>	<u>\$ -</u>	<u>\$ 3,772,561</u>	<u>\$ 3,772,561</u>

(1) Appropriation Level

CROOK COUNTY, OREGON

**HEALTH SERVICES
SCHEDULE OF REVENUES, EXPENDITURES AND CHANGES IN FUND BALANCE -
BUDGET AND ACTUAL
FOR THE YEAR ENDED JUNE 30, 2023**

	<u>Budgeted Amounts</u>		<u>Actual Amounts</u>	<u>Variance With Final Budget</u>
	<u>Original</u>	<u>Final</u>		
REVENUES				
Local				
Interest		\$ -	\$ 65,850	\$ 65,850
Licenses, permits and fees	80,100	80,100	89,902	9,802
Charges for services	513,600	513,600	455,549	(58,051)
Miscellaneous	20,200	20,200	84,839	64,639
Donations/contributions		-	95	95
Intergovernmental				
Local	1,591,800	1,737,947	102,417	(1,635,530)
State			465,135	465,135
Federal			670,020	670,020
Total Revenues	<u>2,205,700</u>	<u>2,351,847</u>	<u>1,933,807</u>	<u>(418,040)</u>
EXPENDITURES				
Health	1,132,900	934,089 (1)	925,169	8,920
Environmental Health	97,400	103,000 (1)	69,649	33,351
Grant Programs	2,481,000	2,614,350 (1)	2,012,648	601,702
Contingency	2,035,400	2,245,191 (1)	-	2,245,191
Total Expenditures	<u>5,746,700</u>	<u>5,896,630</u>	<u>3,007,466</u>	<u>2,889,164</u>
Excess (Deficiency) of revenues over expenditures	<u>(3,541,000)</u>	<u>(3,544,783)</u>	<u>(1,073,659)</u>	<u>2,471,124</u>
Other financing sources (uses)				
Transfers in	731,000	734,783	731,000	(3,783)
Total other financing sources (uses)	<u>731,000</u>	<u>734,783</u>	<u>731,000</u>	<u>(3,783)</u>
Net change in fund balance	(2,810,000)	(2,810,000)	(342,659)	2,467,341
Fund balance - beginning	<u>2,810,000</u>	<u>2,810,000</u>	<u>2,799,165</u>	<u>(10,835)</u>
Fund balance - ending	<u>\$ -</u>	<u>\$ -</u>	<u>\$ 2,456,506</u>	<u>\$ 2,456,506</u>

CROOK COUNTY, OREGON

**CAPITAL ASSET RESERVE
SCHEDULE OF REVENUES, EXPENDITURES AND CHANGES IN FUND BALANCE -
BUDGET AND ACTUAL
FOR THE YEAR ENDED JUNE 30, 2023**

	<u>Budgeted Amounts</u>		<u>Actual Amounts</u>	<u>Variance With Final Budget</u>
	<u>Original</u>	<u>Final</u>		
REVENUES				
Local				
Interest	\$ -	\$ -	\$ 336,589	\$ 336,589
Miscellaneous	110,000	110,000	-	(110,000)
Intergovernmental				
Local	23,000	23,000	23,446	446
Total Revenues	133,000	133,000	360,035	227,035
EXPENDITURES				
Capital Outlay	2,500,000	2,500,000 (1)	2,500,000	-
Contingency	8,382,000	8,382,000 (1)	-	8,382,000
Total Expenditures	10,882,000	10,882,000	2,500,000	8,382,000
Net change in fund balance	(10,749,000)	(10,749,000)	(2,139,965)	8,609,035
Fund balance - beginning	10,749,000	10,749,000	10,830,241	81,241
Fund balance - ending	\$ -	\$ -	\$ 8,690,276	\$ 8,690,276

(1) Appropriation Level

CROOK COUNTY, OREGON

**CAPITAL PROJECTS FUND
SCHEDULE OF REVENUES, EXPENDITURES AND CHANGES IN FUND BALANCE -
BUDGET AND ACTUAL
FOR THE YEAR ENDED JUNE 30, 2023**

	<u>Budgeted Amounts</u>		<u>Actual Amounts</u>	<u>Variance With Final Budget</u>
	<u>Original</u>	<u>Final</u>		
REVENUES				
Local				
Interest	\$ -	\$ -	\$ 981,115	\$ 981,115
Miscellaneous	300,000	300,000	-	(300,000)
Intergovernmental				
Federal	16,000,000	16,000,000	-	(16,000,000)
Total Revenues	<u>16,300,000</u>	<u>16,300,000</u>	<u>981,115</u>	<u>(15,318,885)</u>
EXPENDITURES				
Personnel services	135,000	135,000 (1)	27,708	107,292
Materials and services	2,523,000	2,523,000 (1)	1,838,466	684,534
Capital Outlay	44,457,000	44,457,000 (1)	12,197,389	32,259,611
Contingency	9,318,000	9,318,000 (1)	-	9,318,000
Total Expenditures	<u>56,433,000</u>	<u>56,433,000</u>	<u>14,063,563</u>	<u>42,369,437</u>
Excess (Deficiency) of revenues over expenditures	(40,133,000)	(40,133,000)	(13,082,448)	(57,688,322)
Net change in fund balance	(40,133,000)	(40,133,000)	(13,082,448)	27,050,552
Fund balance - beginning	<u>40,133,000</u>	<u>40,133,000</u>	<u>38,995,210</u>	<u>(1,137,790)</u>
Fund balance - ending	<u>\$ -</u>	<u>\$ -</u>	<u>\$ 25,912,762</u>	<u>\$ 25,912,762</u>

(1) Appropriation Level

CROOK COUNTY, OREGON

SUPPLEMENTARY INFORMATION

CROOK COUNTY, OREGON

COMBINING BALANCE SHEET - NON-MAJOR GOVERNMENTAL FUNDS
AT JUNE 30, 2023

	Special Revenue Funds						
	Clerk's Dedicated	COCC Ed Center	Court Security	Taylor Grazing	Video Lottery	Mental Health A&D and Developmental Disabilities	Special Transportation
ASSETS							
Cash and investments	\$ 238,831	\$ 157,297	\$ -	\$ 41,054	\$ 356,076	\$ -	\$ 768,546
Accounts receivable	1,082	25,490	-	145	67,467	434,686	3,099
Taxes receivable	-	-	-	-	-	-	-
Total Assets	<u>239,913</u>	<u>182,787</u>	<u>-</u>	<u>41,199</u>	<u>423,543</u>	<u>434,686</u>	<u>771,645</u>
LIABILITIES, DEFERRED INFLOWS OF RESOURCES AND FUND BALANCES							
Liabilities							
Accounts payable and other current liabilities	381	-	-	-	-	-	-
Due to other funds	-	-	-	-	-	421,992	-
Deferred revenue	-	-	-	-	-	-	-
Total Liabilities	<u>381</u>	<u>-</u>	<u>-</u>	<u>-</u>	<u>-</u>	<u>421,992</u>	<u>-</u>
Deferred Inflows of Resources							
Unavailable property tax revenue	-	-	-	-	-	-	-
Fund Balances							
Restricted for expenditures under federal, state and local programs	-	-	-	41,199	423,543	12,694	-
Restricted for debt service	-	-	-	-	-	-	-
Assigned for:							
Capital projects	239,532	182,787	-	-	-	-	-
Other	-	-	-	-	-	-	771,645
Unassigned	-	-	-	-	-	-	-
Total Fund Balances	<u>239,532</u>	<u>182,787</u>	<u>-</u>	<u>41,199</u>	<u>423,543</u>	<u>12,694</u>	<u>771,645</u>
Total Liabilities, Deferred Inflows of Resources and Fund Balances	<u>\$ 239,913</u>	<u>\$ 182,787</u>	<u>\$ -</u>	<u>\$ 41,199</u>	<u>\$ 423,543</u>	<u>\$ 434,686</u>	<u>\$ 771,645</u>

CROOK COUNTY, OREGON

**COMBINING BALANCE SHEET - NON-MAJOR GOVERNMENTAL FUNDS
AT JUNE 30, 2023**

Special Revenue Funds								
Special Projects on Federal Lands	Crooked River Watershed	Veterans Enhancement Program	Library	County Surveyor	County School Fund	Tourism Discretionary Funds	Fairgrounds Operation	AG Extension Service District
\$ 587,097	\$ -	\$ 89,331	\$ 773,816	\$ 210,494	\$ -	\$ 93,704	\$ 1,606,519	\$ 333,233
1,896	9,213	23,251	3,672	1,045	-	291	96,679	6,164
-	-	-	661	-	-	-	-	12,896
<u>588,993</u>	<u>\$ 9,213</u>	<u>\$ 112,582</u>	<u>778,149</u>	<u>211,539</u>	<u>-</u>	<u>93,995</u>	<u>1,703,198</u>	<u>352,293</u>
-	3,638	2,806	25,375	29,835	-	-	24,041	26,091
-	1,847	-	-	-	-	-	-	-
-	-	-	-	-	-	-	1,267,021	-
-	<u>5,485</u>	<u>2,806</u>	<u>25,375</u>	<u>29,835</u>	<u>-</u>	<u>-</u>	<u>1,291,062</u>	<u>26,091</u>
-	-	-	661	-	-	-	-	12,033
588,993	-	-	752,113	-	-	93,995	-	-
-	-	-	-	-	-	-	-	-
-	3,728	109,776	-	181,704	-	-	412,136	314,169
-	-	-	-	-	-	-	-	-
<u>588,993</u>	<u>3,728</u>	<u>109,776</u>	<u>752,113</u>	<u>181,704</u>	<u>-</u>	<u>93,995</u>	<u>412,136</u>	<u>314,169</u>
<u>\$ 588,993</u>	<u>\$ 9,213</u>	<u>\$ 112,582</u>	<u>\$ 778,149</u>	<u>\$ 211,539</u>	<u>\$ -</u>	<u>\$ 93,995</u>	<u>\$ 1,703,198</u>	<u>\$ 352,293</u>

CROOK COUNTY, OREGON

COMBINING BALANCE SHEET - NON-MAJOR GOVERNMENTAL FUNDS
AT JUNE 30, 2023

Special Revenue Funds					Capital Project Funds		Debt Service	Total
Extension Building Maintenance	Extension Capital Reserve	Historical Museum	Historical Building Reserve	Road Agency	Crook County Airport Project	Belknap Museum Project	General Obligation Bond	
\$ 29,891	\$ 72,602	\$ 147,792	\$ 60,900	\$ 884,924	\$ -	\$ -	\$ 22,267	\$ 6,474,374
70	233	769	230	-	-	-	943	676,425
-	-	6,390	-	-	-	-	20,956	40,903
<u>29,961</u>	<u>72,835</u>	<u>154,951</u>	<u>61,130</u>	<u>884,924</u>	<u>-</u>	<u>-</u>	<u>44,166</u>	<u>7,191,702</u>
-	-	6,517	-	-	-	-	-	118,684
-	-	-	-	-	-	-	-	423,839
-	-	-	-	-	-	-	-	1,267,021
-	-	6,517	-	-	-	-	-	1,809,544
-	-	5,531	-	-	-	-	19,448	37,673
-	-	-	-	-	-	-	-	1,912,537
-	-	-	-	-	-	-	24,718	24,718
29,961	72,835	142,903	61,130	884,924	-	-	-	422,319
-	-	-	-	-	-	-	-	2,984,911
<u>29,961</u>	<u>72,835</u>	<u>142,903</u>	<u>61,130</u>	<u>884,924</u>	<u>-</u>	<u>-</u>	<u>24,718</u>	<u>5,344,485</u>
<u>\$ 29,961</u>	<u>\$ 72,835</u>	<u>\$ 154,951</u>	<u>\$ 61,130</u>	<u>\$ 884,924</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ 44,166</u>	<u>\$ 7,191,702</u>

CROOK COUNTY, OREGON
 COMBINING STATEMENT OF REVENUE, EXPENDITURES AND CHANGES IN
 FUND BALANCE - NON-MAJOR GOVERNMENTAL FUNDS
 FOR THE YEAR ENDED JUNE 30, 2023

	Special Revenue Funds					
	Clerk's Dedicated	COCC Ed Center	Court Security	Taylor Grazing	Video Lottery	Mental Health A&D and Developmental Disabilities
REVENUES						
Taxes - Property	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Taxes - Other	-	-	-	-	-	-
Interest	4,945	2,737	-	807	6,892	808
Licenses, permits, and fees	15,134	-	-	-	-	-
Charges for services	8,418	-	-	-	-	-
Donations/Contributions	-	-	-	-	-	-
Miscellaneous	-	-	-	-	-	-
Intergovernmental						
Local	-	-	-	-	-	-
State	-	25,000	-	-	253,048	4,175,745
Federal	-	-	-	3,145	-	-
Total Revenues	<u>28,497</u>	<u>27,737</u>	<u>-</u>	<u>3,952</u>	<u>259,940</u>	<u>4,176,553</u>
EXPENDITURES						
Current						
General government	26,069	-	-	737	-	-
Public safety	-	-	-	-	-	-
Health and welfare	-	-	-	-	-	4,177,796
Culture and education	-	-	-	-	112,492	-
Debt service						
Principal	-	-	-	-	-	-
Interest	-	-	-	-	-	-
Capital outlay	-	-	-	-	-	-
Total Expenditures	<u>26,069</u>	<u>-</u>	<u>-</u>	<u>737</u>	<u>112,492</u>	<u>4,177,796</u>
Excess (Deficiency) of revenues over expenditures	<u>2,428</u>	<u>27,737</u>	<u>-</u>	<u>3,215</u>	<u>147,448</u>	<u>(1,243)</u>
Other financing sources (uses)						
Transfers in	-	25,000	-	-	-	-
Transfers out	-	-	(8,791)	-	(100,000)	-
Total other financing sources (uses)	<u>-</u>	<u>25,000</u>	<u>(8,791)</u>	<u>-</u>	<u>(100,000)</u>	<u>-</u>
Net change in fund balances	2,428	52,737	(8,791)	3,215	47,448	(1,243)
Fund Balances - beginning	<u>237,104</u>	<u>130,050</u>	<u>8,791</u>	<u>37,984</u>	<u>376,095</u>	<u>13,937</u>
Fund Balances - ending	<u>\$ 239,532</u>	<u>\$ 182,787</u>	<u>\$ -</u>	<u>\$ 41,199</u>	<u>\$ 423,543</u>	<u>\$ 12,694</u>

CROOK COUNTY, OREGON

COMBINING STATEMENT OF REVENUE, EXPENDITURES AND CHANGES IN
FUND BALANCE - NON-MAJOR GOVERNMENTAL FUNDS
FOR THE YEAR ENDED JUNE 30, 2023

Special Revenue Funds									
Special Transportation	Special Projects on Federal Lands	Crooked River Watershed	Veterans' Enhancement Program	Library	County Surveyor	County School Fund	Tourism Discretionary Funds	Fairgrounds Operation	AG Extension Service District
\$ -	\$ -	\$ -	\$ -	\$ 1,384,568	\$ -	\$ -	\$ -	\$ -	\$ 338,576
-	-	-	-	-	-	129,238	27,090	238,392	-
16,805	10,830	-	1,930	18,877	4,497	196	1,636	38,661	7,814
-	-	-	-	25,213	62,515	-	-	-	-
-	-	110,654	-	3,673	-	-	-	200,192	47,811
-	-	-	295	8,706	-	-	-	292,515	-
-	-	-	-	849	-	-	-	57,626	-
-	-	-	-	-	-	-	-	104,120	-
211,449	-	-	91,568	9,529	-	-	-	958,517	-
-	89,769	-	-	1,079	-	205,125	-	216,127	-
<u>228,254</u>	<u>100,599</u>	<u>110,654</u>	<u>93,793</u>	<u>1,452,494</u>	<u>67,012</u>	<u>334,559</u>	<u>28,726</u>	<u>2,106,150</u>	<u>394,201</u>
127,351	-	106,926	258,968	-	72,764	-	-	-	-
-	37,000	-	-	-	-	-	-	-	-
-	-	-	-	1,439,852	-	334,908	5,000	1,099,205	335,856
-	-	-	-	-	-	-	-	-	-
-	-	-	-	-	-	-	-	-	-
-	-	-	-	-	-	-	-	1,115,932	-
<u>127,351</u>	<u>37,000</u>	<u>106,926</u>	<u>258,968</u>	<u>1,439,852</u>	<u>72,764</u>	<u>334,908</u>	<u>5,000</u>	<u>2,215,137</u>	<u>335,856</u>
<u>100,903</u>	<u>63,599</u>	<u>3,728</u>	<u>(165,175)</u>	<u>12,642</u>	<u>(5,752)</u>	<u>(349)</u>	<u>23,726</u>	<u>(108,987)</u>	<u>58,345</u>
-	-	-	160,700	-	-	-	-	325,000	-
-	-	-	-	-	-	-	-	-	(30,000)
-	-	-	160,700	-	-	-	-	325,000	(30,000)
100,903	63,599	3,728	(4,475)	12,642	(5,752)	(349)	23,726	216,013	28,345
670,742	525,394	-	114,251	739,471	187,456	349	70,269	196,123	285,824
<u>\$ 771,645</u>	<u>\$ 588,993</u>	<u>\$ 3,728</u>	<u>\$ 109,776</u>	<u>\$ 752,113</u>	<u>\$ 181,704</u>	<u>\$ -</u>	<u>\$ 93,995</u>	<u>\$ 412,136</u>	<u>\$ 314,169</u>

CROOK COUNTY, OREGON
 COMBINING STATEMENT OF REVENUE, EXPENDITURES AND CHANGES IN
 FUND BALANCE - NON-MAJOR GOVERNMENTAL FUNDS
 FOR THE YEAR ENDED JUNE 30, 2023

Special Revenue Funds					Capital Project Funds		Debt Service	Total
Extension Building Maintenance	Extension Capital Reserve	Historical Museum	Historical Building Reserve	Road Agency	Crook County Airport Project	Belknap Museum Project	General Obligation Bond Series 2017	
\$ -	\$ -	\$ 322,058	\$ -	\$ -	\$ -	\$ -	\$ 559,878	\$ 2,605,080
-	-	124,614	-	-	-	-	-	519,334
454	1,336	3,854	1,165	-	-	-	5,101	129,345
-	-	-	-	-	-	-	-	102,862
-	-	-	-	-	-	-	-	370,748
-	-	-	-	-	-	-	-	301,516
-	-	-	-	-	-	-	-	58,475
-	-	-	-	-	-	-	-	104,120
-	-	-	-	884,924	-	-	-	6,609,780
-	-	-	-	-	-	-	-	515,245
<u>454</u>	<u>1,336</u>	<u>450,526</u>	<u>1,165</u>	<u>884,924</u>	<u>-</u>	<u>-</u>	<u>564,979</u>	<u>11,316,505</u>
-	-	-	-	-	-	-	-	592,815
-	-	-	-	-	-	-	-	37,000
-	-	-	-	-	-	-	-	4,177,796
14,024	-	453,507	-	-	-	-	-	3,794,844
-	-	-	-	-	-	-	110,000	110,000
-	-	-	-	-	-	-	465,000	465,000
-	-	23,446	-	-	-	-	-	1,139,378
<u>14,024</u>	<u>-</u>	<u>476,953</u>	<u>-</u>	<u>-</u>	<u>-</u>	<u>-</u>	<u>575,000</u>	<u>10,316,833</u>
<u>(13,570)</u>	<u>1,336</u>	<u>(26,427)</u>	<u>1,165</u>	<u>884,924</u>	<u>-</u>	<u>-</u>	<u>(10,021)</u>	<u>999,672</u>
20,000	10,000	-	-	-	35,441	-	-	576,141
-	-	-	-	-	-	-	-	(138,791)
<u>20,000</u>	<u>10,000</u>	<u>-</u>	<u>-</u>	<u>-</u>	<u>35,441</u>	<u>-</u>	<u>-</u>	<u>437,350</u>
6,430	11,336	(26,427)	1,165	884,924	35,441	-	(10,021)	1,437,022
23,531	61,499	169,330	59,965	-	(35,441)	-	34,739	3,907,463
<u>\$ 29,961</u>	<u>\$ 72,835</u>	<u>\$ 142,903</u>	<u>\$ 61,130</u>	<u>\$ 884,924</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ 24,718</u>	<u>\$ 5,344,485</u>

CROOK COUNTY, OREGON

**CLERK RESERVES
SCHEDULE OF REVENUES, EXPENDITURES AND CHANGES IN FUND BALANCE -
BUDGET AND ACTUAL
FOR THE YEAR ENDED JUNE 30, 2023**

	<u>Budgeted Amounts</u>		<u>Actual Amounts</u>	<u>Variance With Final Budget</u>
	<u>Original</u>	<u>Final</u>		
REVENUES				
Local				
Interest	\$ -	\$ -	\$ 4,945	\$ 4,945
Miscellaneous	1,300	1,300	8,418	7,118
Licenses, permits and fines	24,600	24,600	15,134	(9,466)
Total Revenues	<u>25,900</u>	<u>25,900</u>	<u>28,497</u>	<u>2,597</u>
EXPENDITURES				
Materials and services	<u>278,900</u>	<u>278,900</u> (1)	<u>26,069</u>	<u>252,831</u>
Total Expenditures	<u>278,900</u>	<u>278,900</u>	<u>26,069</u>	<u>252,831</u>
Excess (Deficiency) of revenues over expenditures	(253,000)	(253,000)	2,428	255,428
Other financing sources (uses)				
Transfers in	<u>14,000</u>	<u>14,000</u>	<u>-</u>	<u>(14,000)</u>
Total other financing sources (uses)	<u>14,000</u>	<u>14,000</u>	<u>-</u>	<u>(14,000)</u>
Net change in fund balance	(239,000)	(239,000)	2,428	(264,234)
Fund balance - beginning	<u>239,000</u>	<u>239,000</u>	<u>237,104</u>	<u>(1,896)</u>
Fund balance - ending	<u>\$ -</u>	<u>\$ -</u>	<u>\$ 239,532</u>	<u>\$ 239,532</u>

(1) Appropriation Level

CROOK COUNTY, OREGON

**COCC EDUCATION CENTER
SCHEDULE OF REVENUES, EXPENDITURES AND CHANGES IN FUND BALANCE -
BUDGET AND ACTUAL
FOR THE YEAR ENDED JUNE 30, 2023**

	<u>Budgeted Amounts</u>		<u>Actual Amounts</u>	<u>Variance With Final Budget</u>
	<u>Original</u>	<u>Final</u>		
REVENUES				
Local				
Interest	\$ -	\$ -	\$ 2,737	\$ 2,737
Intergovernmental				
State	-	-	25,000	25,000
Total Revenues	-	-	27,737	27,737
EXPENDITURES				
Materials and services	129,000	129,000 (1)	-	129,000
Total Expenditures	129,000	129,000	-	129,000
Excess (Deficiency) of revenues over expenditures	(129,000)	(129,000)	27,737	156,737
Other financing sources (uses)				
Transfers in	-	-	25,000	25,000
Total other financing sources (uses)	-	-	25,000	25,000
Net change in fund balance	(129,000)	(129,000)	52,737	129,000
Fund balance - beginning	129,000	129,000	130,050	1,050
Fund balance - ending	\$ -	\$ -	\$ 182,787	\$ 182,787

(1) Appropriation Level

CROOK COUNTY, OREGON

**COURT SECURITY
SCHEDULE OF REVENUES, EXPENDITURES AND CHANGES IN FUND BALANCE -
BUDGET AND ACTUAL
FOR THE YEAR ENDED JUNE 30, 2023**

	<u>Budgeted Amounts</u>			<u>Variance With Final Budget</u>
	<u>Original</u>	<u>Final</u>		
Other financing sources (uses)				
Transfers out	-	-	(1)	(8,791)
Total other financing sources (uses)	-	-		(8,791)
Net change in fund balance	-	-		(8,791)
Fund balance - beginning	-	-		8,791
Fund balance - ending	<u>\$ -</u>	<u>\$ -</u>		<u>\$ -</u>

(1) This transfer is due to the closing of the fund with the remaining balance transferred to the Sheriff's fund as noted in the 2022-23 budget document

CROOK COUNTY, OREGON

**TAYLOR GRAZING
SCHEDULE OF REVENUES, EXPENDITURES AND CHANGES IN FUND BALANCE -
BUDGET AND ACTUAL
FOR THE YEAR ENDED JUNE 30, 2023**

	<u>Budgeted Amounts</u>		<u>Actual Amounts</u>	<u>Variance With Final Budget</u>
	<u>Original</u>	<u>Final</u>		
REVENUES				
Local				
Interest	\$ -	\$ -	\$ 807	\$ 807
Intergovernmental				
Federal	<u>4,000</u>	<u>4,000</u>	<u>3,145</u>	<u>(855)</u>
Total Revenues	<u>4,000</u>	<u>4,000</u>	<u>3,952</u>	<u>(48)</u>
EXPENDITURES				
Materials and services	<u>45,000</u>	<u>45,000</u> (1)	<u>737</u>	<u>44,263</u>
Total Expenditures	<u>45,000</u>	<u>45,000</u>	<u>737</u>	<u>44,263</u>
Excess (Deficiency) of revenues over expenditures	(41,000)	(41,000)	3,215	44,215
Net change in fund balance	(41,000)	(41,000)	3,215	44,215
Fund balance - beginning	<u>41,000</u>	<u>41,000</u>	<u>37,984</u>	<u>(3,016)</u>
Fund balance - ending	<u>\$ -</u>	<u>\$ -</u>	<u>\$ 41,199</u>	<u>\$ 41,199</u>

(1) Appropriation Level

CROOK COUNTY, OREGON

**VIDEO LOTTERY
SCHEDULE OF REVENUES, EXPENDITURES AND CHANGES IN FUND BALANCE -
BUDGET AND ACTUAL
FOR THE YEAR ENDED JUNE 30, 2023**

	<u>Budgeted Amounts</u>		<u>Actual Amounts</u>	<u>Variance With Final Budget</u>
	<u>Original</u>	<u>Final</u>		
REVENUES				
Local				
Interest	\$ -	\$ -	\$ 6,892	\$ 6,892
Miscellaneous	3,000	3,000	-	(3,000)
Intergovernmental				
State	<u>225,000</u>	<u>225,000</u>	<u>253,048</u>	<u>28,048</u>
Total Revenues	<u>228,000</u>	<u>228,000</u>	<u>259,940</u>	<u>31,940</u>
EXPENDITURES				
Materials and services	150,000	125,000 (1)	112,492	12,508
Contingency	<u>322,000</u>	<u>322,000 (1)</u>	<u>-</u>	<u>322,000</u>
Total Expenditures	<u>472,000</u>	<u>447,000</u>	<u>112,492</u>	<u>334,508</u>
Excess (Deficiency) of revenues over expenditures	(244,000)	(219,000)	147,448	366,448
Other financing sources (uses)				
Transfers out	<u>(75,000)</u>	<u>(100,000) (1)</u>	<u>(100,000)</u>	<u>-</u>
Total other financing sources (uses)	<u>(75,000)</u>	<u>(100,000)</u>	<u>(100,000)</u>	<u>-</u>
Net change in fund balance	(319,000)	(319,000)	47,448	366,448
Fund balance - beginning	<u>319,000</u>	<u>319,000</u>	<u>376,095</u>	<u>57,095</u>
Fund balance - ending	<u>\$ -</u>	<u>\$ -</u>	<u>\$ 423,543</u>	<u>\$ 423,543</u>

(1) Appropriation Level

CROOK COUNTY, OREGON

**MENTAL HEALTH A&D AND DEVELOPMENTAL DISABILITIES
SCHEDULE OF REVENUES, EXPENDITURES AND CHANGES IN FUND BALANCE -
BUDGET AND ACTUAL
FOR THE YEAR ENDED JUNE 30, 2023**

	<u>Budgeted Amounts</u>		<u>Actual Amounts</u>	<u>Variance With Final Budget</u>
	<u>Original</u>	<u>Final</u>		
REVENUES				
Local				
Interest	\$ -	\$ -	\$ 808	\$ 808
Intergovernmental				
State	<u>4,070,000</u>	<u>4,070,000</u>	<u>4,175,745</u>	<u>105,745</u>
Total Revenues	<u>4,070,000</u>	<u>4,070,000</u>	<u>4,176,553</u>	<u>106,553</u>
EXPENDITURES				
Materials and services	<u>4,070,000</u>	<u>4,070,000</u> (1)	<u>4,177,796</u>	<u>(107,796)</u>
Total Expenditures	<u>4,070,000</u>	<u>4,070,000</u>	<u>4,177,796</u>	<u>(107,796)</u>
Net change in fund balance	-	-	(1,243)	(1,243)
Fund balance - beginning	<u>-</u>	<u>-</u>	<u>13,937</u>	<u>13,937</u>
Fund balance - ending	<u>\$ -</u>	<u>\$ -</u>	<u>\$ 12,694</u>	<u>\$ 12,694</u>

(1) Appropriation Level

CROOK COUNTY, OREGON

**SPECIAL TRANSPORTATION
SCHEDULE OF REVENUES, EXPENDITURES AND CHANGES IN FUND BALANCE -
BUDGET AND ACTUAL
FOR THE YEAR ENDED JUNE 30, 2023**

	<u>Budgeted Amounts</u>		<u>Actual Amounts</u>	<u>Variance With Final Budget</u>
	<u>Original</u>	<u>Final</u>		
REVENUES				
Local				
Interest	\$ 4,000	\$ 4,000	\$ 16,805	\$ 12,805
Intergovernmental				
State	<u>393,000</u>	<u>393,000</u>	<u>211,449</u>	<u>(181,551)</u>
Total Revenues	<u>397,000</u>	<u>397,000</u>	<u>228,254</u>	<u>(168,746)</u>
EXPENDITURES				
Materials and services	402,000	402,000 (1)	127,351	274,649
Contingency	<u>598,000</u>	<u>598,000 (1)</u>	<u>-</u>	<u>598,000</u>
Total Expenditures	<u>1,000,000</u>	<u>1,000,000</u>	<u>127,351</u>	<u>872,649</u>
Excess (Deficiency) of revenues over expenditures	(603,000)	(603,000)	100,903	703,903
Net change in fund balance	(603,000)	(603,000)	100,903	703,903
Fund balance - beginning	<u>603,000</u>	<u>603,000</u>	<u>670,742</u>	<u>67,742</u>
Fund balance - ending	<u>\$ -</u>	<u>\$ -</u>	<u>\$ 771,645</u>	<u>\$ 771,645</u>

(1) Appropriation Level

CROOK COUNTY, OREGON

**SPECIAL PROJECTS ON FEDERAL LANDS
SCHEDULE OF REVENUES, EXPENDITURES AND CHANGES IN FUND BALANCE -
BUDGET AND ACTUAL
FOR THE YEAR ENDED JUNE 30, 2023**

	<u>Budgeted Amounts</u>		<u>Actual Amounts</u>	<u>Variance With Final Budget</u>
	<u>Original</u>	<u>Final</u>		
REVENUES				
Local				
Interest	\$ -	\$ -	10,830	\$ 10,830
Miscellaneous	5,000	5,000	-	(5,000)
Intergovernmental				
Federal	<u>98,000</u>	<u>98,000</u>	<u>89,769</u>	<u>(8,231)</u>
Total Revenues	<u>103,000</u>	<u>103,000</u>	<u>100,599</u>	<u>(2,401)</u>
EXPENDITURES				
Materials and services	<u>655,000</u>	<u>625,000</u> (1)	<u>37,000</u>	<u>588,000</u>
Total Expenditures	<u>655,000</u>	<u>625,000</u>	<u>37,000</u>	<u>588,000</u>
Excess of revenue over (under) expenditures	(552,000)	(522,000)	63,599	585,599
Other financing sources (uses)				
Transfers out	<u>-</u>	<u>(30,000)</u> (1)	<u>-</u>	<u>30,000</u>
Total other financing sources (uses)	<u>-</u>	<u>(30,000)</u>	<u>-</u>	<u>30,000</u>
Net change in fund balance	(552,000)	(552,000)	63,599	615,599
Fund balance - beginning	<u>552,000</u>	<u>552,000</u>	<u>525,394</u>	<u>(26,606)</u>
Fund balance - ending	<u>\$ -</u>	<u>\$ -</u>	<u>\$ 588,993</u>	<u>\$ 588,993</u>

(1) Appropriation Level

CROOK COUNTY, OREGON

**CROOKED RIVER WATERSHED
SCHEDULE OF REVENUES, EXPENDITURES AND CHANGES IN FUND BALANCE -
BUDGET AND ACTUAL
FOR THE YEAR ENDED JUNE 30, 2023**

	<u>Budgeted Amounts</u>		<u>Actual Amounts</u>	<u>Variance With Final Budget</u>
	<u>Original</u>	<u>Final</u>		
REVENUES				
Charges for Services	\$ 104,300	\$ 109,850	\$ 110,654	\$ 804
Total Revenues	104,300	109,850	110,654	804
EXPENDITURES				
Materials and services	104,300	110,000 (1)	106,926	3,074
Total Expenditures	104,300	110,000	106,926	3,074
Excess of revenue over (under) expenditures	-	(150)	3,728	3,878
Other financing sources (uses)				
Transfers in	-	150	-	(150)
Total other financing sources (uses)	-	150	-	(150)
Net change in fund balance	-	-	3,728	3,728
Fund balance - beginning	-	-	-	-
Fund balance - ending	\$ -	\$ -	\$ 3,728	\$ 3,728

(1) Appropriation Level

CROOK COUNTY, OREGON

**VETERANS ENHANCEMENT PROGRAM
SCHEDULE OF REVENUES, EXPENDITURES AND CHANGES IN FUND BALANCE -
BUDGET AND ACTUAL
FOR THE YEAR ENDED JUNE 30, 2023**

	<u>Budgeted Amounts</u>		<u>Actual Amounts</u>	<u>Variance With Final Budget</u>
	<u>Original</u>	<u>Final</u>		
REVENUES				
Local				
Interest	\$ -	\$ -	\$ 1,930	\$ 1,930
Donations and contributions	-	-	295	295
Intergovernmental				
State	<u>91,200</u>	<u>91,200</u>	<u>91,568</u>	<u>368</u>
Total Revenues	<u>91,200</u>	<u>91,200</u>	<u>93,793</u>	<u>2,593</u>
EXPENDITURES				
Personnel services	203,700	173,700 (1)	124,855	48,845
Materials and services	125,000	155,000 (1)	134,113	20,887
Contingency	<u>72,400</u>	<u>22,500 (1)</u>	<u>-</u>	<u>22,500</u>
Total Expenditures	<u>401,100</u>	<u>351,200</u>	<u>258,968</u>	<u>92,232</u>
Excess (Deficiency) of revenues over expenditures	(309,900)	(260,000)	(165,175)	94,825
Other financing sources (uses)				
Transfers in	<u>210,600</u>	<u>160,700</u>	<u>160,700</u>	<u>-</u>
Total other financing sources (uses)	<u>210,600</u>	<u>160,700</u>	<u>160,700</u>	<u>-</u>
Net change in fund balance	(99,300)	(99,300)	(4,475)	94,825
Fund balance - beginning	<u>99,300</u>	<u>99,300</u>	<u>114,251</u>	<u>14,951</u>
Fund balance - ending	<u>\$ -</u>	<u>\$ -</u>	<u>\$ 109,776</u>	<u>\$ 109,776</u>

(1) Appropriation Level

CROOK COUNTY, OREGON

**LIBRARY
SCHEDULE OF REVENUES, EXPENDITURES AND CHANGES IN FUND BALANCE -
BUDGET AND ACTUAL
FOR THE YEAR ENDED JUNE 30, 2023**

	<u>Budgeted Amounts</u>		<u>Actual Amounts</u>	<u>Variance With Final Budget</u>
	<u>Original</u>	<u>Final</u>		
REVENUES				
Local				
Property taxes	\$ 1,360,000	\$ 1,360,000	\$ 1,384,568	\$ 24,568
Interest	-	-	18,877	18,877
Licenses, permits, and fees	27,500	27,500	25,213	(2,287)
Charges for services	-	-	3,673	3,673
Donations/Contributions	-	-	8,706	8,706
Miscellaneous	20,000	20,000	849	(19,151)
Intergovernmental				
State	8,500	8,500	9,529	1,029
Federal	-	-	1,079	1,079
Total Revenues	<u>1,416,000</u>	<u>1,416,000</u>	<u>1,452,494</u>	<u>36,494</u>
EXPENDITURES				
Library Operations	1,402,300	1,425,679 (1)	1,387,327	38,352
Grants and Donations	43,200	43,200 (1)	27,058	16,142
Law Library	28,600	28,800 (1)	25,467	3,333
Contingency	697,100	674,600 (1)	-	674,600
Total Expenditures	<u>2,171,200</u>	<u>2,172,279</u>	<u>1,439,852</u>	<u>732,427</u>
Excess of revenue over (under) expenditures	(755,200)	(756,279)	12,642	768,921
Other financing sources (uses)				
Transfers in	-	1,079	-	(1,079)
Fund balance - beginning	<u>755,200</u>	<u>755,200</u>	<u>739,471</u>	<u>(15,729)</u>
Fund balance - ending	<u>\$ -</u>	<u>\$ -</u>	<u>\$ 752,113</u>	<u>\$ 752,113</u>

(1) Appropriation Level

CROOK COUNTY, OREGON

**COUNTY SURVEYOR
SCHEDULE OF REVENUES, EXPENDITURES AND CHANGES IN FUND BALANCE -
BUDGET AND ACTUAL
FOR THE YEAR ENDED JUNE 30, 2023**

	<u>Budgeted Amounts</u>		<u>Actual Amounts</u>	<u>Variance With Final Budget</u>
	<u>Original</u>	<u>Final</u>		
REVENUES				
Local				
Interest	\$ 2,000	\$ 2,000	\$ 4,497	\$ 2,497
Licenses, permits, fees	<u>90,000</u>	<u>90,000</u>	<u>62,515</u>	<u>(27,485)</u>
Total Revenues	<u>92,000</u>	<u>92,000</u>	<u>67,012</u>	<u>(24,988)</u>
EXPENDITURES				
Materials and services	106,700	106,700 (1)	72,764	33,936
Contingency	<u>172,300</u>	<u>172,300 (1)</u>	<u>-</u>	<u>172,300</u>
Total Expenditures	279,000	279,000	72,764	206,236
Excess of revenue over (under) expenditures	(187,000)	(187,000)	(5,752)	(231,224)
Net change in fund balance	<u>(187,000)</u>	<u>(187,000)</u>	<u>(5,752)</u>	<u>181,248</u>
Fund balance - beginning	<u>187,000</u>	<u>187,000</u>	<u>187,456</u>	<u>456</u>
Fund balance - ending	<u><u>\$ -</u></u>	<u><u>\$ -</u></u>	<u><u>\$ 181,704</u></u>	<u><u>\$ 181,704</u></u>

(1) Appropriation Level

CROOK COUNTY, OREGON

**COUNTY SCHOOL FUND
SCHEDULE OF REVENUES, EXPENDITURES AND CHANGES IN FUND BALANCE -
BUDGET AND ACTUAL
FOR THE YEAR ENDED JUNE 30, 2023**

	<u>Budgeted Amounts</u>		<u>Actual Amounts</u>	<u>Variance With Final Budget</u>
	<u>Original</u>	<u>Final</u>		
REVENUES				
Local				
Taxes - other	\$ 135,000	\$ 135,000	\$ 129,238	\$ (5,762)
Interest	-	-	196	196
Intergovernmental				
Federal	<u>315,000</u>	<u>315,000</u>	<u>205,125</u>	<u>(109,875)</u>
Total Revenues	<u>450,000</u>	<u>450,000</u>	<u>334,559</u>	<u>(115,441)</u>
EXPENDITURES				
Materials and services	<u>450,000</u>	<u>450,000 (1)</u>	<u>334,908</u>	<u>115,092</u>
Total Expenditures	<u>450,000</u>	<u>450,000</u>	<u>334,908</u>	<u>115,092</u>
Net change in fund balance	-	-	(349)	(349)
Fund balance - beginning	<u>-</u>	<u>-</u>	<u>349</u>	<u>-</u>
Fund balance - ending	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ (349)</u>

(1) Appropriation Level

CROOK COUNTY, OREGON

**TOURISM DISCRETIONARY FUNDS
SCHEDULE OF REVENUES, EXPENDITURES AND CHANGES IN FUND BALANCE -
BUDGET AND ACTUAL
FOR THE YEAR ENDED JUNE 30, 2023**

	<u>Budgeted Amounts</u>		<u>Actual Amounts</u>	<u>Variance With Final Budget</u>
	<u>Original</u>	<u>Final</u>		
REVENUES				
Local				
Interest	\$ -	\$ -	\$ 1,636	\$ 1,636
Transient room Tax	25,000	25,000	27,090	2,090
Total Revenues	<u>25,000</u>	<u>25,000</u>	<u>28,726.00</u>	<u>3,726</u>
EXPENDITURES				
Materials and services	25,000	25,000 (1)	5,000	20,000
Contingency	<u>59,000</u>	<u>59,000 (1)</u>	<u>-</u>	<u>59,000</u>
Total Expenditures	<u>84,000</u>	<u>84,000</u>	<u>5,000</u>	<u>59,000</u>
Net change in fund balance	(59,000)	(59,000)	23,726	66,452
Fund balance - beginning	<u>59,000</u>	<u>59,000</u>	<u>70,269</u>	<u>11,269</u>
Fund balance - ending	<u>\$ -</u>	<u>\$ -</u>	<u>\$ 93,995</u>	<u>\$ 93,995</u>

(1) Appropriation Level

CROOK COUNTY, OREGON

**FAIRGROUNDS OPERATION
SCHEDULE OF REVENUES, EXPENDITURES AND CHANGES IN FUND BALANCE -
BUDGET AND ACTUAL
FOR THE YEAR ENDED JUNE 30, 2023**

	<u>Budgeted Amounts</u>		<u>Actual Amounts</u>	<u>Variance With Final Budget</u>
	<u>Original</u>	<u>Final</u>		
REVENUES				
Local				
Interest	\$ -	\$ -	\$ 38,661	\$ 38,661
Transient room tax	-	-	238,392	238,392
Licenses, permits and fines	3,000	3,000	-	(3,000)
Property Taxes	180,000	180,000	-	(180,000)
Charges for services	148,900	203,900	200,192	(3,708)
Miscellaneous	252,000	377,200	57,626	(319,574)
Grants and donations	-	-	292,515	292,515
Intergovernmental				
Local	2,421,500	2,421,500	104,120	(2,317,380)
State	-	-	958,517	958,517
Federal	-	-	216,127	216,127
Total Revenues	<u>3,005,400</u>	<u>3,185,600</u>	<u>2,106,150</u>	<u>(1,079,450)</u>
EXPENDITURES				
Personnel Services	344,300	380,000 (1)	382,311	(2,311)
Materials and services	503,800	728,000 (1)	716,894	11,106
Capital Outlay	2,528,000	2,611,700 (1)	1,115,932	1,495,768
Operating Contingency	<u>210,300</u>	<u>4,300 (1)</u>	<u>-</u>	<u>4,300</u>
Total Expenditures	<u>3,586,400</u>	<u>3,724,000</u>	<u>2,215,137</u>	<u>1,508,863</u>
Excess (Deficiency) of revenues over expenditures	<u>(581,000)</u>	<u>(538,400)</u>	<u>(108,987)</u>	<u>429,413</u>
Other financing sources (uses)				
Transfers in	<u>325,000</u>	<u>342,400</u>	<u>325,000</u>	<u>(17,400)</u>
Net change in fund balance	<u>(256,000)</u>	<u>(196,000)</u>	<u>216,013</u>	<u>412,013</u>
Fund balance - beginning	<u>256,000</u>	<u>196,000</u>	<u>196,123</u>	<u>123</u>
Fund balance - ending	<u>\$ -</u>	<u>\$ -</u>	<u>\$ 412,136</u>	<u>\$ 412,136</u>

(1) Appropriation Level

CROOK COUNTY, OREGON

**AGRICULTURE EXTENSION SERVICE DISTRICT
SCHEDULE OF REVENUES, EXPENDITURES AND CHANGES IN FUND BALANCE -
BUDGET AND ACTUAL
FOR THE YEAR ENDED JUNE 30, 2023**

	<u>Budgeted Amounts</u>		<u>Actual Amounts</u>	<u>Variance With Final Budget</u>
	<u>Original</u>	<u>Final</u>		
REVENUES				
Local				
Property taxes	\$ 313,340	\$ 313,340	\$ 338,576	\$ 25,236
Interest	6,775	6,775	7,814	1,039
Charges for Services	32,000	32,000	47,811	15,811
Total Revenues	<u>352,115</u>	<u>352,115</u>	<u>394,201</u>	<u>42,086</u>
EXPENDITURES				
Personnel services	193,295	193,295 (1)	154,936	38,359
Materials and services	192,600	192,600 (1)	180,920	11,680
Operating contingency	40,000	40,000 (1)	-	40,000
Total Expenditures	<u>425,895</u>	<u>425,895</u>	<u>335,856</u>	<u>90,039</u>
Excess (Deficiency) of revenues over expenditures	<u>(73,780)</u>	<u>(73,780)</u>	<u>58,345</u>	<u>132,125</u>
Other financing sources (uses)				
Transfers out	<u>(30,000)</u>	<u>(30,000) (1)</u>	<u>(30,000)</u>	<u>-</u>
Total other financing sources	<u>(30,000)</u>	<u>(30,000)</u>	<u>(30,000)</u>	<u>-</u>
Net change in fund balance	(103,780)	(103,780)	28,345	132,125
Fund balance - beginning	<u>275,262</u>	<u>275,262</u>	<u>285,824</u>	<u>10,562</u>
Fund Balance - Ending	<u>\$ 171,482</u>	<u>\$ 171,482</u>	<u>\$ 314,169</u>	<u>\$ 142,687</u>

(1) Appropriation Level

CROOK COUNTY, OREGON

**EXTENSION BUILDING MAINTENANCE FUND
SCHEDULE OF REVENUES, EXPENDITURES AND CHANGES IN FUND BALANCE -
BUDGET AND ACTUAL
FOR THE YEAR ENDED JUNE 30, 2023**

	<u>Budgeted Amounts</u>		<u>Actual Amounts</u>	<u>Variance With Final Budget</u>
	<u>Original</u>	<u>Final</u>		
REVENUES				
Local				
Interest	\$ 250	\$ 250	\$ 454	\$ 204
Total Revenues	<u>250</u>	<u>250</u>	<u>454</u>	<u>204</u>
EXPENDITURES				
Materials and services	<u>43,785</u>	<u>43,785</u> (1)	<u>14,024</u>	<u>29,761</u>
Total Expenditures	<u>43,785</u>	<u>43,785</u>	<u>14,024</u>	<u>29,761</u>
Excess (Deficiency) of revenues over expenditures	(43,535)	(43,535)	(13,570)	29,965
Other financing sources (uses)				
Transfers in	<u>20,000</u>	<u>20,000</u>	<u>20,000</u>	<u>-</u>
Total other financing sources	<u>20,000</u>	<u>20,000</u>	<u>20,000</u>	<u>-</u>
Net change in fund balance	(23,535)	(23,535)	6,430	29,965
Fund balance - beginning	<u>23,535</u>	<u>23,535</u>	<u>23,531</u>	<u>(4)</u>
Fund balance - ending	<u>\$ -</u>	<u>\$ -</u>	<u>\$ 29,961</u>	<u>\$ 29,961</u>

(1) Appropriation Level

CROOK COUNTY, OREGON

**EXTENSION CAPITAL RESERVE FUND
SCHEDULE OF REVENUES, EXPENDITURES AND CHANGES IN FUND BALANCE -
BUDGET AND ACTUAL
FOR THE YEAR ENDED JUNE 30, 2023**

	<u>Budgeted Amounts</u>		<u>Actual Amounts</u>	<u>Variance With Final Budget</u>
	<u>Original</u>	<u>Final</u>		
REVENUES				
Local				
Interest	\$ 200	\$ 200	\$ 1,336	\$ 1,136
Total Revenues	<u>200</u>	<u>200</u>	<u>1,336</u>	<u>1,136</u>
EXPENDITURES				
Capital Outlay	<u>71,600</u>	<u>71,600</u> (1)	<u>-</u>	<u>71,600</u>
Total Expenditures	<u>71,600</u>	<u>71,600</u>	<u>-</u>	<u>71,600</u>
Excess (Deficiency) of revenues over expenditures	(71,400)	(71,400)	1,336	72,736
Other financing sources (uses)				
Transfers In	<u>10,000</u>	<u>10,000</u>	<u>10,000</u>	<u>-</u>
Net change in fund balance	(61,400)	(61,400)	11,336	72,736
Fund balance - beginning	<u>61,400</u>	<u>61,400</u>	<u>61,499</u>	<u>99</u>
Fund balance - ending	<u>\$ -</u>	<u>\$ -</u>	<u>\$ 72,835</u>	<u>\$ 72,835</u>

(1) Appropriation Level

CROOK COUNTY, OREGON

**HISTORICAL/MUSEUM
SCHEDULE OF REVENUES, EXPENDITURES AND CHANGES IN FUND BALANCE -
BUDGET AND ACTUAL
FOR THE YEAR ENDED JUNE 30, 2023**

	<u>Budgeted Amounts</u>		<u>Actual Amounts</u>	<u>Variance With Final Budget</u>
	<u>Original</u>	<u>Final</u>		
REVENUES				
Local				
Property taxes	\$ 327,000	\$ 327,000	\$ 322,058	\$ (4,942)
Interest	1,000	1,000	3,854	2,854
Transient room tax	90,000	90,000	124,614	34,614
	<u>418,000</u>	<u>418,000</u>	<u>450,526</u>	<u>32,526</u>
Total Revenues				
EXPENDITURES				
Personnel Services	251,200	281,200 (1)	279,179	2,021
Materials and services	182,600	187,600 (1)	174,328	13,272
Capital Outlay	23,500	23,500 (1)	23,446	54
Operating Contingency	107,000	72,000 (1)	-	72,000
	<u>564,300</u>	<u>564,300</u>	<u>476,953</u>	<u>87,347</u>
Total Expenditures				
Excess (Deficiency) of revenues over expenditures	<u>(146,300)</u>	<u>(146,300)</u>	<u>(26,427)</u>	<u>119,873</u>
Net change in fund balance	(146,300)	(146,300)	(26,427)	119,873
Fund balance - beginning	<u>146,300</u>	<u>146,300</u>	<u>169,330</u>	<u>23,030</u>
Fund Balance - Ending	<u>\$ -</u>	<u>\$ -</u>	<u>\$ 142,903</u>	<u>\$ 142,903</u>

(1) Appropriation Level

CROOK COUNTY, OREGON

**HISTORICAL BUILDING RESERVE
SCHEDULE OF REVENUES, EXPENDITURES AND CHANGES IN FUND BALANCE -
BUDGET AND ACTUAL
FOR THE YEAR ENDED JUNE 30, 2023**

	<u>Budgeted Amounts</u>		<u>Actual Amounts</u>	<u>Variance With Final Budget</u>
	<u>Original</u>	<u>Final</u>		
REVENUES				
Local				
Interest	\$ -	\$ -	\$ 1,165	\$ 1,165
Total Revenues	-	-	1,165	1,165
Net change in fund balance	-	-	1,165	1,165
Fund balance - beginning	59,700	59,700	59,965	265
Fund balance - ending	<u>\$ 59,700</u>	<u>\$ 59,700</u>	<u>\$ 61,130</u>	<u>\$ 1,430</u>

(1) Appropriation Level

CROOK COUNTY, OREGON

**ROAD AGENCY
SCHEDULE OF REVENUES, EXPENDITURES AND CHANGES IN FUND BALANCE -
BUDGET AND ACTUAL
FOR THE YEAR ENDED JUNE 30, 2023**

	<u>Budgeted Amounts</u>		<u>Actual Amounts</u>	<u>Variance With Final Budget</u>
	<u>Original</u>	<u>Final</u>		
REVENUES				
Intergovernmental				
State	\$ -	\$ -	\$ 884,924	\$ 884,924
Total Revenues	<u>-</u>	<u>-</u>	<u>884,924</u>	<u>884,924</u>
Net change in fund balance	-	-	884,924	884,924
Fund balance - beginning	<u>-</u>	<u>-</u>	<u>-</u>	<u>-</u>
Fund balance - ending	<u>\$ -</u>	<u>\$ -</u>	<u>\$ 884,924</u>	<u>\$ 884,924</u>

CROOK COUNTY, OREGON

**CROOK COUNTY AIRPORT PROJECT
SCHEDULE OF REVENUES, EXPENDITURES AND CHANGES IN FUND BALANCE -
BUDGET AND ACTUAL
FOR THE YEAR ENDED JUNE 30, 2023**

	<u>Budgeted Amounts</u>		<u>Actual Amounts</u>	<u>Variance With Final Budget</u>
	<u>Original</u>	<u>Final</u>		
REVENUES				
Other financing sources (uses)				
Transfers in	-	-	35,441	35,441
Total other financing sources (uses)	-	-	35,441	35,441
Net change in fund balance	-	-	35,441	35,441
Fund balance - beginning	-	-	(35,441)	(35,441)
Fund balance - ending	\$ -	\$ -	\$ -	\$ -

(1) Appropriation Level

CROOK COUNTY, OREGON

**BELKNAP MUSEUM CAPITAL PROJECT
SCHEDULE OF REVENUES, EXPENDITURES AND CHANGES IN FUND BALANCE -
BUDGET AND ACTUAL
FOR THE YEAR ENDED JUNE 30, 2023**

	<u>Budgeted Amounts</u>		<u>Actual Amounts</u>	<u>Variance With Final Budget</u>
	<u>Original</u>	<u>Final</u>		
REVENUES				
Local				
Miscellaneous	\$ 790,000	\$ -	\$ -	\$ -
Total Revenues	<u>790,000</u>	<u>-</u>	<u>-</u>	<u>-</u>
EXPENDITURES				
Personnel services	25,000	- (1)	-	-
Materials and services	50,000	- (1)	-	-
Capital outlay	<u>715,000</u>	<u>- (1)</u>	<u>-</u>	<u>-</u>
Total Expenditures	<u>790,000</u>	<u>-</u>	<u>-</u>	<u>-</u>
Excess (Deficiency) of revenues over expenditures	-	-	-	-
Other financing sources (uses)				
Transfers in	<u>-</u>	<u>-</u>	<u>-</u>	<u>-</u>
Total other financing sources (uses)	<u>-</u>	<u>-</u>	<u>-</u>	<u>-</u>
Net change in fund balance	-	-	-	-
Fund balance - beginning	<u>-</u>	<u>-</u>	<u>-</u>	<u>-</u>
Fund balance - ending	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>

(1) Appropriation Level

CROOK COUNTY, OREGON

**DEBT SERVICE FUND - GENERAL OBLIGATION SERIES 2017
SCHEDULE OF REVENUES, EXPENDITURES AND CHANGES IN FUND BALANCE -
BUDGET AND ACTUAL
FOR THE YEAR ENDED JUNE 30, 2023**

	<u>Budgeted Amounts</u>		<u>Actual Amounts</u>	<u>Variance With Final Budget</u>
	<u>Original</u>	<u>Final</u>		
REVENUES				
Local				
Interest	\$ -	\$ -	\$ 5,101	\$ 5,101
Property taxes	553,000	553,000	559,878	6,878
Total Revenues	<u>553,000</u>	<u>553,000</u>	<u>564,979</u>	<u>11,979</u>
EXPENDITURES				
Debt Service	<u>575,000</u>	<u>575,000</u> (1)	<u>575,000</u>	<u>-</u>
Total Expenditures	<u>575,000</u>	<u>575,000</u>	<u>575,000</u>	<u>-</u>
Excess of revenue over (under) expenditures	(22,000)	(22,000)	(10,021)	11,979
Fund balance - beginning	<u>22,000</u>	<u>22,000</u>	<u>34,739</u>	<u>12,739</u>
Fund balance - ending	<u>\$ -</u>	<u>\$ -</u>	<u>\$ 24,718</u>	<u>\$ 24,718</u>

(1) Appropriation Level

CROOK COUNTY, OREGON

**LANDFILL OPERATION
SCHEDULE OF REVENUES, EXPENDITURES AND CHANGES IN FUND BALANCE -
BUDGET AND ACTUAL
FOR THE YEAR ENDED JUNE 30, 2023**

	<u>Budgeted Amounts</u>			<u>Actual Amounts</u>	<u>Variance With Final Budget</u>
	<u>Original</u>	<u>Final</u>			
REVENUES					
Local					
Interest	\$ 25,000	\$ 25,000		\$ 101,921	\$ 76,921
Licenses, Permits & Fees	2,125,000	2,125,000		2,387,615	262,615
Charges for services	125,000	125,000		-	(125,000)
Miscellaneous	175,000	175,000		158,657	(16,343)
Total Revenues	<u>2,450,000</u>	<u>2,450,000</u>		<u>2,648,193</u>	<u>198,193</u>
EXPENDITURES					
Personnel Services	901,500	928,400 (1)		722,603	205,797
Materials and services	1,104,100	1,104,100 (1)		1,008,136	95,964
Capital Outlay	370,000	370,000 (1)		300,740	69,260
Operating Contingency	235,000	208,100 (1)		-	208,100
Total Expenditures	<u>2,610,600</u>	<u>2,610,600</u>		<u>2,031,479</u>	<u>579,121</u>
Excess (Deficiency) of revenues over expenditures	(160,600)	(160,600)		616,714	777,314
Other financing sources (uses)					
Sale of Property	150,000	150,000		79,899	(70,101)
Total other financing sources	<u>150,000</u>	<u>150,000</u>		<u>79,899</u>	<u>(70,101)</u>
Net change in fund balance	(10,600)	(10,600)		696,613	707,213
Fund balance - beginning	<u>4,405,000</u>	<u>4,405,000</u>		<u>4,653,455</u>	<u>248,455</u>
Fund Balance - Ending	<u>\$ 4,394,400</u>	<u>\$ 4,394,400</u>		<u>5,350,068</u>	<u>\$ 955,668</u>
Reconciliation to the Statement of Net Position - Proprietary Funds					
Capital assets (net)				3,393,412	
Leased assets				463	
Lease liability				(513)	
Landfill post closure liability				(4,282,537)	
Accrued compensated absences				(34,999)	
Net Position				<u>\$ 4,425,894</u>	

(1) Appropriation Level

CROOK COUNTY, OREGON

**AIRPORT - OPERATING
SCHEDULE OF REVENUES, EXPENDITURES AND CHANGES IN FUND BALANCE -
BUDGET AND ACTUAL
FOR THE YEAR ENDED JUNE 30, 2023**

	<u>Budgeted Amounts</u>		<u>Actual Amounts</u>	<u>Variance With Final Budget</u>
	<u>Original</u>	<u>Final</u>		
REVENUES				
Local				
Interest	\$ -	\$ -	\$ 58,574	\$ 58,574
Charges for services	429,400	429,400	410,972	(18,428)
Miscellaneous	2,510,000	2,510,000	2,505,571	(4,429)
Intergovernmental				
State	-	-	94,500	94,500
Federal	657,000	657,000	204,513	(452,487)
Total Revenues	<u>3,596,400</u>	<u>3,596,400</u>	<u>3,274,130</u>	<u>(322,270)</u>
EXPENDITURES				
Materials and services	418,300	418,300 (1)	375,485	42,815
Debt service	913,000	913,000 (1)	663,289	249,711
Capital Outlay	555,000	555,000 (1)	162,281	392,719
Contingency	1,820,100	1,820,100 (1)	-	1,820,100
Total Expenditures	<u>3,706,400</u>	<u>3,706,400</u>	<u>1,201,055</u>	<u>2,505,345</u>
Excess (Deficiency) of revenues over expenditures	(110,000)	(110,000)	2,073,075	2,183,075
Other financing sources (uses)				
Transfers Out	-	- (1)	(35,441)	(35,441)
Total other financing sources (uses)	<u>-</u>	<u>-</u>	<u>(35,441)</u>	<u>(35,441)</u>
Net change in fund balance	(110,000)	(110,000)	2,037,634	2,147,634
Fund balance - beginning	<u>110,000</u>	<u>110,000</u>	<u>362,055</u>	<u>252,055.00</u>
Fund balance - ending	<u>\$ -</u>	<u>\$ -</u>	<u>2,399,689</u>	<u>\$ 2,399,689</u>
Reconciliation to the Statement of Net Position - Proprietary Funds				
Net capital assets			14,982,577	
Long-term debt, net of discount			(5,601,194)	
Interest payable			(58,193)	
Net Position			<u>\$ 11,722,879</u>	

(1) Appropriation Level

(2) The Airport Capital Projects Fund was closed and its remaining fund balance of -\$35,441 was transferred to the Airport fund as noted in the 2022-23 budget document

CROOK COUNTY, OREGON

**WEED CONTROL FUND
SCHEDULE OF REVENUES, EXPENDITURES AND CHANGES IN FUND BALANCE -
BUDGET AND ACTUAL
FOR THE YEAR ENDED JUNE 30, 2023**

	<u>Budgeted Amounts</u>		<u>Actual Amounts</u>	<u>Variance With Final Budget</u>
	<u>Original</u>	<u>Final</u>		
REVENUES				
Local				
Interest	\$ -	\$ -	\$ 5,034	\$ 5,034
Licenses, Permits & Fees	180,000	180,000	172,527	(7,473)
Miscellaneous	1,000	1,000	18,498	17,498
Intergovernmental				
State	-	-	10,537	10,537
Total Revenues	<u>181,000</u>	<u>181,000</u>	<u>206,596</u>	<u>25,596</u>
EXPENDITURES				
Personnel Services	139,200	177,000 (1)	160,640	16,360
Materials and services	108,300	108,300 (1)	63,648	44,652
Contingency	195,500	157,700 (1)	-	157,700
Total Expenditures	<u>443,000</u>	<u>443,000</u>	<u>224,288</u>	<u>218,712</u>
Excess (Deficiency) of revenues over expenditures	(262,000)	(262,000)	(17,692)	244,308
Other financing sources (uses)				
Transfers in	<u>30,000</u>	<u>30,000</u>	<u>-</u>	<u>(30,000)</u>
Total other financing sources	<u>30,000</u>	<u>30,000</u>	<u>-</u>	<u>(30,000)</u>
Net change in fund balance	(232,000)	(232,000)	(17,692)	214,308
Fund balance - beginning	<u>232,000</u>	<u>232,000</u>	<u>271,610</u>	<u>39,610</u>
Fund Balance - Ending	<u>\$ -</u>	<u>\$ -</u>	<u>\$ 253,918</u>	<u>\$ 253,918</u>
Reconciliation to the Statement of Net Position - Proprietary Funds				
Capital assets (net)			59,181	
Compensated absences			<u>(19,714)</u>	
Net Position			<u>\$ 293,385</u>	

(1) Appropriation Level

CROOK COUNTY, OREGON

FACILITIES

SCHEDULE OF REVENUES, EXPENDITURES AND CHANGES IN FUND BALANCE -

BUDGET AND ACTUAL

FOR THE YEAR ENDED JUNE 30, 2023

	<u>Budgeted Amounts</u>		<u>Actual Amounts</u>	<u>Variance With Final Budget</u>
	<u>Original</u>	<u>Final</u>		
REVENUES				
Local				
Interest	\$ -	\$ -	\$ 26,533	26,533
Internal service charges	1,830,800	2,011,000	1,941,359	(69,641)
Charges for services	10,000	10,000	18,696	8,696
Miscellaneous	5,000	5,000	30,751	25,751
Intergovernmental				
Federal	180,200	-	362,691	362,691
State	-	-	115,346	115,346
Local			5,622	5,622
Total Revenues	<u>2,026,000</u>	<u>2,026,000</u>	<u>2,500,998</u>	<u>474,998</u>
EXPENDITURES				
Personnel	473,600	482,600 (1)	460,983	21,617
Materials and services	1,214,800	1,214,800 (1)	1,124,400	90,400
Capital outlay	330,000	330,000 (1)	121,350	208,650
Debt service	181,400	181,400 (1)	181,400	-
Contingency	358,500	349,500 (1)	-	349,500
Total Expenditures	<u>2,558,300</u>	<u>2,558,300</u>	<u>1,888,133</u>	<u>670,167</u>
Excess (Deficiency) of revenues over expenditures	(532,300)	(532,300)	612,865	1,145,165
Net change in fund balance	(532,300)	(532,300)	612,865	1,145,165
Fund balance - beginning	<u>532,300</u>	<u>532,300</u>	<u>508,850</u>	<u>(23,450)</u>
Fund balance - ending	<u>\$ -</u>	<u>\$ -</u>	<u>\$ 1,121,715</u>	<u>\$ 1,121,715</u>
Reconciliation to the Statement of Net Position - Proprietary Funds				
Capital Assets (net)			33,058	
Accrued comp absences			(2,152)	
Leased assets			352,755	
Lease payable			<u>(356,249)</u>	
Net Position			<u>\$ 1,149,127</u>	

CROOK COUNTY, OREGON
SCHEDULE OF PROPERTY TAX TRANSACTIONS
ALL TAXING DISTRICTS WITHIN THE COUNTY
FOR THE YEAR ENDED JUNE 30, 2023

Tax Year	Beginning Balance and 2022-23 Levy	Net Adjustments	Interest (Discount)	Collections	Taxes Receivable June 30, 2023
2022-23	\$ 39,240,240	\$ (132,804)	\$ (997,034)	\$ 37,245,907	\$ 864,495
2021-22	660,390	(9,767)	233	344,854	306,003
2020-21	303,224	(9,689)	249	137,499	156,285
2019-20	152,326	(8,992)	229	104,109	39,455
2018-19	39,268	(10,633)	284	15,307	13,611
2017-18	7,964	(813)	-	773	6,378
2016-17	6,944	(661)	-	217	6,067
Prior	<u>85,933</u>	<u>(1,225)</u>	<u>-</u>	<u>3,987</u>	<u>80,721</u>
Total	<u>\$ 40,496,289</u>	<u>\$ (174,584)</u>	<u>\$ (996,039)</u>	<u>\$ 37,852,653</u>	<u>\$ 1,473,015</u>

CROOK COUNTY, OREGON

INDEPENDENT AUDITOR'S REPORT REQUIRED BY OREGON STATE REGULATIONS



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January 8, 2024

Independent Auditor's Report Required by Oregon State Regulations

We have audited the basic financial statements of Crook County as of and for the year ended June 30, 2023, and have issued our report thereon dated January 8, 2024. We conducted our audit in accordance with auditing standards generally accepted in the United States of America and Government Auditing Standards.

Compliance

As part of obtaining reasonable assurance about whether Crook County's financial statements are free of material misstatement, we performed tests of its compliance with certain provisions of laws, regulations, contracts, and grants, including the provisions of Oregon Revised Statutes as specified in Oregon Administrative Rules 162-10-000 through 162-10-320 of the Minimum Standards for Audits of Oregon Municipal Corporations, noncompliance with which could have a direct and material effect on the determination of financial statements amounts. However, providing an opinion on compliance with those provisions was not an objective of our audit, and accordingly, we do not express such an opinion.

We performed procedures to the extent we considered necessary to address the required comments and disclosures which included, but were not limited to the following:

- **Deposit of public funds with financial institutions (ORS Chapter 295)**
- **Indebtedness limitations, restrictions and repayment.**
- **Budgets legally required (ORS Chapter 294).**
- **Insurance and fidelity bonds in force or required by law.**
- **Programs funded from outside sources.**
- **Highway revenues used for public highways, roads, and streets.**
- **Authorized investment of surplus funds (ORS Chapter 294).**
- **Public contracts and purchasing (ORS Chapters 279A, 279B, 279C).**
- **Schedule of Accountability of Elected Officials**

In connection with our testing nothing came to our attention that caused us to believe Crook County was not in substantial compliance with certain provisions of laws, regulations, contracts, and grants, including the provisions of Oregon Revised Statutes as specified in Oregon Administrative Rules 162-10-000 through 162-10-320 of the Minimum Standards for Audits of Oregon Municipal Corporations, except as follows:

1. Expenditures of the various funds were within authorized appropriations, except as noted on page 23.

OAR 162-10-0230 Internal Control

In planning and performing our audit, we considered internal control over financial reporting as a basis for designing our auditing procedures for the purpose of expressing our opinions on the financial statements, but not for the purpose of expressing an opinion on the effectiveness of internal control over financial reporting. Accordingly, we do not express an opinion on the effectiveness of internal control over financial reporting.

This report is intended solely for the information and use of the Board of Commissioners, management and the Oregon Secretary of State and is not intended to be and should not be used by anyone other than these parties.

A handwritten signature in black ink, appearing to read "Kenny Allen". The signature is fluid and cursive, with a large initial "K" and a long, sweeping underline.

Kenny Allen, CPA
PAULY, ROGERS AND CO., P.C.

**CROOK COUNTY, OREGON
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
FOR THE YEAR ENDED JUNE 30, 2023**

	Federal Assistance Listing Number	Pass Through Organization	Identification Number (s)	Period Covered	Expenditures	Passed Through to Subrecipients
<u>DEPARTMENT OF AGRICULTURE</u>						
Special Supplemental Nutrition Program for Women, Infants and Children	10.557	Oregon Health Authority	159807	10/1/20-6/30/21	\$ 207,727	\$ -
Total Department of Agriculture					207,727	-
<u>DEPARTMENT OF JUSTICE</u>						
Crime Victim Assistance	16.575	Oregon Department of Justice	13	7/1/22-9/30/2023	95,348	-
Child Support Services Research	93.563	Oregon Department of Justice	15425	7/1/22-6/9/23	113,577	-
Total Department of Justice					208,925	-
<u>DEPARTMENT OF TRANSPORTATION</u>						
Air Improvement Program (COVID)	20.106	Federal Aviation Administration	3-41-0051-016-2020	8/5/20-8/4/24	51,208	-
Air Improvement Program (COVID)	20.106	Federal Aviation Administration	3-41-0051-018-2020	9/9/20-9/8/24	17,404	-
Total Department of Transportation					68,612	-
<u>DEPARTMENT OF THE TREASURY</u>						
Coronavirus State and Local Fiscal Recovery Funds (COVID)	21.019	Direct	159807	7/1/20-6/30/21	1,427,024	200,000
Total Department of the Treasury					1,427,024	200,000
<u>DEPARTMENT OF HEALTH AND HUMAN SERVICES</u>						
Public Health Emergency Preparedness	93.069	Oregon Health Authority	PE12	7/1/22-6/30/23	57,649	-
CARES - Flu	93.268	Oregon Health Authority	PE01-10	7/1/22-6/30/23	98,638	-
PH Practice Immunization Services	93.268	Oregon Health Authority	PE43-01	7/1/22-6/30/23	8,604	-
Epidemiology and Laboratory Capacity for Infectious Diseases (ELC) (COVID)	93.323	Oregon Health Authority	PE01-09	7/1/22-6/30/23	142,679	-
Epidemiology and Laboratory Capacity for Infectious Diseases (ELC)	93.323	Oregon Health Authority	159807	7/1/22-6/30/23	1,197	-
Maternal and Child Health Services Block Grant to the States	93.994	Oregon Health Authority	PE42-11	7/1/22-6/30/23	20,826	-
Maternal and Child Health Services Block Grant to the States	93.994	Oregon Health Authority	PE42-12	7/1/22-6/30/23	13,745	-
Opioid STR	93.788	Oregon Health Authority	PE62	7/1/22-6/30/23	112,080	-
Injury Prevention and Control Research and State and Community Based Programs	93.136	Oregon Health Authority	PE62-02	7/1/22-6/30/23	8,176	-
Public Health Emergency Response: Cooperative Agreement for Emergency Response: Public Health Crisis Response	93.354	Oregon Health Authority	PE51-03	7/1/22-6/30/23	61,759	-
National Partnerships to Improve and Protect the Nation's Health	93.421	Oregon Health Authority	PE04-02	7/1/22-6/30/23	5,520	-
Substance Abuse	93.959	Oregon Health Authority	PE36	7/1/22-6/30/23	98,103	-
Sexually Transmitted Diseases (STD) Prevention and Control Grants	93.977	Oregon Health Authority	PE10-02	7/1/22-6/30/23	53,091	-
Total Department of Health and Human Services					682,067	-
<u>DEPARTMENT OF HOMELAND SECURITY</u>						
Edward Byrne Memorial Justice Assistance Grant Program	16.738	Criminal Justice Commission	SC-19-011		93,530	-
Homeland Security Grant Program	97.067	Oregon Department of Emergency Management	19-221	10/1/19-10/31/23	37,462	-
Emergency Management Performance	97.042	Oregon Department of Emergency Management	19-222	10/1/19-10/31/23	53,401	-
Total Department of Homeland Security					184,393	-
TOTAL EXPENDITURES OF FEDERAL AWARDS					\$ 2,778,748	\$ 200,000



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January 8, 2024

To the County Commissioners
Crook County, Oregon

INDEPENDENT AUDITORS' REPORT ON INTERNAL CONTROL OVER FINANCIAL REPORTING AND
ON COMPLIANCE AND OTHER MATTERS BASED ON AN AUDIT OF FINANCIAL STATEMENTS
PERFORMED IN ACCORDANCE WITH *GOVERNMENT AUDITING STANDARDS*

We have audited, in accordance with the auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in *Government Auditing Standards* issued by the Comptroller General of the United States, the financial statements of the governmental activities, the business-type activities, each major fund, and the aggregate remaining fund information of Crook County as of and for the year ended June 30, 2023, and the related notes to the financial statements, which collectively comprise the basic financial statements, and have issued our report thereon dated January 8, 2024.

Report on Internal Control over Financial Reporting

In planning and performing our audit of the financial statements, we considered the internal control over financial reporting (internal control) as a basis for designing audit procedures that are appropriate in the circumstances for the purpose of expressing our opinions on the financial statements, but not for the purpose of expressing an opinion on the effectiveness of internal control. Accordingly, we do not express an opinion on the effectiveness of internal control.

A *deficiency in internal control* exists when the design or operation of a control does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect and correct, misstatements on a timely basis. A *material weakness* is a deficiency, or a combination of deficiencies, in internal control, such that there is a reasonable possibility that a material misstatement of the financial statements will not be prevented, or detected and corrected, on a timely basis.

A *significant deficiency* is a deficiency, or a combination of deficiencies, in internal control that is less severe than a material weakness, yet important enough to merit attention by those charged with governance.

Our consideration of internal control was for the limited purpose described in the first paragraph of this section and was not designed to identify all deficiencies in internal control that might be material weaknesses or significant deficiencies. Given these limitations, during our audit we did not identify any deficiencies in internal control that we consider to be material weaknesses. However, material weaknesses or significant deficiencies may exist that have not been identified.

Report on Compliance and Other Matters

As part of obtaining reasonable assurance about whether the financial statements are free from material misstatement, we performed tests of compliance with certain provisions of laws, regulations, contracts, and grant agreements, noncompliance with which could have a direct and material effect on the financial statements. However, providing an opinion on compliance with those provisions was not an objective of our audit, and accordingly, we do not express such an opinion. The results of our tests disclosed no instances of noncompliance or other matters that are required to be reported under *Government Auditing Standards*.

Purpose of this Report

The purpose of this report is solely to describe the scope of our testing of internal control and compliance and the results of that testing, and not to provide an opinion on the effectiveness of the internal control or on compliance. This report is an integral part of an audit performed in accordance with *Government Auditing Standards* in considering the internal control and compliance. Accordingly, this communication is not suitable for any other purpose.



Kenneth Allen, CPA
Municipal Auditor
PAULY, ROGERS AND CO., P.C



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January 8, 2024

To the County Commissioners
Crook County, Oregon

INDEPENDENT AUDITORS' REPORT ON COMPLIANCE FOR EACH MAJOR PROGRAM
AND ON INTERNAL CONTROL OVER COMPLIANCE REQUIRED BY THE UNIFORM GUIDANCE

Report on Compliance for Each Major Federal Program

Opinion on Each Major Federal Program

We have audited Crook County's compliance with the types of compliance requirements identified as subject to audit in the *OMB Compliance Supplement* that could have a direct and material effect on each of the major federal programs for the year ended June 30, 2023. The major federal programs are identified in the summary of auditors' results section of the accompanying schedule of findings and questioned costs.

In our opinion, Crook County complied, in all material respects, with the types of compliance requirements referred to above that could have a direct and material effect on each of its major federal programs for the year ended June 30, 2023.

Basis for Opinion on Each Major Federal Program

We conducted our audit of compliance in accordance with auditing standards generally accepted in the United States of America; the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States; and the audit requirements of Title 2 U.S. Code of Federal Regulations Part 200, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (Uniform Guidance). Our responsibilities under those standards and the Uniform Guidance are further described in the Auditors' Responsibilities for the Audit of Compliance section of our report.

We are required to be independent of Crook County and to meet our other ethical responsibilities, in accordance with relevant ethical requirements relating to our audit. We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our opinion on compliance for each major federal program. Our audit does not provide a legal determination of compliance with the compliance requirements referred to above.

Responsibilities of Management for Compliance

Management is responsible for compliance with the requirements referred to above and for the design, implementation, and maintenance of effective internal control over compliance with the requirements of laws, statutes, regulations, rules, and provisions of contracts or grant agreements applicable to its federal programs.

Auditors' Responsibilities for the Audit of Compliance

Our objectives are to obtain reasonable assurance about whether material noncompliance with the compliance requirements referred to above occurred, whether due to fraud or error, and express an opinion on compliance based on our audit. Reasonable assurance is a high level of assurance but is not absolute assurance and therefore is not a guarantee that an audit conducted in accordance with generally accepted auditing standards, *Government Auditing Standards*, and the Uniform Guidance will always detect material noncompliance when it exists. The risk of not detecting material noncompliance resulting from fraud is higher than for that resulting from error, as fraud may involve collusion, forgery, intentional omissions, misrepresentations, or the override of internal control. Noncompliance with the compliance requirements referred to above is considered material if there is a substantial likelihood that, individually or in the aggregate, it would influence the judgment made by a reasonable user of the report on compliance about compliance with the requirements of each major federal program as a whole.

In performing an audit in accordance with generally accepted auditing standards, *Government Auditing Standards*, and the Uniform Guidance, we:

- Exercise professional judgment and maintain professional skepticism throughout the audit.
- Identify and assess the risks of material noncompliance, whether due to fraud or error, and design and perform audit procedures responsive to those risks. Such procedures include examining, on a test basis, evidence regarding compliance with the compliance requirements referred to above and performing such other procedures as we considered necessary in the circumstances.
- Obtain an understanding of internal control over compliance relevant to the audit in order to design audit procedures that are appropriate in the circumstances and to test and report on internal control over compliance in accordance with the Uniform Guidance, but not for the purpose of expressing an opinion on the effectiveness of internal control over compliance. Accordingly, no such opinion is expressed.

We are required to communicate with those charged with governance regarding, among other matters, the planned scope and timing of the audit and any significant deficiencies and material weaknesses in internal control over compliance that we identified during the audit.

Report on Internal Control over Compliance

A deficiency in internal control over compliance exists when the design or operation of a control over compliance does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect and correct, noncompliance with a type of compliance requirement of a federal program on a timely basis. *A material weakness in internal control over compliance* is a deficiency, or combination of deficiencies, in internal control over compliance, such that there is a reasonable possibility that material noncompliance with a type of compliance requirement of a federal program will not be prevented, or detected and corrected, on a timely basis. *A significant deficiency in internal control over compliance* is a deficiency, or a combination of deficiencies, in internal control over compliance with a type of compliance requirement of a federal program that is less severe than a material weakness in internal control over compliance, yet important enough to merit attention by those charged with governance.

Our consideration of internal control over compliance was for the limited purpose described in the Auditors' Responsibilities for the Audit of Compliance section above and was not designed to identify all deficiencies in internal control over compliance that might be material weaknesses or significant deficiencies in internal control over compliance. Given these limitations, during our audit we did not identify any deficiencies in internal control over compliance that we consider to be material weaknesses, as defined above. However, material weaknesses or significant deficiencies in internal control over compliance may exist that were not identified.

Our audit was not designed for the purpose of expressing an opinion on the effectiveness of internal control over compliance. Accordingly, no such opinion is expressed.

The purpose of this report on internal control over compliance is solely to describe the scope of our testing of internal control over compliance and the results of that testing based on the requirements of the Uniform Guidance. Accordingly, this report is not suitable for any other purpose.

A handwritten signature in black ink, appearing to read "Ken Allen". The signature is fluid and cursive, with a large initial "K" and "A".

Kenneth Allen, CPA
Municipal Auditor
PAULY, ROGERS AND CO., P.C

CROOK COUNTY
SCHEDULE OF FINDINGS AND QUESTIONED COSTS
For the Year Ended June 30, 2023

SECTION I – SUMMARY OF AUDITORS’ RESULTS

FINANCIAL STATEMENTS

Type of auditors' report issued: Unmodified

Internal control over financial reporting:

Material weakness(es) identified? yes no

Significant deficiency(s) identified that are not considered to be material weaknesses? yes none reported

Noncompliance material to financial statements noted? yes no

Any GAGAS audit findings disclosed that are required to be reported reported in accordance with section 515(d)(2) of the Uniform Guidance? yes no

FEDERAL AWARDS

Internal control over major programs:

Material weakness(es) identified? yes no

Significant deficiency(s) identified that are not considered to be material weaknesses? yes none reported

Type of auditors' report issued on compliance for major programs: Unmodified

Any audit findings disclosed that are required to be reported in accordance with section 200.516(a) of the Unifrom Guidance? yes no

IDENTIFICATION OF MAJOR PROGRAMS

CFDA NUMBER **NAME OF FEDERAL PROGRAM CLUSTER**

21.027 Coronavirus State and Local Fiscal Recovery Funds

Dollar threshold used to distinguish between type A and B programs \$750,000

Auditee qualified as low-risk auditee? yes no

SECTION II – FINANCIAL STATEMENT FINDINGS

None

SECTION III – FEDERAL AWARD FINDINGS AND QUESTIONED COSTS

None

NOTES TO THE SCHEDULE OF EXPENDITURES OF FEDERAL EXPENDITURES

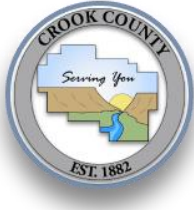
1. BASIS OF PRESENTATION

The accompanying schedule of expenditures of federal awards includes federal grant activity under programs of the federal government. The information in this schedule is presented in accordance with the audit requirements of Title 2 U.S. Code of Federal Regulations Part 200, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (Uniform Guidance). Because the schedule presents only a selected portion of the operations, it is not intended to and does not present the net position, changes in net position, or cash flows of the entity.

2. SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

Expenditures reported on the schedule are reported on the modified accrual basis of accounting. Such expenditures are recognized following the cost principles contained in the Uniform Guidance, wherein certain types of expenditures are not allowed or are limited as to reimbursement. Negative amounts shown on the schedule represent adjustments or credits made in the normal course of business to amounts reported as expenditures in prior years. The entity has elected to use the ten percent de minimus indirect cost rate as allowed under Uniform Guidance.

AGENDA ITEM REQUEST



Date:

Meeting date desired:

Subject:

Background and policy implications:

Budget/fiscal impacts:

Requested by:

Presenters:

Legal review (only if requested):

Elected official sponsor (if applicable):

/

IN THE COUNTY COURT OF THE STATE OF OREGON

FOR THE COUNTY OF CROOK

**IN THE MATTER OF ACCEPTING A
GRANT OF \$9,965.00 FROM THE
OREGON STATE LIBRARY FOR THE
READY TO READ PROGRAM**

ORDER 2024-09

WHEREAS, County staff submitted an application for the Oregon State Library for grant funds to implement the Ready to Read program; and

WHEREAS, the Ready to Read program is meant to encourage and promote school-aged reading and literacy as a means of improving education outcomes; and

WHEREAS, the Oregon State Library awarded a grant of \$9,965.00 in response to the County's application.

NOW, THEREFORE, the Crook County Court adopts the recitals above, and **ORDERS** and **DIRECTS**, based upon the above recitals, that the County accept the grant funds and directs staff to implement the Ready to Read program in accordance with the submitted application.

DATED this 7th day of February 2024.

CROOK COUNTY COURT

Seth Crawford, Judge

Susan Hermreck, Commissioner

Brian Barney, Commissioner

AGENDA ITEM REQUEST



Date: 1/30/2024

Meeting date desired: 2/07/2024

Subject: Airport / On call Engineering RFQ

Background and policy implications:

The purpose of this RFQ is to hire a qualified engineering firm that will provide project support to staff at the Prineville airport, specifically focusing on advancing the airport capital improvement plan for a five year period (2024-2029). This can include any and all future airport projects.

The Airport/County will seek to enter into a Personal Service Agreement with the recommended engineering / consultant firm that can provide design, engineering, construction services and project oversight on FAA / AIP projects. The County will retain the right to use the firm for only projects that it sees fit to perform with individual contracts (task orders) for specific services.

County staff, following the Crook County RFP evaluation committee policy and FAA, AC 150/5100 guidance for engineering selection has received statements of qualification from three firms. Century West Engineering, Morrison-Maierle, and Precision Approach Engineering. Selection committee reviewed statements, discussed and scored firms.

Based on selection committee scoring below are the results. Max. points 300

Century West Engineering – 230/300
Morrison-Maierle Engineering -199/300
Precision Approach Engineering – 253/300

Staff recommends award to Precision Approach Engineering.

Budget/fiscal impacts: None

Requested by:

Kelly Coffelt Airport Manager. 541.447.2347 / 541.420.3789

Presenters:

Kelly Coffelt – Airport Manager

Legal review (only if requested):

Reviewed by County Counsel- John Eisler



Agenda Item Request

Date:

January 12, 2024

Meeting date desired:

February 7, 2024 – Court Session Discussion

Subject:

Approve updates to the Crook County Investment Policy – Redline and final version attached to this request.

Background and policy implications:

Changes include an update to the language used to determine a security's rating as well as update language due to the Treasurer position becoming part time. The update replaces the Treasurer as the Investment Officer with the Finance Director or County Administrator if the Finance Director is not available. This does not remove the Treasurer from involvement in investment decisions, it just removes the responsibility of Investment Officer from that position. Due to the part time nature of the Treasurer position, it is felt that the position does not have adequate information individually to have the sole authority to make appropriately informed investment decisions on behalf of the County.

Budget/fiscal impacts:

NA

Requested by:

Christina Haron, CPA, Crook County Finance Director

christina.haron@crookcountyor.gov

Presenters:

Christina Haron, CPA, Crook County Finance Director

christina.haron@crookcountyor.gov

Galan Carter, Crook County Treasurer

galan.carter@crookcountyor.gov

Legal review (only if requested):

This document has been reviewed by Government Portfolio Advisors, the County's investment advisors, and does not need to be reviewed by the State



CROOK COUNTY

Investment Policy

~~August 2022~~ January 2024

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1. Purpose

This Investment Policy defines the parameters within which funds are to be invested by ~~the~~ Crook County ~~Treasurer~~. This policy formalizes the framework, pursuant to ORS 294.135, for Crook County's investment activities to ensure effective and judicious management within the scope of this policy.

2. Governing Authority

Crook County's investment program shall be operated in conformance with Oregon Revised Statutes and applicable federal law. Specifically, this investment policy is written in conformance with ORS 294.035; 294.040; 294.052; 294.135; 294.145 and 294.810. All funds within the scope of this policy are subject to regulations established by the state of Oregon. Any revisions or extensions of these sections of the ORS shall be assumed to be part of this Investment Policy immediately upon being enacted.

3. Scope

This policy applies to activities Crook County with regard to investing the financial assets of General Fund operating funds, Capital Project Funds, Road Funds, Treasurer's Trust Funds and all other budgeted county funds in the custody of the County ~~Treasurer~~. Investments of employees' retirement funds, deferred compensation plans and other funds are not covered by this policy. The amount of funds falling within the scope of this policy over the next three years is expected to range between \$50 million and \$100 million.

4. General Objectives

A. Preservation of Invested Capital

Investments shall be undertaken in a manner that seeks to ensure the preservation of capital in the overall portfolio. The goal is to mitigate credit risk and interest rate risk.

B. Liquidity

The investment portfolio shall remain sufficiently liquid to meet all reasonably anticipated operating requirements. Furthermore, the portfolio should consist largely of securities with active secondary or resale markets. A portion of the portfolio also may be placed in the Oregon Short Term Fund which offers next-day liquidity. Where possible and prudent, the portfolio should be structured so that investments mature concurrent with anticipated demands.

C. Return

The investment portfolio shall be designed with the objective of attaining a market rate of return throughout budgetary and economic cycles, taking into consideration the safety and liquidity needs of the portfolio. Although return consists of both principal return (gains and losses due to market value fluctuations) and income return (yield), this policy discourages

active trading and turnover of investments. Investments should generally be held to maturity.

5. Standards of Care

A. Prudence

The standard of prudence to be used by investment officials shall be the “prudent person” standard and shall be applied in the context of managing an overall portfolio. Investment officers acting in accordance with written procedures and this investment policy and exercising due diligence shall be relieved of personal responsibility for an individual security’s credit risk or market price changes, provided deviations from expectations are reported and appropriate action is taken to control adverse developments within a timely fashion as defined in this policy. The “prudent person” standard states:

Investments shall be made with judgment and care, under circumstances then prevailing, which persons of prudence, discretion and intelligence exercise in the management of their own affairs, not for speculation, but for investment, considering the probable safety of their capital as well as the probable income to be derived.

B. Ethics and Conflicts of Interest

Officers and employees involved in the investment process shall refrain from personal activity that could conflict with the proper execution and management of the investment program, or that could impair their ability to make impartial decisions. Employees and investment officials shall disclose any material interests in financial institutions with which they conduct business. Disclosure shall be made to the governing body. They shall further disclose any personal financial/investment positions that could be related to the performance of the investment portfolio. Employees and officers shall refrain from undertaking personal investment transactions with the same individual with whom business is conducted on behalf of The County. Officers and employees shall, at all times, comply with the State of Oregon Government Standards and Practices code of ethics set forth in ORS Chapter 244.

C. Delegation of Authority and Responsibilities

i. Governing Body

The Crook County Court will retain ultimate fiduciary responsibility for invested funds. The governing body will receive reports, pursuant to, and with sufficient detail to comply with ORS 294.085 and 294.155.

ii. Delegation of Authority

Authority to manage investments within the scope of this policy and operate the investment program in accordance with established written procedures and internal controls is granted to the ~~Crook County Treasurer~~ Crook County Finance Director, or his/her designee, or in the Finance Director’s absence, the Crook County Administrator or his/her designed-(hereinafter referred to as Investment Officer), and

derived from the following: ORS 294.035 to 294.053, 294.125 to 294.145, and 294.810.

No person may engage in an investment transaction except as provided under the terms of this policy and the procedures established by the Investment Officer. The Investment Officer shall be responsible for all transactions undertaken and shall establish a system of controls to regulate the activities of subordinate officials.

All participants in the investment process shall seek to act responsibly as custodians of the public trust. No officer or designee may engage in an investment transaction except as provided under the terms of this policy and supporting procedures.

iii. Investment Committee

The County Court may seek to establish an investment committee to provide guidance to the Investment Officer(s) and monitor investment policy compliance.

iv. Investment Advisor

The ~~Treasurer~~County may engage the services of one or more external investment ~~advisors or investment~~ managers to assist in the management of ~~the~~The County investment portfolio in a manner consistent with this investment policy. Investment advisors ~~or investment managers~~ may be ~~engaged in accordance with County hiring or contracting rules, including, if applicable, as hired on a personal services contract.~~discretionary or a non-discretionary basis. If The County ~~engages~~hires an investment advisor ~~or investment manager~~ to provide investment management services, the advisor ~~or manager~~ is authorized to transact with its direct dealer relationships on behalf of The County.

6. Transaction Counterparties

A. Broker/Dealers

The Investment Officer shall determine which broker/dealer firms and registered representatives are authorized for the purposes of investing funds within the scope of this investment policy. A list will be maintained of approved broker/dealer firms and affiliated registered representatives.

The following minimum criteria must be met prior to authorizing investment transactions. The Investment Officer may impose more stringent criteria.

- i. Broker/Dealer firms must meet the following minimum criteria:
 - a. Be registered with the Securities and Exchange Commission (SEC)
 - b. Be registered with the Financial Industry Regulatory Authority (FINRA)
 - c. Provide most recent audited financials
 - d. Provide FINRA Focus Report filings
- ii. Approved broker/dealer employees who execute transactions with The County must meet the following minimum criteria:

- a. Be a registered representative with the Financial Industry Regulatory Authority (FINRA);
 - b. Be licensed by the state of Oregon;
 - c. Provide certification (in writing) of having read, understood, and agreed to comply with the most current version of this investment policy.
- iii. The Investment Officer may want to establish policy for engaging broker/dealer firms and registered representatives that are more restrictive than stated in this policy. Additional requisites or due diligence items may include:
- a. Positive references from at least three other local government clients.
 - b. As part of the periodic due diligence review, inquiries with other local government clients with regard to their recent experiences with broker/dealer firms or registered representatives and any change in relationship status.
 - c. Requirement that approved registered representatives provide notification within 30 days of any formal investigations or disciplinary actions initiated by federal or state regulators.
 - d. Requirement that prospective registered representatives have an established history of advising local governments with similar amounts of assets under management.
- iv. Periodic (at least annual) review of all authorized broker/dealers and their respective authorized registered representatives will be conducted by the Investment Officer. Factors to consider would be:
- a. Pending investigations by securities regulators
 - b. Significant changes in net capital
 - c. Pending customer arbitration cases
 - d. Regulatory enforcement actions
- v. The Investment Officer shall maintain and review annually a list of all authorized financial institutions and broker/dealers that are approved to transact with The County for investment purposes.

The Investment Officer or designee may utilize the investment advisor's approved broker/dealer list in lieu of The County's own approved list. The advisor must submit the approved list to The County annually and provide updates throughout the year as they occur. The advisor must maintain documentation of appropriate license and professional credentials of broker/dealers on the list. The annual investment advisor broker/dealer review procedures should include:

- a. FINRA Certification check
 - Firm Profile
 - Firm History
 - Firm Operations
 - Disclosures of Arbitration Awards, Disciplinary and Regulatory Events
 - State Registration Verification
- b. Financial review of acceptable FINRA capital requirements or letter of credit for clearing settlements.

The advisors must provide The County with any changes to the list prior to transacting on behalf of The County.

The advisor may be authorized through the contracted agreement to open accounts on behalf of The County with the broker/dealers on the approved list. The County will receive documentation directly from the brokers for account verification and regulatory requirements.

B. Investment Advisors

A list will be maintained of approved advisors selected by conducting a process of due diligence.

- i. The following items are required for all approved Investment Advisors:
 - a. The investment advisor firm must be registered with the Securities and Exchange Commission (SEC) or licensed by the state of Oregon (Note: Investment advisor firms with assets under management > \$100 million must be registered with the SEC, otherwise the firm must be licensed by the state of Oregon).
 - b. All investment advisor firm representatives conducting investment transactions on behalf of The County must be registered representatives with FINRA.
 - c. All investment advisor firm representatives conducting investment transactions on behalf of The County must be licensed by the state of Oregon.
 - d. Certification, by all of the advisor representatives conducting investment transactions on behalf of this entity, of having read, understood and agreed to comply with this investment policy.
- ii. A periodic (at least annual) review of all authorized investment advisors under contract will be conducted by the ~~Treasurer~~Investment Officer to determine their continued eligibility within the portfolio guidelines. The investment Advisor must notify The County immediately if any of the following issues arise while serving under a The County contract:
 - a. Pending investigations by securities regulators.
 - b. Significant changes in net capital.
 - c. Pending customer arbitration cases.
 - d. Regulatory enforcement actions.

C. Depositories

All financial institutions who desire to become depositories must be qualified Oregon Depositories pursuant to ORS Chapter 295.

D. Competitive Transactions

- i. The Investment Officer shall obtain and document competitive bid information on all investments purchased or sold in the secondary market. Competitive bids or offers should be obtained, when possible, from at least three separate brokers/financial institutions or through the use of a nationally recognized trading platform.

- ii. In the instance of a security for which there is no readily available competitive bid or offering on the same specific issue, then the Investment Officer shall document quotations for comparable or alternative securities.
- iii. When purchasing original issue instrumentality securities, no competitive offerings will be required as all dealers in the selling group offer those securities at the same original issue price. However, the Investment Officer is encouraged to document quotations on comparable securities.
- iv. If an investment advisor provides investment management services, the advisor must retain documentation of competitive pricing execution on each transaction and provide upon request.

7. Administration and Operations

A. Delivery vs. Payment

All trades of marketable securities will be executed (cleared and settled) by delivery vs. payment (DVP) to ensure that securities are deposited in The County safekeeping institution prior to the release of funds.

B. Third-Party Safekeeping

Securities will be held by an independent third-party safekeeping institution selected by The County. All securities will be evidenced by safekeeping receipts in Crook County name. Upon request, the safekeeping institution shall make available a copy of its Statement on Standards for Attestation Engagements (SSAE) No. 16. The County will have online access through the safekeeping bank for verification of the account holdings and transactions. The County may hold bank deposits or certificates of deposits at banks qualified under ORS.295.

C. Internal Controls

The ~~Treasurer/Finance Director~~[Investment Officer](#) is responsible for establishing and maintaining an adequate internal control structure designed to reasonably assure that invested funds are invested within the parameters of this Investment policy and, protected from loss, theft or misuse. Specifics for the internal controls shall be documented in writing. The established control structure shall be reviewed and updated periodically by the County Court.

The concept of reasonable assurance recognizes that the cost of a control should not exceed the benefits likely to be derived and the valuation of costs and benefits requires estimates and judgments by management. The internal controls shall address the following points at a minimum:

- i. Compliance with investment policy constraints and requirements
- ii. Control of collusion
- iii. Segregation of duties and separation of responsibilities for trade execution, accounting, and record keeping
- iv. Custodial safekeeping

- v. Avoidance of physical delivery of securities wherever possible and address control requirements for physical delivery where necessary
- vi. Clear delegation of authority
- vii. Confirmation of transactions for investments and wire transfers in written or digitally verifiable electronic form
- viii. Dual authorizations of wire and automated clearing house (ACH) transfers
- ix. Staff training
- x. Review, maintenance and monitoring of security procedures both manual and automated
- xi. Timely reconciliation of custodial reports
- xii. Appropriate security for online transactions and access to bank accounts and bank data

An external auditor shall provide an annual independent review to assure compliance with Oregon state law and Crook County policies and procedures.

D. Accounting Method

The County shall comply with all required legal provisions and Generally Accepted Accounting Principles (GAAP). The accounting principles are those contained in the pronouncements of authoritative bodies including but not necessarily limited to, the Governmental Accounting Standards Board (GASB); the American Institute of Certified Public Accountants (AICPA); and the Financial Accounting Standards Board (FASB).

Pooling of Funds: Except for cash in certain restricted and special funds, The County will consolidate balances from all funds to maximize investment earnings. Investment income will be allocated to the various funds based on their respective participation and in accordance with generally accepted accounting principles.

8. Authorized and Suitable Investments

A. Permitted Investments

All investments of The County shall be made in accordance with Oregon Revised Statutes: ORS 294.035 (Investment of surplus funds of political subdivisions; approved investments), ORS 294.040 (Restriction on investments under ORS 294.035), ORS 294.135 (Investment maturity dates), ORS 294.145 (Prohibited conduct for custodial officer), and ORS 294.805 to 294.895 (Local Government Investment Pool). If additional types of securities are considered for investment, per Oregon state statute they will not be eligible for investment until this Policy has been amended and the amended version adopted by the County Court. Minimum credit ratings and percentage limitations apply to the time of purchase.

The following lists allowable investment types:

US Treasury Obligations: Direct obligations of the United States Treasury whose payment is guaranteed by the United States. [ORS Section 294.035(3)(a)]

US Agency Obligations: Federal agency and instrumentalities of the United States or enterprises sponsored by the United States Government (GSE) and whose payment is guaranteed by the United States, the agencies and instrumentalities of the United States or enterprises sponsored by the United States Government. [ORS Section 294.035(3)(a)]

Municipal Debt: Lawfully issued debt obligations of the States of Oregon, California, Idaho and Washington and political subdivisions of those states if the obligations have a long-term rating on the settlement date of AA- or better by S&P or Aa3 or better by Moody's or equivalent rating by any nationally recognized statistical rating organization, or are rated on the settlement date in the highest category for short-term municipal debt by a nationally recognized statistical rating organization. [ORS Section 294.035(3)(c)]

Corporate Indebtedness: Corporate indebtedness subject to a valid registration statement on file with the Securities and Exchange Commission or issued under the authority of section 3(a)(2) or 3(a)(3) of the Securities Act of 1933. Corporate indebtedness must be rated on the settlement date AA- or better by S&P or Aa3 or better by Moody's or equivalent rating by any nationally recognized statistical rating organization. [ORS Section 294.035(3)(i)]

Commercial Paper: Corporate indebtedness subject to a valid registration statement on file with the Securities and Exchange Commission or issued under the authority of section 3(a)(2) or 3(a)(3) of the Securities Act of 1933, as amended. Commercial Paper must be rated A1 by Standard and Poor's or P1 by Moody's or equivalent rating by any nationally recognized statistical rating organization. Issuer constraints for commercial paper combined with corporate notes will be limited by statute to 5% of market value per issuer. [ORS Section 294.035(3)(i)]

Certificates of Deposit: Certificates of deposit in insured institutions as defined in ORS 706.008, in credit unions as defined in ORS Section 723.006 or in federal credit unions, if the institution or credit union maintains a head office or a branch in this state [ORS Section 294.035(3)(d)].

Bank Time Deposit/Savings Accounts: Time deposit open accounts or savings accounts in insured institutions as defined in ORS Section 706.008, in credit unions as defined in ORS Section 723.006 or in federal credit unions, if the institution or credit union maintains a head office or a branch in this state [ORS Section 294.035(3)(d)(e)].

Bankers' Acceptances: A short-term credit investment created by a non-financial firm and guaranteed by a qualified financial institution whose short-term letter of credit rating is rated in the highest category without any refinement or gradation by one or more nationally recognized statistical rating organization. For the purposes of this paragraph, "qualified financial institution" means: (i) A financial institution that is located and licensed to do banking business in the State of Oregon; or (ii) A financial institution that is wholly owned by a financial holding company or a bank holding company that owns a financial institution that is located and licensed to do banking business in the State of Oregon. [ORS 294.035(3)(h)]

Local Government Investment Pool: State Treasurer's local short-term investment fund up to the statutory limit per ORS Section 294.810.

B. Collateralization

Time deposit open accounts, Certificates of Deposit and savings accounts shall be collateralized through the state collateral pool for any excess over the amount insured by an agency of the United States government in accordance with ORS 295.018. All depositories must be on the State of Oregon's qualified list. Additional collateral requirements may be required if the Treasurer deems increased collateral is beneficial to the protection of the monies under The County's management.

C. Approval of Permitted Investments

If additional types of securities are considered for investment, per Oregon state statute they will not be eligible for investment until this Policy has been amended and the amended version adopted by Crook County.

D. Prohibited Investments

- i. The County shall not invest in "144A" private placement securities, this includes commercial paper privately placed under section 4(a)(2) of the Securities Act of 1933.
- ii. The County shall not lend securities nor directly participate in a securities lending or reverse repurchase program.
- iii. The County shall not purchase mortgage-backed securities.
- iv. The County shall not purchase, per ORS 294.040, any bonds of issuers listed in ORS 294.035(3)(a) to (c) that have a prior default history.
- v. No commitment to buy or sell securities may be made more than 14 days prior to the anticipated settlement date.

9. Investment Parameters

A. Credit Risk

Credit risk is the risk that a security or a portfolio will lose some or all of its value due to a real or perceived change in the ability of the issuer to repay its debt. Credit risk will be mitigated by the following guidelines:

- i. **Diversification:** It is the policy of The County to diversify its investments. Where appropriate, exposures will be limited by security type; maturity; issuance, issuer, and security type, Allowed security types and Investment exposure limitations are detailed in the table below.
- ii. **Credit Ratings:** Investments must have a rating from at least one of the following nationally recognized statistical ratings organizations (NRSRO): Moody's Investors Service; Standard & Poor's; and Fitch Ratings Service as detailed in the table below. Ratings used to apply the guidelines below should be investment level ratings and not issuer level ratings.
- iii. The minimum weighted average credit rating of the portfolio's rated investments shall be AA-/Aa3/AA- by Standard & Poor's; Moody's Investors Service; and Fitch Ratings Service respectively.

- iv. Diversification and Credit Exposure Constraints: The following table limits exposures among investments permitted by this policy.

Total Portfolio Diversification Constraints

Issue Type	Maximum % Holdings	Maximum % per Issuer	Ratings S&P, Moody's, or Equivalent NRSRO	Maximum Maturity
US Treasury Obligations	100%	None	N/A	5.25 years
US Agency Obligations	100%	35%	N/A	5.25 years
Municipal Bonds (OR, CA, ID, WA)	25%	5%	AA- / Aa3 Short Term*	5.25 years
Corporate Bonds	35%**	5%***	AA- / Aa3	5.25 years
Commercial Paper			A1 / P1	270 days
Bank Time Deposits/Savings Accounts	20%	20%	Oregon Public Depository	N/A
Certificates of Deposit	10%	5%	Oregon Public Depository	5.25 years
Banker's Acceptance	10%	5%	A1 / P1	180 days
Oregon Short Term Fund	Maximum allowed per ORS 294.810	None	N/A	N/A

*Short Term Ratings: Moody's - P1/MIG1/VMIG1, S&P - A-1/P-1, Fitch - F-1

**35% maximum combined corporate and commercial paper per ORS.

***Issuer constraints apply to the combined issues in corporate and commercial paper holdings.

B. Determining a Security's Rating

A single rating will be determined for each investment by utilizing the **lowest** security level rating available for the security from Standard and Poor's, Moody's Investor Services and Fitch Ratings respectively.

C. Investment Maturity

- i. Where feasible and prudent, investment maturities should be matched with expected cash outflows to mitigate risk.

- ii. The County will not directly invest in securities maturing more than 5.25 years* from the date of purchase.
- iii. The maximum weighted maturity of the total portfolio shall not exceed 2.50 years. This maximum is established to limit the portfolio to excessive price change exposure.
- iv. Liquidity funds will be held in the State Pool or in money market instruments maturing one year and shorter.
- v. Core funds will be defined as the funds in excess of liquidity requirements. The investments in this portion of the portfolio will have maturities between one day and 5.25 years and will be only invested in higher quality and liquid securities.

Total Portfolio Maturity Constraints:

Maturity Constraints	Minimum % of Total Portfolio
Under 30 days	10%
Under 1 year	25%
Under 5.25 years	100%
Maturity Constraints	Maximum of Total Portfolio in Years
Weighted Average Maturity	2.5
Security Structure Constraint	Maximum % of Total Portfolio
Callable Securities	25%

*Exception to 5.25-year maturity maximum: Reserve or Capital Improvement Project monies may be invested in securities exceeding 5.25 years if the maturities of such investments are made to coincide as nearly as practicable with the expected use of the funds.

10. Authority to Invest for Other Entities

The Crook County ~~Treasurer~~ shall not serve as the custodian for the investment of funds on behalf of any other jurisdiction, agency, district or entity, except where required by statute. In such cases, the governing body of said other jurisdiction, agency, district or other entity shall annually furnish to the Crook County ~~Treasurer~~, a written order authorizing the Crook County ~~Treasurer~~ to invest the funds pursuant to Oregon Revised Statutes and in conformance with the Investment Policy and further indemnifying and holding Crook County harmless from and against any and all claims, liabilities, demands, actions or damages incurred in connection with, or in any way relating to, such investment. Such order shall be spread upon the minutes or journal of the governing body. The governing body of said other jurisdiction, agency, district or entity shall furnish a copy of the minutes upon which the order has been spread along with the signed, written order authorizing investing.

11. Investment of Proceeds from Debt Issuance

Investments of bond proceeds are restricted under bond covenants that may be more restrictive than the investment parameters included in this policy. The investments will be made in a manner to match cash flow expectations based on managed disbursement schedules.

Liquidity for bond proceeds will be managed through the OSTF Pool or Bank deposit balances.

Funds from bond proceeds and amounts held in a bond payment reserve or proceeds fund may be invested pursuant to ORS 294.052. Investments of bond proceeds are typically not invested for resale and maturity matched with expected outflows.

Information will be maintained for arbitrage rebate calculations.

12. Investment of Reserve or Capital Improvements

Pursuant to ORS 294.135(1)(b), reserve or capital Improvement project monies may be invested in securities with a maturity of 5.25 years at the maximum when the funds in question are being accumulated for an anticipated use that will occur more than 18 months after the funds are invested, then, upon the approval of the governing body of the county, municipality, school district or other political subdivision, the maturity of the investment or investments made with the funds may occur when the funds are expected to be used. Reserve or Capital Improvement Project monies may be invested in securities exceeding 5.25 years if the maturities of such investments are made to coincide as nearly as practicable with the expected use of the funds.

13. Guideline Measurement and Adherence

A. Guideline Measurement

Guideline measurements will use market value of investments.

B. Guideline Compliance

- i. If the portfolio falls outside of compliance with adopted investment policy guidelines or is being managed inconsistently with this policy, the Investment Officer shall bring the portfolio back into compliance in a prudent manner and as soon as prudently feasible.
- ii. Violations of portfolio guidelines as a result of transactions; actions to bring the portfolio back into compliance and; reasoning for actions taken to bring the portfolio back into compliance shall be documented and reported to the County Court.
- iii. Due to fluctuations in the aggregate surplus funds balance, maximum percentages for a particular issuer or investment type may be exceeded at a point in time. Securities need not be liquidated to realign the portfolio; however, consideration should be given to this matter when future purchases are made to ensure that appropriate diversification is maintained.

14. Reporting and Disclosure

A. Compliance

The Investment Officer shall prepare a report at least quarterly that allows the County Court to ascertain whether investment activities during the reporting period have conformed to the investment policy. The report should be provided to the investment oversight body. The report will include, at a minimum, the following:

- i. A listing of all investments held during the reporting period showing: par/face value; accounting book value; market value; type of investment; issuer; credit ratings; and yield to maturity (yield to worst if callable).
- ii. Average maturity of the portfolio at period-end
- iii. Maturity distribution of the portfolio at period-end
- iv. Average portfolio credit quality of the portfolio at period-end
- v. Average weighted yield to maturity (yield to worst if callable investments are allowed) of the portfolio
- vi. Distribution by type of investment
- vii. Transactions since last report
- viii. Violations of portfolio guidelines or non-compliance issues that occurred during the prior period or that are outstanding. This report should also note actions (taken or planned) to bring the portfolio back into compliance.

B. Performance Standards/Evaluation

- i. The County yields will be compared to the OST Pool rates.
- ii. The portfolio will be invested into a predetermined structure that will be measured against a selected benchmark portfolio. The structure will be based upon a chosen minimum and maximum effective duration and will have the objective to achieve market rates of returns over long investment horizons. The purpose of the benchmark is to appropriately manage the risk in the portfolio given interest rate cycles. The core portfolio is expected to provide similar returns to the benchmark over interest rate cycles but may underperform or outperform in certain periods. The portfolio will be positioned to first protect principal and then achieve market rates of return. The benchmark used will be a 0-3 year or 0-5 year standard market index and comparisons will be calculated monthly and reported quarterly.
- iii. When comparing the performance of The County's portfolio, all fees and expenses involved with managing the portfolio shall be included in the computation of the portfolio's rate of return.
- iv. The mark to market pricing will be calculated monthly and be provided in a monthly report.

C. Audits

Management shall establish an annual process of independent review by the external auditor to assure compliance with internal controls. Such audit will include tests deemed appropriate by the auditor.

D. Reporting Requirements

The Investment Officer will retain and provide quarterly investment reports to the County Court in a similar manner as outlined in ORS 208.090. The reports also will be available upon request. Securities holdings and cash balances held in the investment portfolio will be provided on the reports.

The minimum quarterly reporting requirements for total portfolio are as follows:

- Earnings Yield
- Holdings Report (including mark to market)
- Transactions Report
- Weighted Average Maturity or Duration
- Compliance Report

15. Policy Maintenance and Considerations

A. Review

The investment policy shall be reviewed at least annually to ensure its consistency with the overall objectives of preservation of principal, liquidity and return, and its relevance to current law and financial and economic trends.

The annual report should also serve as a venue to suggest policies and improvements to the investment program, and shall include an investment plan for the coming year.

B. Exemptions

Any investment held prior to the adoption of this policy shall be exempted from the requirements of this policy. At maturity or liquidation, such monies shall be reinvested as provided by this policy.

C. Policy Adoption and Amendments

This Investment Policy and any modifications to this policy must be formally approved in writing by the Crook County Court. Regardless of whether this policy is submitted to the OSTF Board for comment, this policy shall be re-submitted not less than annually to the County Court for approval.

Glossary of Terms

Accrued Interest: The interest accumulated on a security since the issue date or since the last coupon payment. The buyer of the security pays the market price plus accrued interest.

Agency Securities: See “Federal Agency Securities.”

Bankers’ Acceptance (BA’s): A draft or bill of exchange drawn upon and accepted by a bank. Frequently used to finance shipping of international goods. Used as a short-term credit instrument, bankers’ acceptances are traded at a discount from face value as a month market instrument in the secondary market on the basis of the credit quality of the guaranteeing bank.

Basis Point: A basis point is a unit of measure used in finance to describe the percentage change in the value or rate of a financial instrument. One basis point is equivalent to 0.01% (1/100th of a percent) or 0.0001 in decimal form. In most cases, it refers to changes in interest rates and bond yields.

Benchmark: A market index used as a comparative basis for measuring the performance of an investment portfolio. A performance benchmark should represent a close correlation to investment guidelines, risk tolerance and duration of the actual portfolio’s investments.

Bond: An interest-bearing security issued by a corporation, government, governmental agency, or other body. It is a form of debt with an interest rate, maturity, and face value, and it is usually secured by specific assets. Most bonds have a maturity of greater than one year and in general, pay interest semiannually.

Broker/Dealer: A person or firm transacting securities business with customers. A “broker” acts as an agent between buyers and sellers, and receives a commission for these services. A “dealer” buys and sells financial assets from its own portfolio. A dealer takes risk by owning an inventory of securities, whereas a broker merely matches up buyers and sellers.

Call: An option to buy a specific asset at a certain price within a certain period of time.

Callable: A bond or preferred stock that may be redeemed by the issuer before maturity for a call price specified at the time of issuance.

Call Date: The date before maturity on which a bond may be redeemed at the option of the issuer.

Certificate of Deposit (CD): Bank obligation issued by a financial institution generally offering a fixed rate of return (coupon) for a specified period of time (maturity).

Collateral: Securities or other property that a borrower pledges as security for the repayment of a loan. Also refers to securities pledged by a bank to secure deposits of public monies.

Commercial Paper: Short-term, unsecured, negotiable promissory notes issued by a company or financial institution. Issued at a discount and matures at par or face value. Usually a maximum maturity of 270 days, and given a short-term debt rating by one or more NRSROs.

Core Fund: Core funds are defined as operating fund balance which exceeds THE COUNTY’S daily liquidity needs. Core funds are invested out the yield curve to diversify maturity structure in

the overall portfolio. Having longer term investments in a portfolio will stabilize the overall portfolio interest earnings over interest rate cycles.

Corporate Note: A debt instrument issued by a corporation with a maturity of greater than one year and less than ten years.

Coupon Rate: The annual rate of interest that the issuer of a bond promises to pay to the holder of the bond.

Current Maturity: The amount of time left until an obligation matures. For example, a one-year bill issued nine months ago has a current maturity of three months.

Current Yield: The coupon payments on a security as a percentage of the security's market price. In many instances the price should be gross of accrued interest, particularly on instruments where no coupon is left to be paid until maturity.

CUSIP: A CUSIP number identifies securities. CUSIP stands for Committee on Uniform Security Identification Procedures, which was established under the auspices of the American Bankers Association to develop a uniform method of identifying municipal, U.S. government, and corporate securities.

Delivery Versus Payment (DVP): Settlement procedure in which securities are delivered versus payment of cash, but only after cash has been received. Most security transactions, including those through the Fed Securities Wire system and DTC, are done DVP as a protection for both the buyer and seller of securities.

Depository Trust Company (DTC): A firm through which members can use a computer to arrange for securities to be delivered to other members without physical delivery of certificates. A member of the Federal Reserve System and owned mostly by the New York Stock Exchange, the Depository Trust Company uses computerized debit and credit entries. Most corporate securities, commercial paper, CDs and BAs clear through DTC.

Discount Notes: Short term debt obligations issued by Federal Agencies at a discount. Discount notes mature at par and can range in maturity from overnight to one year. Discount Notes typically have very large primary (new issue) and secondary markets.

Federal Agency Security: A debt instrument issued by one of the federal agencies. Federal agencies are considered second in credit quality and liquidity only to U.S. Treasuries.

Federal Agency: Government sponsored/owned entity created by the U.S. Congress, generally for the purpose of acting as a financial intermediary by borrowing in the marketplace and directing proceeds to specific areas of the economy considered to otherwise have restricted access to credit markets.

Federal Farm Credit Bank (FFCB): A Government Sponsored Enterprise (GSE) system that is a network of cooperatively owned lending institutions that provide credit services to farmers, agricultural cooperatives and rural utilities. The FFCBs act as financial intermediaries that borrow money in the capital markets and use the proceeds to make loans and provide other assistance to farmers and farm-affiliated businesses. FFCB debt is not an obligation of, nor is it guaranteed by the U.S. government, although it is considered to have minimal credit risk due to its importance

to the U.S. Financial system and agricultural industry. Also issues notes under its “designated note” program.

Federal Home Loan Bank System (FHLB): A Government Sponsored Enterprise (GSE) system, consisting of wholesale banks (currently twelve district banks) owned by their member banks, which provides correspondent banking services and credit to various financial institutions, financed by the issuance of securities. The principal purpose of the FHLB is to add liquidity to the mortgage markets. Although FHLB does not directly fund mortgages, it provides a stable supply of credit to thrift institutions that make new mortgage loans. FHLB debt is not an obligation of, nor is it guaranteed by the U.S. government, although it is considered to have minimal credit risk due to its importance to the U.S. financial system and housing market. Frequent issuer of discount notes, agency notes and callable agency securities. Also issues notes under its “global note” and “TAP” programs.

Federal Home Loan Mortgage Corporation (FHLMC or "Freddie Mac"): One of the large Federal Agencies. A government sponsored public corporation (GSE) that provides stability and assistance to the secondary market for home mortgages by purchasing first mortgages and participation interests financed by the sale of debt and guaranteed mortgage backed securities. FHLMC debt is not an obligation of, nor is it guaranteed by the U.S. government, although it is considered to have minimal credit risk due to its importance to the U.S. financial system and housing market. Frequent issuer of discount notes, agency notes, callable agency securities and MBS. Also issues notes under its “reference note” program.

Federal National Mortgage Association (FNMA or "Fannie Mae"): One of the large Federal Agencies. A government sponsored public corporation (GSE) that provides liquidity to the residential mortgage market by purchasing mortgage loans from lenders, financed by the issuance of debt securities and MBS (pools of mortgages packaged together as a security). FNMA debt is not an obligation of, nor is it guaranteed by the U.S. government, although it is considered to have minimal credit risk due to its importance to the U.S. financial system and housing market. Frequent issuer of discount notes, agency notes, callable agency securities and MBS. Also issues notes under its “benchmark note” program.

Federal Reserve Bank: One of the 12 distinct banks of the Federal Reserve System.

Federal Reserve System (the Fed): The independent central bank system of the United States that establishes and conducts the nation's monetary policy. This is accomplished in three major ways: (1) raising or lowering bank reserve requirements, (2) raising or lowering the target Fed Funds Rate and Discount Rate, and (3) in open market operations by buying and selling government securities. The Federal Reserve System is made up of twelve Federal Reserve District Banks, their branches, and many national and state banks throughout the nation. It is headed by the seven member Board of Governors known as the “Federal Reserve Board” and headed by its Chairman.

General Obligation Bonds (GOs): Bonds secured by the pledge of the municipal issuer's full faith and credit, which usually includes unlimited taxing power.

Government Bonds: Securities issued by the federal government; they are obligations of the U.S. Treasury. Also known as “government securities.”

Government Sponsored Enterprise (GSE): Privately owned entity subject to federal regulation and supervision, created by the U.S. Congress to reduce the cost of capital for certain borrowing

sectors of the economy such as students, farmers, and homeowners. GSEs carry the implicit backing of the U.S. Government, but they are not direct obligations of the U.S. Government. For this reason, these securities will offer a yield premium over Treasuries. Some consider GSEs to be stealth recipients of corporate welfare. Examples of GSEs include: FHLB, FHLMC, FNMA and FFCB.

Interest: Compensation paid or to be paid for the use of money. The rate of interest is generally expressed as an annual percentage.

Interest Rate: The interest payable each year on borrowed funds, expressed as a percentage of the principal.

Investment Advisor: A company that provides professional advice managing portfolios, investment recommendations and/or research in exchange for a management fee.

Investment Portfolio: A collection of securities held by a bank, individual, institution, or government agency for investment purposes.

Investment Securities: Securities purchased for an investment portfolio, as opposed to those purchased for resale to customers.

Liquidity: The ease at which a security can be bought or sold (converted to cash) in the market. A large number of buyers and sellers and a high volume of trading activity are important components of liquidity.

Liquidity Component: A percentage of the total portfolio that is dedicated to providing liquidity needs for the County.

Mark to Market: Adjustment of an account or portfolio to reflect actual market price rather than book price, purchase price or some other valuation.

Municipals: Securities, usually bonds, issued by a state or its agencies. The interest on “munis” is usually exempt from federal income taxes and state and local income taxes in the state of issuance. Municipal securities may or may not be backed by the issuing agency’s taxation powers.

NRSRO: A “Nationally Recognized Statistical Rating Organization.” A designated rating organization that the SEC has deemed a strong national presence in the U.S. NRSROs provide credit ratings on corporate and bank debt issues. Only ratings of a NRSRO may be used for the regulatory purposes of rating such as Moody’s, S&P, Fitch and Duff & Phelps.

Par Value: The value of a security expressed as a specific dollar amount marked on the face of the security, or the amount of money due at maturity. Par value should not be confused with market value.

Prudent Person Standard: Standard that requires that when investing, reinvesting, purchasing, acquiring, exchanging, selling, or managing public funds, a trustee will act with care, skill, prudence, and diligence under the circumstances the prevailing, including, but not limited to, the general economic conditions and the anticipated needs of the agency, that a prudent person acting in a like capacity and familiarity with those matters would use in the conduct of funds of a like character and with like aims, to safeguard the principal and maintain the liquidity needs of the entity.

Rate of Return: Amount of income received from an investment, expressed as a percentage of the amount invested.

State of Oregon Local Government Investment Pool (OSTF – Oregon Short Term Fund): The OSTF is organized pursuant to ORS 294.805 through 294.895. Participation in the Pool will not exceed the maximum limit annually set by ORS 294.810.

Total Return: Investment performance measured over a period of time that includes coupon interest, interest on interest, and both realized and unrealized gains or losses. Total return includes, therefore, any market value appreciation/depreciation on investments held at period end.

Treasury Bill (T-Bill): An obligation of the U.S. government with a maturity of one year or less. T-bills bear no interest but are sold at a discount.

Treasury Bonds and Notes: Obligations of the U.S. government that bear interest. Notes have maturities of one to ten years; bonds have longer maturities.

Yield: The annual rate of return on an investment, expressed as a percentage of the investment. Income yield is obtained by dividing the current dollar income by the current market price for the security. Net yield, or yield to maturity, is the current income yield minus any premium above par or plus any discount from par in the purchase price, with the adjustment spread over the period from the date of purchase to the date of maturity of the bond.

Yield to Maturity: The average annual yield on a security, assuming it is held to maturity; equals to the rate at which all principal and interest payments would be discounted to produce a present value equal to the purchase price of the bond.

Ratings Table – Long-Term

Three Highest Rating Categories	S&P	Moody's	Fitch	Definition
	AAA	Aaa	AAA	Highest credit quality
	AA+, AA, AA-	Aa1, Aa2, Aa3	AA+, AA, AA-	Very high credit quality
	A+, A, A-	A1, A2, A3	A+, A, A-	High credit quality
	BBB+, BBB, BBB-	Baa1, Baa2, Baa3	BBB+, BBB, BBB-	Good credit quality
	BB+, BB, BB-	Ba1, Ba2, Ba3	BB+, BB, BB-	Non-investment grade

Ratings Table – Short-Term

Highest Rating Category	S&P	Moody's	Fitch	Definition
	A1+, A1	P1+, P1	F1+, F1	Highest credit quality
	Municipal Commercial Paper			
	A-1, A-1+, SP-1+, SP-1	P1, MIG1, VMIG1	F1+, F1	Highest credit quality



CROOK COUNTY

Investment Policy

January 2024

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1. Purpose

This Investment Policy defines the parameters within which funds are to be invested by Crook County. This policy formalizes the framework, pursuant to ORS 294.135, for Crook County's investment activities to ensure effective and judicious management within the scope of this policy.

2. Governing Authority

Crook County's investment program shall be operated in conformance with Oregon Revised Statutes and applicable federal law. Specifically, this investment policy is written in conformance with ORS 294.035; 294.040; 294.052; 294.135; 294.145 and 294.810. All funds within the scope of this policy are subject to regulations established by the state of Oregon. Any revisions or extensions of these sections of the ORS shall be assumed to be part of this Investment Policy immediately upon being enacted.

3. Scope

This policy applies to activities Crook County with regard to investing the financial assets of General Fund operating funds, Capital Project Funds, Road Funds, Treasurer's Trust Funds and all other budgeted county funds in the custody of the County. Investments of employees' retirement funds, deferred compensation plans and other funds are not covered by this policy. The amount of funds falling within the scope of this policy over the next three years is expected to range between \$50 million and \$100 million.

4. General Objectives

A. Preservation of Invested Capital

Investments shall be undertaken in a manner that seeks to ensure the preservation of capital in the overall portfolio. The goal is to mitigate credit risk and interest rate risk.

B. Liquidity

The investment portfolio shall remain sufficiently liquid to meet all reasonably anticipated operating requirements. Furthermore, the portfolio should consist largely of securities with active secondary or resale markets. A portion of the portfolio also may be placed in the Oregon Short Term Fund which offers next-day liquidity. Where possible and prudent, the portfolio should be structured so that investments mature concurrent with anticipated demands.

C. Return

The investment portfolio shall be designed with the objective of attaining a market rate of return throughout budgetary and economic cycles, taking into consideration the safety and liquidity needs of the portfolio. Although return consists of both principal return (gains and losses due to market value fluctuations) and income return (yield), this policy discourages active trading and turnover of investments. Investments should generally be held to maturity.

5. Standards of Care

A. Prudence

The standard of prudence to be used by investment officials shall be the “prudent person” standard and shall be applied in the context of managing an overall portfolio. Investment officers acting in accordance with written procedures and this investment policy and exercising due diligence shall be relieved of personal responsibility for an individual security’s credit risk or market price changes, provided deviations from expectations are reported and appropriate action is taken to control adverse developments within a timely fashion as defined in this policy. The “prudent person” standard states:

Investments shall be made with judgment and care, under circumstances then prevailing, which persons of prudence, discretion and intelligence exercise in the management of their own affairs, not for speculation, but for investment, considering the probable safety of their capital as well as the probable income to be derived.

B. Ethics and Conflicts of Interest

Officers and employees involved in the investment process shall refrain from personal activity that could conflict with the proper execution and management of the investment program, or that could impair their ability to make impartial decisions. Employees and investment officials shall disclose any material interests in financial institutions with which they conduct business. Disclosure shall be made to the governing body. They shall further disclose any personal financial/investment positions that could be related to the performance of the investment portfolio. Employees and officers shall refrain from undertaking personal investment transactions with the same individual with whom business is conducted on behalf of The County. Officers and employees shall, at all times, comply with the State of Oregon Government Standards and Practices code of ethics set forth in ORS Chapter 244.

C. Delegation of Authority and Responsibilities

i. Governing Body

The Crook County Court will retain ultimate fiduciary responsibility for invested funds. The governing body will receive reports, pursuant to, and with sufficient detail to comply with ORS 294.085 and 294.155.

ii. Delegation of Authority

Authority to manage investments within the scope of this policy and operate the investment program in accordance with established written procedures and internal controls is granted to the Crook County Finance Director, or his/her designee, or in the Finance Director’s absence, the Crook County Administrator, or his/her designed (hereinafter referred to as Investment Officer), and derived from the following: ORS 294.035 to 294.053, 294.125 to 294.145, and 294.810.

No person may engage in an investment transaction except as provided under the terms of this policy and the procedures established by the Investment Officer. The Investment Officer shall be responsible for all transactions undertaken and shall establish a system of controls to regulate the activities of subordinate officials.

All participants in the investment process shall seek to act responsibly as custodians of the public trust. No officer or designee may engage in an investment transaction except as provided under the terms of this policy and supporting procedures.

iii. Investment Committee

The County Court may seek to establish an investment committee to provide guidance to the Investment Officer(s) and monitor investment policy compliance.

iv. Investment Advisor

The County may engage the services of one or more external investment managers to assist in the management of The County investment portfolio in a manner consistent with this investment policy. Investment advisors may be hired on a discretionary or a non-discretionary basis. If The County hires an investment advisor to provide investment management services, the advisor is authorized to transact with its direct dealer relationships on behalf of The County.

6. Transaction Counterparties

A. Broker/Dealers

The Investment Officer shall determine which broker/dealer firms and registered representatives are authorized for the purposes of investing funds within the scope of this investment policy. A list will be maintained of approved broker/dealer firms and affiliated registered representatives.

The following minimum criteria must be met prior to authorizing investment transactions. The Investment Officer may impose more stringent criteria.

- i. Broker/Dealer firms must meet the following minimum criteria:
 - a. Be registered with the Securities and Exchange Commission (SEC)
 - b. Be registered with the Financial Industry Regulatory Authority (FINRA)
 - c. Provide most recent audited financials
 - d. Provide FINRA Focus Report filings
- ii. Approved broker/dealer employees who execute transactions with The County must meet the following minimum criteria:
 - a. Be a registered representative with the Financial Industry Regulatory Authority (FINRA);
 - b. Be licensed by the state of Oregon;
 - c. Provide certification (in writing) of having read, understood, and agreed to comply with the most current version of this investment policy.

- iii. The Investment Officer may want to establish policy for engaging broker/dealer firms and registered representatives that are more restrictive than stated in this policy. Additional requisites or due diligence items may include:
 - a. Positive references from at least three other local government clients.
 - b. As part of the periodic due diligence review, inquiries with other local government clients with regard to their recent experiences with broker/dealer firms or registered representatives and any change in relationship status.
 - c. Requirement that approved registered representatives provide notification within 30 days of any formal investigations or disciplinary actions initiated by federal or state regulators.
 - d. Requirement that prospective registered representatives have an established history of advising local governments with similar amounts of assets under management.
- iv. Periodic (at least annual) review of all authorized broker/dealers and their respective authorized registered representatives will be conducted by the Investment Officer. Factors to consider would be:
 - a. Pending investigations by securities regulators
 - b. Significant changes in net capital
 - c. Pending customer arbitration cases
 - d. Regulatory enforcement actions
- v. The Investment Officer shall maintain and review annually a list of all authorized financial institutions and broker/dealers that are approved to transact with The County for investment purposes.

The Investment Officer or designee may utilize the investment advisor's approved broker/dealer list in lieu of The County's own approved list. The advisor must submit the approved list to The County annually and provide updates throughout the year as they occur. The advisor must maintain documentation of appropriate license and professional credentials of broker/dealers on the list. The annual investment advisor broker/dealer review procedures should include:

- a. FINRA Certification check
 - Firm Profile
 - Firm History
 - Firm Operations
 - Disclosures of Arbitration Awards, Disciplinary and Regulatory Events
 - State Registration Verification
- b. Financial review of acceptable FINRA capital requirements or letter of credit for clearing settlements.

The advisors must provide The County with any changes to the list prior to transacting on behalf of The County.

The advisor may be authorized through the contracted agreement to open accounts on behalf of The County with the broker/dealers on the approved list. The County will

receive documentation directly from the brokers for account verification and regulatory requirements.

B. Investment Advisors

A list will be maintained of approved advisors selected by conducting a process of due diligence.

- i. The following items are required for all approved Investment Advisors:
 - a. The investment advisor firm must be registered with the Securities and Exchange Commission (SEC) or licensed by the state of Oregon (Note: Investment advisor firms with assets under management > \$100 million must be registered with the SEC, otherwise the firm must be licensed by the state of Oregon).
 - b. All investment advisor firm representatives conducting investment transactions on behalf of The County must be registered representatives with FINRA.
 - c. All investment advisor firm representatives conducting investment transactions on behalf of The County must be licensed by the state of Oregon.
 - d. Certification, by all of the advisor representatives conducting investment transactions on behalf of this entity, of having read, understood and agreed to comply with this investment policy.
- ii. A periodic (at least annual) review of all authorized investment advisors under contract will be conducted by the Investment Officer to determine their continued eligibility within the portfolio guidelines. The investment Advisor must notify The County immediately if any of the following issues arise while serving under a The County contract:
 - a. Pending investigations by securities regulators.
 - b. Significant changes in net capital.
 - c. Pending customer arbitration cases.
 - d. Regulatory enforcement actions.

C. Depositories

All financial institutions who desire to become depositories must be qualified Oregon Depositories pursuant to ORS Chapter 295.

D. Competitive Transactions

- i. The Investment Officer shall obtain and document competitive bid information on all investments purchased or sold in the secondary market. Competitive bids or offers should be obtained, when possible, from at least three separate brokers/financial institutions or through the use of a nationally recognized trading platform.
- ii. In the instance of a security for which there is no readily available competitive bid or offering on the same specific issue, then the Investment Officer shall document quotations for comparable or alternative securities.
- iii. When purchasing original issue instrumentality securities, no competitive offerings will be required as all dealers in the selling group offer those securities as the same original

issue price. However, the Investment Officer is encouraged to document quotations on comparable securities.

- iv. If an investment advisor provides investment management services, the advisor must retain documentation of competitive pricing execution on each transaction and provide upon request.

7. Administration and Operations

A. Delivery vs. Payment

All trades of marketable securities will be executed (cleared and settled) by delivery vs. payment (DVP) to ensure that securities are deposited in The County safekeeping institution prior to the release of funds.

B. Third-Party Safekeeping

Securities will be held by an independent third-party safekeeping institution selected by The County. All securities will be evidenced by safekeeping receipts in Crook County name. Upon request, the safekeeping institution shall make available a copy of its Statement on Standards for Attestation Engagements (SSAE) No. 16. The County will have online access through the safekeeping bank for verification of the account holdings and transactions. The County may hold bank deposits or certificates of deposits at banks qualified under ORS.295.

C. Internal Controls

The Investment Officer is responsible for establishing and maintaining an adequate internal control structure designed to reasonably assure that invested funds are invested within the parameters of this Investment policy and, protected from loss, theft or misuse. Specifics for the internal controls shall be documented in writing. The established control structure shall be reviewed and updated periodically by the County Court.

The concept of reasonable assurance recognizes that the cost of a control should not exceed the benefits likely to be derived and the valuation of costs and benefits requires estimates and judgments by management. The internal controls shall address the following points at a minimum:

- i. Compliance with investment policy constraints and requirements
- ii. Control of collusion
- iii. Segregation of duties and separation of responsibilities for trade execution, accounting, and record keeping
- iv. Custodial safekeeping
- v. Avoidance of physical delivery of securities wherever possible and address control requirements for physical delivery where necessary
- vi. Clear delegation of authority
- vii. Confirmation of transactions for investments and wire transfers in written or digitally verifiable electronic form
- viii. Dual authorizations of wire and automated clearing house (ACH) transfers
- ix. Staff training

- x. Review, maintenance and monitoring of security procedures both manual and automated
- xi. Timely reconciliation of custodial reports
- xii. Appropriate security for online transactions and access to bank accounts and bank data

An external auditor shall provide an annual independent review to assure compliance with Oregon state law and Crook County policies and procedures.

D. Accounting Method

The County shall comply with all required legal provisions and Generally Accepted Accounting Principles (GAAP). The accounting principles are those contained in the pronouncements of authoritative bodies including but not necessarily limited to, the Governmental Accounting Standards Board (GASB); the American Institute of Certified Public Accountants (AICPA); and the Financial Accounting Standards Board (FASB).

Pooling of Funds: Except for cash in certain restricted and special funds, The County will consolidate balances from all funds to maximize investment earnings. Investment income will be allocated to the various funds based on their respective participation and in accordance with generally accepted accounting principles.

8. Authorized and Suitable Investments

A. Permitted Investments

All investments of The County shall be made in accordance with Oregon Revised Statutes: ORS 294.035 (Investment of surplus funds of political subdivisions; approved investments), ORS 294.040 (Restriction on investments under ORS 294.035), ORS 294.135 (Investment maturity dates), ORS 294.145 (Prohibited conduct for custodial officer), and ORS 294.805 to 294.895 (Local Government Investment Pool). If additional types of securities are considered for investment, per Oregon state statute they will not be eligible for investment until this Policy has been amended and the amended version adopted by the County Court. Minimum credit ratings and percentage limitations apply to the time of purchase.

The following lists allowable investment types:

US Treasury Obligations: Direct obligations of the United States Treasury whose payment is guaranteed by the United States. [ORS Section 294.035(3)(a)]

US Agency Obligations: Federal agency and instrumentalities of the United States or enterprises sponsored by the United States Government (GSE) and whose payment is guaranteed by the United States, the agencies and instrumentalities of the United States or enterprises sponsored by the United States Government. [ORS Section 294.035(3)(a)]

Municipal Debt: Lawfully issued debt obligations of the States of Oregon, California, Idaho and Washington and political subdivisions of those states if the obligations have a long-term rating on the settlement date of AA- or better by S&P or Aa3 or better by Moody's or equivalent rating by any nationally recognized statistical rating organization, or are rated

on the settlement date in the highest category for short-term municipal debt by a nationally recognized statistical rating organization. [ORS Section 294.035(3)(c)]

Corporate Indebtedness: Corporate indebtedness subject to a valid registration statement on file with the Securities and Exchange Commission or issued under the authority of section 3(a)(2) or 3(a)(3) of the Securities Act of 1933. Corporate indebtedness must be rated on the settlement date AA- or better by S&P or Aa3 or better by Moody's or equivalent rating by any nationally recognized statistical rating organization. [ORS Section 294.035(3)(i)]

Commercial Paper: Corporate indebtedness subject to a valid registration statement on file with the Securities and Exchange Commission or issued under the authority of section 3(a)(2) or 3(a)(3) of the Securities Act of 1933, as amended. Commercial Paper must be rated A1 by Standard and Poor's or P1 by Moody's or equivalent rating by any nationally recognized statistical rating organization. Issuer constraints for commercial paper combined with corporate notes will be limited by statute to 5% of market value per issuer. [ORS Section 294.035(3)(i)]

Certificates of Deposit: Certificates of deposit in insured institutions as defined in ORS 706.008, in credit unions as defined in ORS Section 723.006 or in federal credit unions, if the institution or credit union maintains a head office or a branch in this state [ORS Section 294.035(3)(d)].

Bank Time Deposit/Savings Accounts: Time deposit open accounts or savings accounts in insured institutions as defined in ORS Section 706.008, in credit unions as defined in ORS Section 723.006 or in federal credit unions, if the institution or credit union maintains a head office or a branch in this state [ORS Section 294.035(3)(d)(e)].

Bankers' Acceptances: A short-term credit investment created by a non-financial firm and guaranteed by a qualified financial institution whose short-term letter of credit rating is rated in the highest category without any refinement or gradation by one or more nationally recognized statistical rating organization. For the purposes of this paragraph, "qualified financial institution" means: (i) A financial institution that is located and licensed to do banking business in the State of Oregon; or (ii) A financial institution that is wholly owned by a financial holding company or a bank holding company that owns a financial institution that is located and licensed to do banking business in the State of Oregon. [ORS 294.035(3)(h)]

Local Government Investment Pool: State Treasurer's local short-term investment fund up to the statutory limit per ORS Section 294.810.

B. Collateralization

Time deposit open accounts, Certificates of Deposit and savings accounts shall be collateralized through the state collateral pool for any excess over the amount insured by an agency of the United States government in accordance with ORS 295.018. All depositories must be on the State of Oregon's qualified list. Additional collateral requirements may be required if the Treasurer deems increased collateral is beneficial to the protection of the monies under The County's management.

C. Approval of Permitted Investments

If additional types of securities are considered for investment, per Oregon state statute they will not be eligible for investment until this Policy has been amended and the amended version adopted by Crook County.

D. Prohibited Investments

- i. The County shall not invest in “144A” private placement securities, this includes commercial paper privately placed under section 4(a)(2) of the Securities Act of 1933.
- ii. The County shall not lend securities nor directly participate in a securities lending or reverse repurchase program.
- iii. The County shall not purchase mortgage-backed securities.
- iv. The County shall not purchase, per ORS 294.040, any bonds of issuers listed in ORS 294.035(3)(a) to (c) that have a prior default history.
- v. No commitment to buy or sell securities may be made more than 14 days prior to the anticipated settlement date.

9. Investment Parameters

A. Credit Risk

Credit risk is the risk that a security or a portfolio will lose some or all of its value due to a real or perceived change in the ability of the issuer to repay its debt. Credit risk will be mitigated by the following guidelines:

- i. **Diversification:** It is the policy of The County to diversify its investments. Where appropriate, exposures will be limited by security type; maturity; issuance, issuer, and security type. Allowed security types and Investment exposure limitations are detailed in the table below.
- ii. **Credit Ratings:** Investments must have a rating from at least one of the following nationally recognized statistical ratings organizations (NRSRO): Moody’s Investors Service; Standard & Poor’s; and Fitch Ratings Service as detailed in the table below. Ratings used to apply the guidelines below should be investment level ratings and not issuer level ratings.
- iii. The minimum weighted average credit rating of the portfolio’s rated investments shall be AA-/Aa3/AA- by Standard & Poor’s; Moody’s Investors Service; and Fitch Ratings Service respectively.
- iv. **Diversification and Credit Exposure Constraints:** The following table limits exposures among investments permitted by this policy.

Total Portfolio Diversification Constraints

Issue Type	Maximum % Holdings	Maximum % per Issuer	Ratings S&P, Moody's, or Equivalent NRSRO	Maximum Maturity
US Treasury Obligations	100%	None	N/A	5.25 years
US Agency Obligations	100%	35%	N/A	5.25 years
Municipal Bonds (OR, CA, ID, WA)	25%	5%	AA- / Aa3 Short Term*	5.25 years
Corporate Bonds	35%**	5%***	AA- / Aa3	5.25 years
Commercial Paper			A1 / P1	270 days
Bank Time Deposits/Savings Accounts	20%	20%	Oregon Public Depository	N/A
Certificates of Deposit	10%	5%	Oregon Public Depository	5.25 years
Banker's Acceptance	10%	5%	A1 / P1	180 days
Oregon Short Term Fund	Maximum allowed per ORS 294.810	None	N/A	N/A

*Short Term Ratings: Moody's - P1/MIG1/VMIG1, S&P - A-1/P-1, Fitch - F-1

**35% maximum combined corporate and commercial paper per ORS.

***Issuer constraints apply to the combined issues in corporate and commercial paper holdings.

B. Determining a Security's Rating

A single rating will be determined for each investment by utilizing the highest security level rating available for the security from Standard and Poor's, Moody's Investor Services and Fitch Ratings respectively.

C. Investment Maturity

- i. Where feasible and prudent, investment maturities should be matched with expected cash outflows to mitigate risk.
- ii. The County will not directly invest in securities maturing more than 5.25 years* from the date of purchase.
- iii. The maximum weighted maturity of the total portfolio shall not exceed 2.50 years. This maximum is established to limit the portfolio to excessive price change exposure.
- iv. Liquidity funds will be held in the State Pool or in money market instruments maturing one year and shorter.

- v. Core funds will be defined as the funds in excess of liquidity requirements. The investments in this portion of the portfolio will have maturities between one day and 5.25 years and will be only invested in higher quality and liquid securities.

Total Portfolio Maturity Constraints:

Maturity Constraints	Minimum % of Total Portfolio
Under 30 days	10%
Under 1 year	25%
Under 5.25 years	100%
Maturity Constraints	Maximum of Total Portfolio in Years
Weighted Average Maturity	2.5
Security Structure Constraint	Maximum % of Total Portfolio
Callable Securities	25%

*Exception to 5.25-year maturity maximum: Reserve or Capital Improvement Project monies may be invested in securities exceeding 5.25 years if the maturities of such investments are made to coincide as nearly as practicable with the expected use of the funds.

10. Authority to Invest for Other Entities

Crook County shall not serve as the custodian for the investment of funds on behalf of any other jurisdiction, agency, district or entity, except where required by statute. In such cases, the governing body of said other jurisdiction, agency, district or other entity shall annually furnish to Crook County, a written order authorizing Crook County to invest the funds pursuant to Oregon Revised Statutes and in conformance with the Investment Policy and further indemnifying and holding Crook County harmless from and against any and all claims, liabilities, demands, actions or damages incurred in connection with, or in any way relating to, such investment. Such order shall be spread upon the minutes or journal of the governing body. The governing body of said other jurisdiction, agency, district or entity shall furnish a copy of the minutes upon which the order has been spread along with the signed, written order authorizing investing.

11. Investment of Proceeds from Debt Issuance

Investments of bond proceeds are restricted under bond covenants that may be more restrictive than the investment parameters included in this policy. The investments will be made in a manner to match cash flow expectations based on managed disbursement schedules.

Liquidity for bond proceeds will be managed through the OSTF Pool or Bank deposit balances.

Funds from bond proceeds and amounts held in a bond payment reserve or proceeds fund may be invested pursuant to ORS 294.052. Investments of bond proceeds are typically not invested for resale and maturity matched with expected outflows.

Information will be maintained for arbitrage rebate calculations.

12. Investment of Reserve or Capital Improvements

Pursuant to ORS 294.135(1)(b), reserve or capital Improvement project monies may be invested in securities with a maturity of 5.25 years at the maximum when the funds in question are being accumulated for an anticipated use that will occur more than 18 months after the funds are invested, then, upon the approval of the governing body of the county, municipality, school district or other political subdivision, the maturity of the investment or investments made with the funds may occur when the funds are expected to be used. Reserve or Capital Improvement Project monies may be invested in securities exceeding 5.25 years if the maturities of such investments are made to coincide as nearly as practicable with the expected use of the funds.

13. Guideline Measurement and Adherence

A. Guideline Measurement

Guideline measurements will use market value of investments.

B. Guideline Compliance

- i. If the portfolio falls outside of compliance with adopted investment policy guidelines or is being managed inconsistently with this policy, the Investment Officer shall bring the portfolio back into compliance in a prudent manner and as soon as prudently feasible.
- ii. Violations of portfolio guidelines as a result of transactions; actions to bring the portfolio back into compliance and; reasoning for actions taken to bring the portfolio back into compliance shall be documented and reported to the County Court.
- iii. Due to fluctuations in the aggregate surplus funds balance, maximum percentages for a particular issuer or investment type may be exceeded at a point in time. Securities need not be liquidated to realign the portfolio; however, consideration should be given to this matter when future purchases are made to ensure that appropriate diversification is maintained.

14. Reporting and Disclosure

A. Compliance

The Investment Officer shall prepare a report at least quarterly that allows the County Court to ascertain whether investment activities during the reporting period have conformed to the investment policy. The report should be provided to the investment oversight body. The report will include, at a minimum, the following:

- i. A listing of all investments held during the reporting period showing: par/face value; accounting book value; market value; type of investment; issuer; credit ratings; and yield to maturity (yield to worst if callable).
- ii. Average maturity of the portfolio at period-end
- iii. Maturity distribution of the portfolio at period-end

- iv. Average portfolio credit quality of the portfolio at period-end
- v. Average weighted yield to maturity (yield to worst if callable investments are allowed) of the portfolio
- vi. Distribution by type of investment
- vii. Transactions since last report
- viii. Violations of portfolio guidelines or non-compliance issues that occurred during the prior period or that are outstanding. This report should also note actions (taken or planned) to bring the portfolio back into compliance.

B. Performance Standards/Evaluation

- i. The County yields will be compared to the OST Pool rates.
- ii. The portfolio will be invested into a predetermined structure that will be measured against a selected benchmark portfolio. The structure will be based upon a chosen minimum and maximum effective duration and will have the objective to achieve market rates of returns over long investment horizons. The purpose of the benchmark is to appropriately manage the risk in the portfolio given interest rate cycles. The core portfolio is expected to provide similar returns to the benchmark over interest rate cycles but may underperform or outperform in certain periods. The portfolio will be positioned to first protect principal and then achieve market rates of return. The benchmark used will be a 0-3 year or 0-5 year standard market index and comparisons will be calculated monthly and reported quarterly.
- iii. When comparing the performance of The County's portfolio, all fees and expenses involved with managing the portfolio shall be included in the computation of the portfolio's rate of return.
- iv. The mark to market pricing will be calculated monthly and be provided in a monthly report.

C. Audits

Management shall establish an annual process of independent review by the external auditor to assure compliance with internal controls. Such audit will include tests deemed appropriate by the auditor.

D. Reporting Requirements

The Investment Officer will retain and provide quarterly investment reports to the County Court in a similar manner as outlined in ORS 208.090. The reports also will be available upon request. Securities holdings and cash balances held in the investment portfolio will be provided on the reports.

The minimum quarterly reporting requirements for total portfolio are as follows:

- Earnings Yield
- Holdings Report (including mark to market)
- Transactions Report
- Weighted Average Maturity or Duration

- Compliance Report

15. Policy Maintenance and Considerations

A. Review

The investment policy shall be reviewed at least annually to ensure its consistency with the overall objectives of preservation of principal, liquidity and return, and its relevance to current law and financial and economic trends.

The annual report should also serve as a venue to suggest policies and improvements to the investment program, and shall include an investment plan for the coming year.

B. Exemptions

Any investment held prior to the adoption of this policy shall be exempted from the requirements of this policy. At maturity or liquidation, such monies shall be reinvested as provided by this policy.

C. Policy Adoption and Amendments

This Investment Policy and any modifications to this policy must be formally approved in writing by the Crook County Court. Regardless of whether this policy is submitted to the OSTF Board for comment, this policy shall be re-submitted not less than annually to the County Court for approval.

Glossary of Terms

Accrued Interest: The interest accumulated on a security since the issue date or since the last coupon payment. The buyer of the security pays the market price plus accrued interest.

Agency Securities: See “Federal Agency Securities.”

Bankers’ Acceptance (BA’s): A draft or bill of exchange drawn upon and accepted by a bank. Frequently used to finance shipping of international goods. Used as a short-term credit instrument, bankers’ acceptances are traded at a discount from face value as a month market instrument in the secondary market on the basis of the credit quality of the guaranteeing bank.

Basis Point: A basis point is a unit of measure used in finance to describe the percentage change in the value or rate of a financial instrument. One basis point is equivalent to 0.01% (1/100th of a percent) or 0.0001 in decimal form. In most cases, it refers to changes in interest rates and bond yields.

Benchmark: A market index used as a comparative basis for measuring the performance of an investment portfolio. A performance benchmark should represent a close correlation to investment guidelines, risk tolerance and duration of the actual portfolio’s investments.

Bond: An interest-bearing security issued by a corporation, government, governmental agency, or other body. It is a form of debt with an interest rate, maturity, and face value, and it is usually secured by specific assets. Most bonds have a maturity of greater than one year and in general, pay interest semiannually.

Broker/Dealer: A person or firm transacting securities business with customers. A “broker” acts as an agent between buyers and sellers, and receives a commission for these services. A “dealer” buys and sells financial assets from its own portfolio. A dealer takes risk by owning an inventory of securities, whereas a broker merely matches up buyers and sellers.

Call: An option to buy a specific asset at a certain price within a certain period of time.

Callable: A bond or preferred stock that may be redeemed by the issuer before maturity for a call price specified at the time of issuance.

Call Date: The date before maturity on which a bond may be redeemed at the option of the issuer.

Certificate of Deposit (CD): Bank obligation issued by a financial institution generally offering a fixed rate of return (coupon) for a specified period of time (maturity).

Collateral: Securities or other property that a borrower pledges as security for the repayment of a loan. Also refers to securities pledged by a bank to secure deposits of public monies.

Commercial Paper: Short-term, unsecured, negotiable promissory notes issued by a company or financial institution. Issued at a discount and matures at par or face value. Usually a maximum maturity of 270 days, and given a short-term debt rating by one or more NRSROs.

Core Fund: Core funds are defined as operating fund balance which exceeds THE COUNTY’S daily liquidity needs. Core funds are invested out the yield curve to diversify maturity structure in

the overall portfolio. Having longer term investments in a portfolio will stabilize the overall portfolio interest earnings over interest rate cycles.

Corporate Note: A debt instrument issued by a corporation with a maturity of greater than one year and less than ten years.

Coupon Rate: The annual rate of interest that the issuer of a bond promises to pay to the holder of the bond.

Current Maturity: The amount of time left until an obligation matures. For example, a one-year bill issued nine months ago has a current maturity of three months.

Current Yield: The coupon payments on a security as a percentage of the security's market price. In many instances the price should be gross of accrued interest, particularly on instruments where no coupon is left to be paid until maturity.

CUSIP: A CUSIP number identifies securities. CUSIP stands for Committee on Uniform Security Identification Procedures, which was established under the auspices of the American Bankers Association to develop a uniform method of identifying municipal, U.S. government, and corporate securities.

Delivery Versus Payment (DVP): Settlement procedure in which securities are delivered versus payment of cash, but only after cash has been received. Most security transactions, including those through the Fed Securities Wire system and DTC, are done DVP as a protection for both the buyer and seller of securities.

Depository Trust Company (DTC): A firm through which members can use a computer to arrange for securities to be delivered to other members without physical delivery of certificates. A member of the Federal Reserve System and owned mostly by the New York Stock Exchange, the Depository Trust Company uses computerized debit and credit entries. Most corporate securities, commercial paper, CDs and BAs clear through DTC.

Discount Notes: Short term debt obligations issued by Federal Agencies at a discount. Discount notes mature at par and can range in maturity from overnight to one year. Discount Notes typically have very large primary (new issue) and secondary markets.

Federal Agency Security: A debt instrument issued by one of the federal agencies. Federal agencies are considered second in credit quality and liquidity only to U.S. Treasuries.

Federal Agency: Government sponsored/owned entity created by the U.S. Congress, generally for the purpose of acting as a financial intermediary by borrowing in the marketplace and directing proceeds to specific areas of the economy considered to otherwise have restricted access to credit markets.

Federal Farm Credit Bank (FFCB): A Government Sponsored Enterprise (GSE) system that is a network of cooperatively owned lending institutions that provide credit services to farmers, agricultural cooperatives and rural utilities. The FFCBs act as financial intermediaries that borrow money in the capital markets and use the proceeds to make loans and provide other assistance to farmers and farm-affiliated businesses. FFCB debt is not an obligation of, nor is it guaranteed by the U.S. government, although it is considered to have minimal credit risk due to its importance

to the U.S. Financial system and agricultural industry. Also issues notes under its “designated note” program.

Federal Home Loan Bank System (FHLB): A Government Sponsored Enterprise (GSE) system, consisting of wholesale banks (currently twelve district banks) owned by their member banks, which provides correspondent banking services and credit to various financial institutions, financed by the issuance of securities. The principal purpose of the FHLB is to add liquidity to the mortgage markets. Although FHLB does not directly fund mortgages, it provides a stable supply of credit to thrift institutions that make new mortgage loans. FHLB debt is not an obligation of, nor is it guaranteed by the U.S. government, although it is considered to have minimal credit risk due to its importance to the U.S. financial system and housing market. Frequent issuer of discount notes, agency notes and callable agency securities. Also issues notes under its “global note” and “TAP” programs.

Federal Home Loan Mortgage Corporation (FHLMC or "Freddie Mac"): One of the large Federal Agencies. A government sponsored public corporation (GSE) that provides stability and assistance to the secondary market for home mortgages by purchasing first mortgages and participation interests financed by the sale of debt and guaranteed mortgage backed securities. FHLMC debt is not an obligation of, nor is it guaranteed by the U.S. government, although it is considered to have minimal credit risk due to its importance to the U.S. financial system and housing market. Frequent issuer of discount notes, agency notes, callable agency securities and MBS. Also issues notes under its “reference note” program.

Federal National Mortgage Association (FNMA or "Fannie Mae"): One of the large Federal Agencies. A government sponsored public corporation (GSE) that provides liquidity to the residential mortgage market by purchasing mortgage loans from lenders, financed by the issuance of debt securities and MBS (pools of mortgages packaged together as a security). FNMA debt is not an obligation of, nor is it guaranteed by the U.S. government, although it is considered to have minimal credit risk due to its importance to the U.S. financial system and housing market. Frequent issuer of discount notes, agency notes, callable agency securities and MBS. Also issues notes under its “benchmark note” program.

Federal Reserve Bank: One of the 12 distinct banks of the Federal Reserve System.

Federal Reserve System (the Fed): The independent central bank system of the United States that establishes and conducts the nation's monetary policy. This is accomplished in three major ways: (1) raising or lowering bank reserve requirements, (2) raising or lowering the target Fed Funds Rate and Discount Rate, and (3) in open market operations by buying and selling government securities. The Federal Reserve System is made up of twelve Federal Reserve District Banks, their branches, and many national and state banks throughout the nation. It is headed by the seven member Board of Governors known as the “Federal Reserve Board” and headed by its Chairman.

General Obligation Bonds (GOs): Bonds secured by the pledge of the municipal issuer's full faith and credit, which usually includes unlimited taxing power.

Government Bonds: Securities issued by the federal government; they are obligations of the U.S. Treasury. Also known as “government securities.”

Government Sponsored Enterprise (GSE): Privately owned entity subject to federal regulation and supervision, created by the U.S. Congress to reduce the cost of capital for certain borrowing

sectors of the economy such as students, farmers, and homeowners. GSEs carry the implicit backing of the U.S. Government, but they are not direct obligations of the U.S. Government. For this reason, these securities will offer a yield premium over Treasuries. Some consider GSEs to be stealth recipients of corporate welfare. Examples of GSEs include: FHLB, FHLMC, FNMA and FFCB.

Interest: Compensation paid or to be paid for the use of money. The rate of interest is generally expressed as an annual percentage.

Interest Rate: The interest payable each year on borrowed funds, expressed as a percentage of the principal.

Investment Advisor: A company that provides professional advice managing portfolios, investment recommendations and/or research in exchange for a management fee.

Investment Portfolio: A collection of securities held by a bank, individual, institution, or government agency for investment purposes.

Investment Securities: Securities purchased for an investment portfolio, as opposed to those purchased for resale to customers.

Liquidity: The ease at which a security can be bought or sold (converted to cash) in the market. A large number of buyers and sellers and a high volume of trading activity are important components of liquidity.

Liquidity Component: A percentage of the total portfolio that is dedicated to providing liquidity needs for the County.

Mark to Market: Adjustment of an account or portfolio to reflect actual market price rather than book price, purchase price or some other valuation.

Municipals: Securities, usually bonds, issued by a state or its agencies. The interest on “munis” is usually exempt from federal income taxes and state and local income taxes in the state of issuance. Municipal securities may or may not be backed by the issuing agency’s taxation powers.

NRSRO: A “Nationally Recognized Statistical Rating Organization.” A designated rating organization that the SEC has deemed a strong national presence in the U.S. NRSROs provide credit ratings on corporate and bank debt issues. Only ratings of a NRSRO may be used for the regulatory purposes of rating such as Moody’s, S&P, Fitch and Duff & Phelps.

Par Value: The value of a security expressed as a specific dollar amount marked on the face of the security, or the amount of money due at maturity. Par value should not be confused with market value.

Prudent Person Standard: Standard that requires that when investing, reinvesting, purchasing, acquiring, exchanging, selling, or managing public funds, a trustee will act with care, skill, prudence, and diligence under the circumstances the prevailing, including, but not limited to, the general economic conditions and the anticipated needs of the agency, that a prudent person acting in a like capacity and familiarity with those matters would use in the conduct of funds of a like character and with like aims, to safeguard the principal and maintain the liquidity needs of the entity.

Rate of Return: Amount of income received from an investment, expressed as a percentage of the amount invested.

State of Oregon Local Government Investment Pool (OSTF – Oregon Short Term Fund): The OSTF is organized pursuant to ORS 294.805 through 294.895. Participation in the Pool will not exceed the maximum limit annually set by ORS 294.810.

Total Return: Investment performance measured over a period of time that includes coupon interest, interest on interest, and both realized and unrealized gains or losses. Total return includes, therefore, any market value appreciation/depreciation on investments held at period end.

Treasury Bill (T-Bill): An obligation of the U.S. government with a maturity of one year or less. T-bills bear no interest but are sold at a discount.

Treasury Bonds and Notes: Obligations of the U.S. government that bear interest. Notes have maturities of one to ten years; bonds have longer maturities.

Yield: The annual rate of return on an investment, expressed as a percentage of the investment. Income yield is obtained by dividing the current dollar income by the current market price for the security. Net yield, or yield to maturity, is the current income yield minus any premium above par or plus any discount from par in the purchase price, with the adjustment spread over the period from the date of purchase to the date of maturity of the bond.

Yield to Maturity: The average annual yield on a security, assuming it is held to maturity; equals to the rate at which all principal and interest payments would be discounted to produce a present value equal to the purchase price of the bond.

Ratings Table – Long-Term

Three Highest Rating Categories	S&P	Moody's	Fitch	Definition
	AAA	Aaa	AAA	Highest credit quality
	AA+, AA, AA-	Aa1, Aa2, Aa3	AA+, AA, AA-	Very high credit quality
	A+, A, A-	A1, A2, A3	A+, A, A-	High credit quality
	BBB+, BBB, BBB-	Baa1, Baa2, Baa3	BBB+, BBB, BBB-	Good credit quality
	BB+, BB, BB-	Ba1, Ba2, Ba3	BB+, BB, BB-	Non-investment grade

Ratings Table – Short-Term

Highest Rating Category	S&P	Moody's	Fitch	Definition
	A1+, A1	P1+, P1	F1+, F1	Highest credit quality
	Municipal Commercial Paper			
	A-1, A-1+, SP-1+, SP-1	P1, MIG1, VMIG1	F1+, F1	Highest credit quality

AGENDA ITEM REQUEST



Date:

January 30, 2024

Meeting date desired:

February 7, 2024

Subject:

Review community mental health program funding agreement no. 026007.

Background and policy implications:

Please review the attached memo for an explanation of this document.

Budget/fiscal impacts:

The agreement makes available over \$2.2 million for services to treat behavioral health, addictions, and problem gambling.

Requested by:

*Eric Blaine; County Counsel
Eric.Blaine@CrookCountyOR.gov
541-416-3919*

Presenters:

Eric Blaine, County Counsel

Legal review (only if requested):

Legal has reviewed.

Elected official sponsor (if applicable):

N/A

Crook County Counsel's Office

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MEMO

TO: County Court

FROM: Eric Blaine, County Counsel

DATE: January 30, 2024

RE: Community Mental Health Program Funding Agreement, 2024-2025
Our File: Mental Health # 40(B)

This is the latest iteration of a funding agreement between the State of Oregon and the County for the operation of the Community Mental Health Program (CMHP). With some notable exceptions, the 214-page document is substantially similar to agreements the County has previously approved.

The duration of this agreement is January 1, 2024 through June 30, 2025. Unfortunately, the prior agreement (no. 173132) expired on December 31, 2023, and the successor document was not distributed until this month.

The document has two components. The first component is what might be considered generalized contract terms, such as what the County might see in other agreements with the State of Oregon. These terms include things like requirements for insurance coverages, provisions regarding legal notice to different parties, the duration and termination provisions, and the amount of funding that is available.

The second component includes the “service elements,” which describe what must be done to render specific types of services to patients. Not every CMHP will necessarily provide the same list of service elements, meaning that Crook County’s agreement, for instance, may have different service elements than Baker, Linn, or Josephine counties. However, if any two counties’ have the same service element, the idea is that both counties will operate under identical obligations for that service element. The list of service elements contained in this iteration of the agreement can be found on pages 7 and 8.

One important change relates to Service Element MHS 04, “Aid and Assist,” and Exhibit E, Section 11. The former can be found on pages 45 to 51, and the latter can be found on pages 159 to 162.

“Aid and Assist” is the name given to efforts to assist people who are facing criminal prosecution but, by reason of mental illness, are incapacitated. Such incapacitated individuals are deemed unable to aid and assist in their own defense. MHS 04 is meant to help these individual gain or regain their capacity, but, as required by OHA, “in the most integrated, least restrictive setting possible *in the community*” (emphasis added.) This Page 253

emphasis on community treatment is directly and substantially related to travails that have afflicted the Oregon State Hospital.

It is no secret that the Oregon State Hospital faces a number of critical challenges and shortcomings. In August 2023, an “extremely dangerous” inmate escaped by stealing an OSH vehicle, an event that led to the Federal Government considering whether to de-certify the Hospital.

But the most severe issue is the ongoing litigation involving long delays in admitting people due to lack of available space, and the long stays of interred patients while at the OSH. The nature of that problem are multifaceted and interrelated, and include a severe shortage of qualified staff willing to work at the OSH; an inability to swiftly treat OSH patients (not surprising, given the severe mental illnesses that population faces, and the physical dangers they may pose); the lack of available alternative treatment facilities in local communities; a lack of funding to provide treatment to the most need-intensive patient population; the long-term placement of violent patients in local hospitals’ acute treatment clinics, which are not equipped or designed for such long-term stays; and the insistence that the Aid and Assist population facing criminal charges have their day in court on a timely basis.

Federal Judge Michael Mosman sought to resolve these problems by, among other things, requiring that those currently admitted to the Oregon State Hospital for Aid and Assist purposes be discharged on specified timeframes. Originally, the timeframe for discharge was to be 90 days for those charged with misdemeanors, and 6 months for those charged with felonies. These timeframes were to apply regardless of whether the inmate had capacity restored.

OHA interpreted this to mean that such individuals were to be discharged back to their home communities, for “community restoration” services. The counties and mental health providers objected to OHA’s plans, on many grounds including that there simply was no ability to provide the hospital-level of treatment for patients, including violent patients, on anything close to the level that was being demanded. One big reason why was that the funds allocated for such services were simply inadequate, though that was not the only concern. Another concern was that even if money was not an obstacle, there was simply too few people in Oregon willing and qualified to work with this population.

A county-level work group undertook to negotiate with OHA over the impact of OHA’s goal of requiring discharged OSH patients to be treated by community restoration for Aid and Assist purposes. The result is the process described in Exhibit E, Section 11. In brief, this states that if the County determines that it cannot reasonably provide the services for MHS 4, 24 (civil commitment services), and 28 (inpatient and residential treatment services), that it must inform OHA and provide a Plan of Resolution to identify barriers to completion, describe what is being done to resolve those barriers, and “identify how OHA can assist the County in resolving those barriers.” OHA can then accept the plan, or reject it.

If it rejects the plan, the County can try again, which OHA can accept or reject. If the revised plan is rejected, then the County “shall elevate the issue to senior management or

appropriate designee.” This is to hopefully result in a negotiated resolution, though this process does not guarantee any particular result.

I have asked Rick Treleven of BestCare Treatment Services, the County’s CMHP subcontractor, for any insights on this updated agreement. He states that it reflects the efforts of AOC/AOCMHP to improve the statewide funding agreement system, and that “I think this is the best we can do.”

Please place this memo and the attached document(s) on the Wednesday, February 7, 2024 County Court Agenda as a DISCUSSION ITEM, for approval and signatures.

In compliance with the Americans with Disabilities Act, this document is available in alternate formats such as Braille, large print, audio recordings, Web-based communications, and other electronic formats. To request an alternate format, please send an e-mail to dhs-oha.publicationrequest@odhsoha.oregon.gov or call 503-378-3486 (voice) or 503-378-3523 (TTY) to arrange for the alternative format.

AGREEMENT # PO-44300-00026007

**2024-2025 INTERGOVERNMENTAL AGREEMENT
FOR THE FINANCING OF COMMUNITY MENTAL HEALTH, ADDICTION TREATMENT,
RECOVERY, & PREVENTION, AND PROBLEM GAMBLING SERVICES**

This 2024-2025 Intergovernmental Agreement for the Financing of Community Mental Health, Addiction Treatment, Recovery, & Prevention, and Problem Gambling Services (the “Agreement”) is between the State of Oregon acting by and through its Oregon Health Authority (“OHA”) and **Crook County**, a political subdivision of the State of Oregon (“County”).

RECITALS

WHEREAS, **ORS 430.610(4) and 430.640(1)** authorize OHA to assist Oregon counties and groups of Oregon counties in the establishment and financing of Community Mental Health, Addiction Treatment, Recovery, & Prevention Services, and Problem Gambling programs operated or contracted for by one or more counties;

WHEREAS, County has established and proposes, during the term of this Agreement, to operate or contract for the operation of Community Mental Health, Addiction Treatment, Recovery, & Prevention Services, and Problem Gambling programs in accordance with the policies, procedures, and administrative rules of OHA;

WHEREAS, County has requested financial assistance from OHA to operate or contract for the operation of its Community Mental Health, Addiction Treatment, Recovery, & Prevention Services, and Problem Gambling programs;

WHEREAS, in connection with County's request for financial assistance and in connection with similar requests from other counties, OHA and representatives of various counties requesting financial assistance, including the Association of Oregon Counties, have attempted to conduct agreement negotiations in accordance with the Principles and Assumptions set forth in a Memorandum of Understanding that was signed by both parties;

WHEREAS, OHA is willing, upon the terms and conditions of this Agreement, to provide financial assistance to County to operate or contract for the operation of its Community Mental Health, Addiction Treatment, Recovery, & Prevention Services, and Problem Gambling programs;

WHEREAS, various statutes authorize OHA and County to collaborate and cooperate in providing for basic Community Mental Health, Addiction Treatment, Recovery, & Prevention Services, and Problem Gambling programs and incentives for community-based care in a manner that ensures appropriate and adequate statewide service delivery capacity, subject to availability of funds; and

WHEREAS, within existing resources awarded under this Agreement and pursuant to ORS 430.630(9)(b) through 430.630(9)(h), each Local Mental Health Authority that provides Community Mental Health, Addiction Treatment, Recovery, & Prevention, or Problem Gambling Services, or any combination thereof, shall determine the need for local Community Mental Health, Addiction Treatment, Page 256

Recovery, & Prevention Services, or Problem Gambling Services, or any combination thereof, and adopt a comprehensive Local Plan for the delivery of Community Mental Health, Addiction Treatment, Recovery, & Prevention Services, or Problem Gambling Services, or any combination thereof, for children, families, adults and older adults that describes the methods by which the Local Mental Health Authority shall provide those services. The Plan shall be consistent with content and format to that of OHA's Local Plan guidelines located at <https://www.oregon.gov/oha/hsd/amh/Pages/index.aspx>. County shall provide services per the most recently submitted and approved Local Plan as agreed upon between OHA and County.

NOW, THEREFORE, in consideration of the foregoing premises and other good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged, the parties hereto agree as follows:

AGREEMENT

1. **Effective Date and Duration.** This Agreement shall become effective on January 1, 2024. Unless terminated earlier in accordance with its terms, this Agreement shall expire on June 30, 2025.
2. **Agreement Documents, Order of Precedence.** This Agreement consists of the following documents:

This Agreement without Exhibits

Exhibit A	Definitions
Exhibit B-1	Service Descriptions
Exhibit B-2	Specialized Service Requirements
Exhibit C	Financial Assistance Award
Exhibit D	Payment, Settlement, and Confirmation Requirements
Exhibit E	Special Terms and Conditions
Exhibit F	General Terms and Conditions
Exhibit G	Standard Terms and Conditions
Exhibit H	Required Federal Terms and Conditions
Exhibit I	Required Provider Contract Provisions
Exhibit J	Provider Insurance Requirements
Exhibit K	Startup Procedures
Exhibit L	Catalog of Federal Domestic Assistance (CFDA) Number Listing

In the event of a conflict between two or more of the documents comprising this Agreement, the language in the document with the highest precedence shall control. The precedence of each of the documents comprising this Agreement is as follows, listed from highest precedence to lowest precedence: (a) this Agreement without Exhibits, (b) Exhibit H, (c) Exhibit A, (d) Exhibit C, (e) Exhibit D, (f) Exhibit E, (g) Exhibit B-1, (h) Exhibit B-2, (i) Exhibit G, (j) Exhibit F (k) Exhibit I, (l) Exhibit J, (m) Exhibit K, (n) Exhibit L.

EACH PARTY, BY EXECUTION OF THIS AGREEMENT, HEREBY ACKNOWLEDGES THAT IT HAS READ THIS AGREEMENT, UNDERSTANDS IT, AND AGREES TO BE BOUND BY ITS TERMS AND CONDITIONS.

3. Signatures.

Crook County

By:

_____	_____	_____	_____
Authorized Signature	Printed Name	Title	Date

State of Oregon, acting by and through its Oregon Health Authority

By:

_____	_____	_____	_____
Authorized Signature	Printed Name	Title	Date

Approved by: Director, OHA Health Systems Division

By:

_____	_____	_____	_____
Authorized Signature	Printed Name	Title	Date

Approved for Legal Sufficiency:

Approved by Joseph M. Callahan, Assistant Attorney General on December 21, 2023; email in Agreement file.

**2024-2025 INTERGOVERNMENTAL AGREEMENT
FOR THE FINANCING OF COMMUNITY MENTAL HEALTH, ADDICTION TREATMENT,
RECOVERY, & PREVENTION, AND PROBLEM GAMBLING SERVICES**

**EXHIBIT A
DEFINITIONS**

As used in this Agreement, the following words and phrases shall have the indicated meanings. Certain additional words and phrases are defined in the Service Descriptions, Specialized Service Requirements and Special Conditions in the Financial Assistance Award. When a word or phrase is defined in a particular Service Description, Specialized Service Requirement, or Special Condition in the Financial Assistance Award, the word or phrase shall not have the ascribed meaning in any part of the Agreement other than the particular Service Description, Specialized Service Requirement, or Special Condition in which it is defined.

1. **“Addiction Treatment, Recovery, & Prevention Services”** means treatment Services for Individuals diagnosed with disorders related to the taking of a drug of abuse including alcohol, to the side effects of a medication, and to a toxin exposure. The disorders include substance use disorders such as substance dependence and substance abuse, and substance-induced disorders, including substance intoxication, withdrawal, delirium, and dementia, as well as substance induced psychotic disorder, mood disorder, etc., as defined in DSM criteria.
2. **“Aging and People with Disabilities” or “APD”** means a division within the Department of Human Services that is responsible for management, financing, and regulation services for aging adults and people with disabilities.
3. **“Agreement Settlement”** means OHA’s reconciliation, after termination or expiration of this Agreement, of amounts OHA actually disbursed to County with amounts that OHA is obligated to pay to County under this Agreement from the Financial Assistance Award, as determined in accordance with the financial assistance calculation methodologies set forth in the Service Descriptions. OHA reconciles disbursements and payments on an individual Service basis as set forth in the Service Descriptions and in accordance with Exhibit F, Section 1., “Disbursement and Recovery of Financial Assistance.”
4. **“Allowable Costs”** means the costs described in 2 CFR Part 200 or 45 CFR Part 75, as applicable, except to the extent such costs are limited or excluded by other provisions of this Agreement, whether in the applicable Service Descriptions, Specialized Service Requirements, Special Conditions identified in the Financial Assistance Award, or otherwise.
5. **“Behavioral Health”** refers to mental/emotional wellbeing and/or actions that affect wellness. Behavioral health problems include substance abuse and misuse, Problem Gambling, and Mental Health disorders as well as serious psychological distress and suicide.
6. **“Community Mental Health Program” or “CMHP”** means an entity that is responsible for planning and delivery of Services for Individuals with mental or emotional disturbances, drug abuse, alcohol abuse, or gambling addiction problems in a specific geographic area of the state under an agreement with OHA or a Local Mental Health Authority.
7. **“Community Mental Health”** means programs and Services, delivered in the community, for Individuals diagnosed with Serious and Persistent Mental Illness (SPMI) or other mental or emotional disturbances.

8. **“Coordinated Care Organizations” or “CCO”** means a corporation, governmental agency, public corporation, or other legal entity that is certified as meeting the criteria adopted by the Oregon Health Authority under ORS 414.572 to be accountable for care management and to provide integrated and coordinated health care for each of the organization’s members.
9. **“County Financial Assistance Administrator”** means a County appointed officer to administer this Agreement and amend the Financial Assistance Award on behalf of County, by execution and delivery of amendments to this Agreement in the name of County, in hard copy or electronically.
10. **“DHS”** means the Department of Human Services of the State of Oregon.
11. **“Federal Funds”** means all funds paid to County under this Agreement that OHA receives from an agency, instrumentality, or program of the federal government of the United States.
12. **“Financial Assistance Award” or “FAA”** means the description of financial assistance set forth in Exhibit C, “Financial Assistance Award,” attached hereto and incorporated herein by this reference; as such Financial Assistance Award may be amended from time to time. Disbursement of funds identified in the FAA is made by OHA using procedures described in Exhibit B-1, “Service Descriptions,” and Exhibit B-2, “Specialized Service Requirements,” for each respective Service.
13. **“Gambling Disorder”** means persistent and recurrent problematic gambling behavior leading to clinically significant impairment or distress.
14. **“Health Systems Division” or “HSD”** means for the purpose of this Agreement, the division of OHA that is responsible for the functions described in ORS 430.021(2), including but not limited to coordinating, assisting, and directing a community mental health program in cooperation with local government units and integrate such a program with the state Community Mental Health Program, and direct and coordinate Addiction Treatment, Recovery, & Prevention Services and Problem Gambling Services.
15. **“Individual” or “Client”** means, with respect to a particular Service, any person who is receiving that Service, in whole or in part, with funds provided under this Agreement. For purposes of this Agreement and all attachments hereto, the terms “Client” and “Individual” shall have the same meaning and shall be interchangeable.
16. **“Interim Services”** as described in 45 CFR §96.121, means:
 - a. Services provided, until an Individual is admitted to substance abuse treatment program, for reducing the adverse health effects of such abuse, promoting the health of the Individual, and reducing the risk of transmission of disease. At a minimum Services include counseling and education about HIV and tuberculosis, the risks of needle sharing, the risks of transmission of disease to sexual partners and infants, and steps that can be taken to ensure that HIV and tuberculosis transmission does not occur;
 - b. Referral for HIV or TB treatment Services, where necessary; and
 - c. Referral for prenatal care, if appropriate, until the Individual is admitted to a Provider’s Services.
 - d. If County treats recent intravenous drug users (those who have injected drugs within the past year) in more than one-third of its capacity, County shall carry out outreach activities to encourage individual intravenous drug users in need of such treatment to undergo treatment and shall document such activities.

17. **“Local Mental Health Authority” or “LMHA”** means one of the following entities:
 - a. The board of county commissioners of one or more counties that establishes or operates a Community Mental Health Program;
 - b. The tribal council, in the case of a federally recognized tribe of Native Americans, that elects to enter into an agreement to provide mental health services; or
 - c. A regional local mental health authority comprised of two or more boards of county commissioners.
18. **“Local Plan” or “Plan”** means a comprehensive plan, adopted by the Local Mental Health Authority and approved by OHA, that describes the delivery of Services and the methods by which the Services will be provided to the community. The Local Plan must be directed by and responsive to the Behavioral Health needs of the community and consistent with the requirements identified in ORS 430.630.
19. **“Medicaid”** means federal funds received by OHA under Title XIX of the Social Security Act and Children’s Health Insurance Program (CHIP) funds administered jointly with Title XIX funds as part of state medical assistance programs by OHA.
20. **“Misexpenditure”** means funds, other than an Overexpenditure, disbursed to County by OHA under this Agreement and expended by County that are:
 - a. Identified by the federal government as expended contrary to applicable statutes, rules, OMB Circulars, or 45 CFR Part 75, as applicable, or any other authority that governs the permissible expenditure of such funds, for which the federal government has requested reimbursement by the State of Oregon, whether in the form of a federal determination of improper use of federal funds, a federal notice of disallowance, or otherwise; or
 - b. Identified by the State of Oregon or OHA as expended in a manner other than that permitted by this Agreement, including without limitation any funds expended by County contrary to applicable statutes, rules, OMB Circulars, or 45 CFR Part 75, as applicable, or any other authority that governs the permissible expenditure of such funds; or
 - c. Identified by the State of Oregon or OHA as expended on the delivery of a Service that did not meet the standards and requirements of this Agreement with respect to that Service.
21. **“Measures and Outcomes Tracking System” or “MOTS”** means the OHA data system that stores data submitted by OHA contractors and subcontractors.
22. **“Overexpenditure”** means funds disbursed to County by OHA under this Agreement and expended by County that is identified by the State of Oregon or OHA, through Agreement Settlement or any other disbursement reconciliation permitted or required under this Agreement, as in excess of the funds County is entitled to as determined in accordance with the financial assistance calculation methodologies set forth in the applicable Service Descriptions or in Exhibit E, “Special Terms and Conditions.”
23. **“Problem Gambling Services”** means prevention, treatment, maintenance, and recovery Services for Individuals diagnosed with Gambling Disorder or are at risk of developing Gambling Disorder including or inclusive of any family and or significant other impacted by the problem gambler for access to treatment.
24. **“Program Area”** means any one of the following: Community Mental Health Services, Addiction Treatment, Recovery, & Prevention Services, or Problem Gambling Services.
25. **“Provider”** has the meaning set forth in section 5 of Exhibit F, “General Terms and Conditions.” As used in a Service Description and elsewhere in this Agreement where the context requires, Page 261 Provider also includes County if County provides the Service directly.

26. **“Provider Contract”** has the meaning set forth in Exhibit F, “General Terms and Conditions,” section 5.
27. **Serious and Persistent Mental Illness (SPMI)** means the current DSM diagnostic criteria for at least one of the following conditions as a primary diagnosis for an adult age 18 or older:
- a. Schizophrenia and other psychotic disorders;
 - b. Major depressive disorder;
 - c. Bipolar disorder;
 - d. Anxiety disorders limited to Obsessive Compulsive Disorder (OCD) and Post Traumatic Stress Disorder (PTSD);
 - e. Schizotypal personality disorder; or
 - f. Borderline personality disorder.
28. **“Service(s)”** or “Service Element(s)” means any one of the following services or group of related services as described in Exhibit B-1, “Service Descriptions,” in which costs are covered in whole or in part with financial assistance pursuant to Exhibit C, “Financial Assistance Award,” of this Agreement. Only Services in which costs are covered in whole or in part with financial assistance pursuant to Exhibit C, “Financial Assistance Award,” as amended from time to time, are subject to this Agreement.

Service Name	Service Code
Start-Up (ATRP Services)	A&D 60
Adult Substance Use Disorder Residential Treatment Services	A&D 61
Supported Capacity for Dependent Children Whose Parents are in Adult Substance Use Disorder Residential Treatment	A&D 62
Peer Delivered Services	A&D 63
Housing Assistance	A&D 64
Community Behavioral and Substance Use Disorder Services	A&D 66
Substance Use Disorder Residential and Day Treatment Capacity	A&D 67
Problem Gambling Prevention Services	A&D 80
Problem Gambling Treatment Services	A&D 81
Problem Gambling Respite Treatment Services	A&D 83
Problem Gambling Client Finding/Referral Pathways Outreach Services	A&D 84

Service Name	Service Code
System Management and Coordination	MHS 01
Aid and Assist Client Services	MHS 04
Assertive Community Treatment Services	MHS 05
Jail Diversion Services	MHS 09
Mental Health Promotion and Prevention Services	MHS 10
Rental Assistance Program Services	MHS 12
School-Based Mental Health Services	MHS 13
Young Adult Hub Programs (YAHP)	MHS 15
Peer Delivered Services	MHS 16
Non-OHP Community and Residential Assistance	MHS 17
Non-Residential Community Mental Health Services For Child, Youth, and Adults	MHS 20
Civil Commitment Services	MHS 24
Mobile Crisis Intervention Services	MHS 25
Non-Residential Community Mental Health Services For Youth and Young Adults In Transition	MHS 26
Residential Community Mental Health Treatment Services for Youth and Young Adults In Transition	MHS 27
Inpatient or Residential Treatment Services	MHS 28
Monitoring, Security, and Supervision Services for Individuals Under the Jurisdiction of the Adult and Juvenile Panels of the Psychiatric Security Review Board	MHS 30
Enhanced Care And Enhanced Care Outreach Services	MHS 31
Adult Foster Care Services	MHS 34
Older or Disabled Adult Community Mental Health Services	MHS 35
Pre-Admission Screening and Resident Review Services (PASARR)	MHS 36
Start-Up – Community Mental Health Services	MHS 37
Supported Employment Services	MHS 38
Projects For Assistance In Transition From Homelessness (PATH) Services	MHS 39

29. **“Service Description”** means the description of a Service or Service Element as set forth in Exhibit B-1, “Service Descriptions.”
30. **“Specialized Service Requirement”** means any one of the following specialized service requirements as described in Exhibit B-2, “Specialized Service Requirements,” in which costs are covered in whole or in part with financial assistance pursuant to Exhibit C, “Financial Assistance Award,” of this Agreement. Only Services in which costs are covered in whole or in part with financial assistance pursuant to Exhibit C, “Financial Assistance Award,” as amended from time to time, are subject to this Agreement.

<u>Specialized Service Requirement Name</u>	<u>Specialized Service Requirement Code</u>
Veterans Peer Delivered Services	MHS 16A
Mobile Response & Stabilization Services (MRSS) for Children and their Families	MHS 25A
Early Assessment and Support Alliance (EASA)	MHS 26A
Gero-Specialist	MHS 35A

31. **“Trauma Informed Services”** means Services that are reflective of the consideration and evaluation of the role that trauma plays in the lives of people seeking Community Mental Health and Addiction Treatment, Recovery, & Prevention Services, including recognition of the traumatic effect of misdiagnosis and coercive treatment. Services are responsive to the vulnerabilities of trauma survivors and are delivered in a way that avoids inadvertent re-traumatization and facilitates individual direction of services.
32. **“Underexpenditure”** means funds disbursed by OHA under this Agreement that remain unexpended at Agreement termination or expiration, other than funds County is permitted to retain and expend in the future under Exhibit F, “General Terms and Conditions,” section 3.b.

**2024-2025 INTERGOVERNMENTAL AGREEMENT
FOR THE FINANCING OF COMMUNITY MENTAL HEALTH, ADDICTION TREATMENT,
RECOVERY, & PREVENTION, AND PROBLEM GAMBLING SERVICES**

**EXHIBIT B-1
SERVICE DESCRIPTIONS**

1. Not all Services described in this Exhibit B-1 may be covered in whole or in part with financial assistance pursuant to Exhibit C, “Financial Assistance Award,” of this Agreement. Only Services in which costs are covered in whole or in part with financial assistance pursuant to Exhibit C, “Financial Assistance Award,” as amended from time to time, are subject to this Agreement.

- a. Service Name: **START-UP**
Service ID Code: **A&D 60**

(1) **Service Description**

Funds awarded must be used for Start-Up activities as described in a special condition in Exhibit C, “Financial Assistance Award.” Description of Start-Up activities are activities necessary to begin, expand, or improve Substance Use Disorder and Problem Gambling Services. These expenses are distinct from routine operating expenses incurred in the course of providing ongoing services.

Notwithstanding the description of the Start-Up activities in a special condition, funds awarded from A&D 60 may not be used for real property improvements of \$10,000 and above. When OHA funds in the amount of \$10,000 and above are to be used for purchase or renovation of real property, County shall contact the Social Determinates of Health (SDOH) unit of OHA and follow procedures as prescribed by that unit.

A&D 60 funds are typically disbursed prior to initiation of Services and are used to cover approved allowable Start-up expenditures, as described in Exhibit K, “Start-Up Procedures,” that will be needed to provide the Services planned and to be delivered at the specified site(s).

(2) **Performance Requirements**

The funds awarded for A&D 60 may be expended only in accordance with Exhibit K, “Start-Up Procedures,” which is incorporated herein by this reference.

(3) **Reporting Requirements**

None

(4) **Special Reporting Requirements**

Using the OHA prescribed “Start-Up Request & Expenditure Form,” County shall prepare and submit electronically, to hsd.contracts@odhsoha.oregon.gov, a request for disbursement of allowable Start-Up funds as identified in a special condition in a particular line of Exhibit C, “Financial Assistance Award.” The reports must be prepared in accordance with forms prescribed by OHA and procedures described in Exhibit K, “Start-Up Procedures.” Forms are located at

<http://www.oregon.gov/OHA/HSD/AMH/Pages/Reporting-Requirements.aspx>.

(5) **Financial Assistance Calculation, Disbursement, and Agreement Settlement Procedures**

See Exhibit D, “Payment, Settlement, and Confirmation Requirements.”

Use Payment Start-Up, Section 1.e., and Settlement Start-Up language, Section 1.f.(1)(b).

b. Service Name: **ADULT SUBSTANCE USE DISORDER RESIDENTIAL TREATMENT SERVICES**

Service ID Code: **A&D 61**

(1) Service Description

Adult Substance Use Disorder Residential Treatment Services (A&D 61) are Services delivered to Individuals 18 years of age or older who are unable to live independently in the community; cannot maintain even a short period of abstinence from substance abuse; are in need of 24-hour supervision, treatment, and care; and meet the treatment placement criteria indicated in the American Society of Addiction Medicine (ASAM) Level 3.1 – 3.7.

The purpose of A&D 61 Services is to support, stabilize, and rehabilitate Individuals and to permit them to return to independent community living. A&D 61 Services provide a structured environment for an Individual on a 24-hour basis, consistent with Level 3.1 – 3.7 treatment, including entry, assessment, placement, service plan, service note, service record, transfer and continuity of care, co-occurring mental health and substance use disorders (COD), residential substance use disorders treatment and recovery services, and residential women’s substance use disorders treatment and recovery programs, as set forth in OAR 309-018-0135 through 309-018-0160 and OAR 309-018-0170 through 309-018-0180, as such rules may be revised from time to time, as appropriate to the Individual's needs and include structured counseling, educational services, recreation services, self-help group participation services, and planning for self-directed recovery management to support the gains made during treatment. A&D 61 Services address the needs of diverse population groups within the community with special emphasis on ethnic minorities.

Providers shall have written admission policies and procedures in place for Individuals who appropriately use prescribed medications to treat addiction. Written policies and procedures must include referrals to alternate treatment resources for those not admitted to the program.

A&D 61 Services provided under this Agreement must be provided only to Individuals who are not eligible for Medicaid, who demonstrate a need for financial assistance based on an income below 200% of the current federal poverty level, and obtain insufficient healthcare coverage, including but not limited to, healthcare coverage that does not cover all of the services described herein or are limited to a limited number of days.

(2) Performance Requirements

(a) Providers of A&D 61 Services funded through this Agreement must comply with OAR 309-018-0135 through 309-018-0180, as such rules may be revised from time to time. Providers of A&D 61 Services funded through this Agreement must also have a current approval or license issued by OHA in accordance with OAR 415-012-0000 through 415-012-0090.

(b) Subject to the preference for pregnant women and intravenous drug users described in Exhibit G, “Required Federal Terms and Conditions,” County and Providers of A&D 61 Services funded through this Agreement shall give priority access to such Services first to Individuals referred by the

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Department of Human Services and then to Individuals referred by Drug Treatment Courts from within the region, as such region is designated by OHA after consultation with County. For purposes of this Service Description, “Drug Treatment Court” means any court given the responsibility pursuant to ORS 3.450 to handle cases involving substance-abusing offenders through comprehensive supervision, drug testing, treatment services, and immediate sanctions and incentives. A&D 61 Services funded through this Agreement may be delivered to Individuals referred from any county within the State of Oregon and contiguous areas and no priority or preference shall be given to Individuals referred from any particular county, provider, or other entity.

- (c) Providers of A&D 61 Services funded through this Agreement shall be a culturally competent program, able to meet the cultural and linguistic needs of the Individual, and shall also be a co-occurring competent program capable of delivering adequate and appropriate Services. Delivery of such Services must include, but is not limited to the following tasks, all of which must be documented in the Individual’s clinical record:
- i. Address co-occurring disorders, including gambling, in program policies and procedures, client assessment, treatment and planning, program content, and transition or discharge planning;
 - ii. Gambling disorders will be assessed using OHA Problem Gambling Services GBIRT SUD toolkit. Program will refer Individuals with severe gambling disorder to community services during residential care, and Individuals with moderate or mild gambling disorder to community services during treatment or upon transition.
 - iii. Psychoeducational sessions to discuss gambling disorder and co-addiction shall be provided. Toolkit for presentation materials can be found at: <https://www.oregon.gov/oha/HSD/Problem-Gambling/Pages/Treatment.aspx>. For technical assistance and training contact pgs.support@odhsoha.oregon.gov.
 - iv. Address the interaction of the substance-related, gambling disorder and mental health disorders in assessing each Individual’s history of psychological trauma, readiness to change, relapse risk, and recovery environment;
 - v. Arrange for, as needed, pharmacological monitoring and psychological assessment and consultation, either on site or through coordinated consultation off site;
 - vi. The provider’s policies and procedures shall prohibit titration of any prescribed medications, including prescribed medications for the treatment of opioid dependence as a condition of receiving or continuing to receive treatment.
 - vii. In addition to all applicable statutory and constitutional rights, every individual receiving services has the right to receive medication specific to the individual’s diagnosed clinical needs, including medications used to treat opioid dependence.

- viii. Involve the family or significant others of the Individual in the treatment process;
 - ix. Obtain clinically appropriate family or significant other involvement and participation in all phases of assessment, treatment planning, and treatment;
 - x. Use treatment methods, appropriate for Individuals with significant emotional disorders, that are based on sound clinical theory and professional standards of care; and
 - xi. Plan the transition from residential to community-based Services and supports that are most likely to lead to successful clinical outcomes for each Individual. This includes scheduling a face-to-face meeting between the Individual and the community-based outpatient provider within seven (7) days of discharge from the residential program.
- (d) Quality of Services provided under this Agreement will be measured in accordance with the following criteria:
- i. **Engagement:** Engagement will be measured by reviewing the number of MOTS enrolled Individuals in treatment; and
 - ii. **Improvement in Life Circumstances:** Improvement in life circumstances will be measured by the number of Individuals participating in court programs (if applicable), enrolled in school or obtaining a GED, obtaining employment, returned to the community, and obtaining secured housing accommodations.

(3) **Reporting Requirements**

See Exhibit E, 10, "Reporting Requirements for MOTS."

(4) **Special Reporting Requirements**

None

(5) **Financial Assistance Calculation, Disbursement, and Agreement Settlement Procedures**

See Exhibit D, "Payment, Settlement, and Confirmation Requirements."

Use Payment and Confirmation language, Section 1.f.(1).

c. Service Name: **SUPPORTED CAPACITY FOR DEPENDENT CHILDREN WHOSE PARENTS ARE IN ADULT SUBSTANCE USE DISORDER RESIDENTIAL TREATMENT**

Service ID Code: **A&D 62**

(1) Service Description

Supported Capacity for Dependent Children Whose Parents are in Adult Substance Use Disorder Residential Treatment (A&D 62) is housing services (room and board) delivered to Individuals who are dependent children age 18 and younger, of parent(s) who reside in substance use disorder residential treatment facilities, so the child(ren) may reside with their parent in the same substance use disorder residential treatment facility. The parent who is participating in residential treatment may or may not be a custodial parent during part or all of the treatment episode. The Department of Human Services, Child Welfare may have legal custody of the child(ren) but grant formal permission for the child(ren) to be placed with the parent during treatment and to reside in one of the dependent room and board placements.

(2) Performance Requirements

Providers of A&D 62 Services funded through this Agreement must comply with OAR 309-018-0100 through 309-018-0180, as such rules may be revised from time to time. Providers of A&D 62 Services funded through this Agreement must also have a current license issued by OHA in accordance with OAR 415-012-0000 through 415-012-0090, as such rules may be revised from time to time, and participate in outcome studies conducted by OHA.

(3) Reporting Requirements

See Exhibit E, 10., "Reporting Requirement for MOTS."

(4) Special Reporting Requirements

(a) Reports must be prepared using forms and procedures prescribed by OHA. Forms are located at <http://www.oregon.gov/OHA/HSD/AMH/Pages/Reporting-Requirements.aspx>.

(b) County shall prepare and electronically submit to hsd.contracts@odhsoha.oregon.gov written quarterly summary reports on the delivery of A&D 62 Services, no later than the due dates listed below following the end of each subject quarter for which financial assistance is awarded through this Agreement.

Reporting period	Reporting due dates
July – September	due October 21st
October – December	due January 21st
January – March	due April 21st
April – June	due July 21st

- (c) Each report shall provide the following information:
 - i. Number of parents and children residing in the substance use disorder residential treatment facilities, including length of stay; and
 - ii. If the parent of dependent child(ren) are TANF eligible.

(5) **Financial Assistance Calculation, Disbursement and Confirmation of Performance and Reporting Requirements Procedures**

See Exhibit D, "Payment, Settlement, and Confirmation Requirements."

Use Payment and Confirmation language, Section 1.f.(2).

d. Service Name: **PEER DELIVERED SERVICES**

Service ID Code: **A&D 63**

(1) **Service Description**

For the purpose of A&D 63 Peer Delivered Services (A&D 63 Services), “Recovery Center,” “Facilitating Center,” “Peer Delivered Services,” and “Peer Support Specialist” shall have the following meanings:

- (a) **Recovery Centers** are comprised of and led by people in recovery from Substance Use Disorders (as defined in OAR 309-019-0105(153)). The Recovery Centers maintain a structured daily schedule of activities where Peer Delivered Services may be delivered. Recovery Centers serve as recovery resources for the local community.
- (b) **Facilitating Centers** provide ongoing technical assistance and training for Recovery Centers and the community. Facilitating Centers provide resources and support for developing, expanding, and sustaining Recovery Centers. People in recovery must be involved in every aspect of program design and implementation.
- (c) **Peer Delivered Services** means an array of agency or community-based services and supports provided by peers, Peer Support Specialists, and Peer Wellness Specialists to Individuals or family members with similar lived experience. These services are intended to support the needs of Individuals and families, as applicable, as they progress through various stages in their recovery from Substance Use Disorders. Peer Delivered Services include, but are not limited to, the following:
 - i. **Emotional support.** Emotional support refers to demonstrations of empathy, caring, and concern that enhance self-esteem and confidence. Peer mentoring, peer coaching, and peer-led support groups are examples of peer-to-peer recovery services that provide emotional support.
 - ii. **Informational support.** Informational support refers to sharing knowledge, information and skills. Peer-led life skills training, job skills training, educational assistance, and health and wellness information are examples of informational support.
 - iii. **Instrumental support.** Instrumental support includes modeling and peer-assisted daily-life tasks that people with Substance Use Disorders may lack. Examples of instrumental support include getting to support groups, accessing childcare, completing job applications, locating alcohol and drug-free housing, and obtaining vocational, educational, and navigating health and social service programs.
 - iv. **Affiliational support.** Affiliational support facilitates contact with other people to promote learning of social and recreational skills, create a community, and acquire a sense of belonging. Examples of affiliational support include introduction to Recovery Centers, alcohol and drug-free socialization opportunities, and exploring activities.

- v. Family support. Family support includes educational, informational, and affiliational services for family members with relatives (as identified by the family) who are in recovery from Substance Use Disorders. These services are designed to help families develop and maintain positive relationships, improve family functioning, increase understanding of recovery processes, and build connections among family members for mutual support.
 - vi. **Peer Support Specialists** are individuals as defined in OAR 309-019-0105(86), as such rules may be revised from time to time. Peer Support Specialists must comply with all requirements in accordance with OAR 410-180-0300 through 410-180-0380.
- (d) **Population to be served, Eligible population, or Participants:** Individuals with Substance Use Disorders and who are seeking recovery are the target population.

(2) **Performance Requirements**

County shall use the financial assistance awarded for A&D 63 Services through this Agreement to provide Peer Delivered Services in a manner that benefits the Population to be served. The Peer Delivered Services must be delivered at Recovery Centers, agencies, or in communities, by Peer Support Specialists or Peer Wellness Specialists.

To the satisfaction of OHA, County shall require that Peer Delivered Services are:

- (a) Delivered by Peer Support Specialists and Peer Wellness Specialists who continuously adhere to the Standards of Professional Conduct in OAR 410-180-0340;
- (b) Delivered by Peer Support Specialists and Peer Wellness Specialists who are jointly supervised by clinical staff with documented training and experience with Peer Delivered Services and a certified Peer Support Specialist or Peer Wellness Specialist;
- (c) Delivered in accordance with a plan developed with or by the Individual receiving Services;
- (d) Documented and regularly reviewed by the Individual receiving Services; and
- (e) Documented either in MOTS or MMIS or comparably reported.

Providers employing Peer Support Specialists and Peer Wellness Specialists must develop and implement quality assurance processes to improve the quality of Peer Delivered Services supported by funds provided through this Agreement. OHA may recommend additional actions to improve quality.

(3) **Reporting Requirements**

See Exhibit E, 10., “Reporting Requirement for MOTS.”

(4) **Special Reporting Requirements**

Reports must be prepared using forms and procedures prescribed by OHA. Forms are located at <http://www.oregon.gov/OHA/HSD/AMH/Pages/Reporting-Requirements.aspx>.

- (a) Within 30 calendar days of the County providing A&D 63 Services, County shall prepare and electronically submit a written entry baseline assessment report to hsd.contracts@odhsoha.oregon.gov.
- (b) County shall prepare and electronically submit, to hsd.contracts@odhsoha.oregon.gov, written quarterly summary reports on the delivery of A&D 63 Services, no later than 45 calendar days following the end of each subject quarter for which financial assistance is awarded through this Agreement.
- (c) Each report shall provide the following information:
 - i. The amount of financial assistance spent on A&D 63 Services as of the end of the reporting period;
 - ii. Number of Individuals served by Peer Support Specialist(s), categorized by age, gender, and ethnicity;
 - iii. Breakdown of Service received;
 - iv. Number of Individuals who acquired a safe, permanent, alcohol and drug free place to live in the community during Service participation;
 - v. Number of Individuals who gained employment or engaged in productive educational or vocational activities during Service participation;
 - vi. Number of Individuals who remained crime-free during Service participation; and
 - vii. Number of Individuals served who are being retained from the previous quarter.

(5) **Financial Assistance Calculation, Disbursement, and Confirmation of Performance and Reporting Requirements Procedures**

See Exhibit D, “Payment, Settlement, and Confirmation Requirements.”

Use Payment and Confirmation language, Section 1.f.(2).

- e. Service Name: **HOUSING ASSISTANCE**
Service ID Code: **A&D 64**

(1) **Service Description**

Housing Assistance Services assist Individuals, who are in recovery from Substance Use Disorders, in locating and paying for housing that supports that recovery. Individuals who receive assistance may be living with other family members (e.g., where a parent is re-assuming custody of one or more children).

All Individuals receiving A&D 64 Services funded through this Agreement must reside in County, be in recovery from Substance Use Disorders, have been previously homeless or at risk of homelessness, and be participating in a verifiable program of recovery. OHA will not provide financial assistance for A&D 64 Services under this Agreement and any succeeding Agreement for more than 24 consecutive months for any particular Individual, unless approved in advance by OHA in writing.

(2) **Performance Requirements**

Housing Assistance Services include:

- (a) Rental Assistance in the form of cash payments, made on behalf of Individuals recovering from Substance Use Disorders, to cover all or a portion of the monthly rent and utilities for housing.
- (b) Housing Coordination Services in the form of staff support to assist Individuals recovering from Substance Use Disorders in locating and securing suitable housing, and referrals to other resources.
- (c) Residential Costs to pay for move-in and barrier removal costs not to exceed 20% of total funds awarded to support securing and maintaining housing such as payment of rental deposits and fees; moving and storage costs; furnishing, supplies and equipment; payment of past due utility bills and securing a credit report. These must be one-time payments only; no on-going expenses. Housing expenses not eligible are permanent improvements to a building except for minor remodeling to improve accessibility. Barrier removal expenses not eligible are any payments made that do not advance the effort to secure rental housing.
- (d) Utilization requirements for A&D 64 will be identified in a special condition, subject to funds awarded in a particular line of the Financial Assistance Award.
- (e) No funds shall be paid directly to individuals benefiting from A&D 64 Services.

(3) **Reporting Requirements**

See Exhibit E, 10., "Reporting Requirements for MOTS."

(4) **Special Reporting Requirements**

County shall prepare and electronically submit, to hsd.contracts@odhsoha.oregon.gov, written quarterly summary reports on the delivery of A&D 64 Services no later than 45 calendar days following the end of each subject quarter for which financial assistance is awarded through this

Agreement. Reports must be prepared using forms and procedures prescribed by OHA. Forms are located at <http://www.oregon.gov/OHA/HSD/AMH/Pages/Reporting-Requirements.aspx>.

Each report shall provide the following information:

- (a) Information and data as required on the OHA-provided reporting template;
- (b) For financial settlement purposes, the total amount expended during the subject quarter for the following:
 - i. Amount expended for Housing Coordination and supports including staff positions.
 - ii. Amount expended for Administration.
 - iii. Amount expended for Residential Costs including move-in and barrier removal expenses .
 - iv. Amount expended for Rental Assistance.
- (c) All required reports submitted must be complete and accurate to the satisfaction of OHA. If a report is found to be incomplete or not accurate, it will be returned for correction and resubmission. Failure to submit complete and accurate reports could result in the withholding of future payment of Financial Assistance.

(5) **Financial Assistance Calculation, Disbursement, and Confirmation of Performance and Reporting Requirements**

See Exhibit D, “Payment, Settlement, and Confirmation Requirements.”

Use Payment and Confirmation language, Section 1.f.(2).

f. Service Name: **COMMUNITY BEHAVIORAL AND SUBSTANCE USE DISORDER SERVICES**

Service ID Code: **A&D 66**

(1) Service Description

(a) Community Behavioral and Substance Use Disorder Services (A&D 66 Services) are Services delivered to youth and adults with Substance Use Disorders or to youth and adults with co-occurring substance use and mental health disorders. These Services shall be provided to Individuals who are not eligible for the Oregon Health Plan (OHP) or who otherwise do not have a benefit that covers the A&D 66 Services described in this Service Description.

The purpose of A&D 66 Services is to build upon resilience, assist Individuals to make healthier lifestyle choices, and to promote recovery from Substance Use Disorders. A&D 66 Services consist of outreach (case finding), early identification and screening, assessment and diagnosis, initiation and engagement, therapeutic interventions, continuity of care, recovery management, and Interim Services.

(b) It is required that pregnant women receive Interim Services within 48 hours after being placed on a waitlist. At a minimum, 45 CFR §96.121 requires that Interim Services include the following:

- i.** Counseling and education about HIV and tuberculosis (TB);
- ii.** Risks of sharing needles;
- iii.** Risks of transmission to sexual partners and infants;
- iv.** Steps to ensure that HIV and TB transmission does not occur;
- v.** Referral for HIV or TB treatment services, if necessary;
- vi.** Counseling on the effects of alcohol and drug use on the fetus; and
- vii.** Referral for prenatal care.

(c) A&D 66 Services must be evidence-based or promising practices. Services may be reduced commensurate with reductions in funding by OHA. County shall provide the following Services, subject to availability of funds:

- i.** Outreach (case finding), early identification and screening, assessment and diagnosis, and education:
 - A.** Outreach: Partner with healthcare Providers and other social service partners who provide screening for the presence of behavioral health conditions to facilitate access to appropriate Services.
 - B.** Early Identification and Screening: Conduct periodic and systematic screening that identify Individuals with behavioral health conditions and potential physical health consequences of behavioral health conditions which consider epidemiological and community factors, as identified in the

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Local Plan or Regional Health Improvement Plan (RHIP) as applicable.

- C. Assessment and Diagnosis: Perform multidimensional, biopsychosocial assessments as appropriate based on OAR 309-018-0140 to guide person-centered services and supports planning for behavioral health and co-existing physical health conditions. Identify Individuals who need intensive care coordination. Use the following standardized protocols and tools to identify the level of Service need and intensity of care and coordination, addressing salient characteristics such as age, culture, and language:
 - I. American Society of Addiction Medicine (ASAM) for Individuals receiving Substance Use Disorder Services.
 - II. Level of Care Utilization System (LOCUS) for adults transitioning between the state hospitals, licensed mental health residential services, and Intensive Community Services. “**Intensive Community Services**” are defined as assertive community treatment, intensive case management, and supported or supportive housing.
 - III. Level of Service Intensity Determination for children including use of Child and Adolescent Service Intensity Instrument (CASII) and Early Childhood Service Intensity Instrument (ECSII) for children receiving services with “Intensive Outpatient Services and Supports” or “Intensive Treatment Services,” as defined in OAR 309-022-0105(45) and 309-022-0105(46), respectively.
- D. Education: Partner with other community groups and organizations, including but not limited to schools, community corrections, and other related organizations, to perform education and outreach to potentially at-risk populations for alcohol and drug abuse in order to educate those groups around substance abuse treatment and recovery topics tailored to the individual groups’ needs, in order to educate the broader community on these issues as well as begin the process of promoting potential initiation and engagement in treatment Services within these populations.
- ii. Initiation and Engagement: Promote initiation and engagement of Individuals receiving Services and supports, which may include but are not limited to:
 - A. Brief motivational counseling;
 - B. Supportive Services to facilitate participation in ongoing treatment; and

- C. Withdrawal management for Substance Use Disorders and supportive pharmacotherapy to manage symptoms and adverse consequences of withdrawal following assessment.

iii. Therapeutic Interventions:

General community-based Services, which may include:

- A. Condition management and a whole person approach to single or multiple chronic conditions based on goals and needs identified by the Individual;
- B. General outpatient Services;
- C. Medication management for:
 - I. Mental health disorders (when providing Services for Individuals with co-occurring mental and Substance Use Disorders).
 - II. Substance Use Disorders:
 - (A) Includes pharmacotherapy for adults diagnosed with opioid dependence, alcohol dependence, or nicotine dependence and without medical contraindications. Publicly funded programs will not discriminate in providing access to Services for Individuals using medications to treat and manage addictions.
 - (B) Pharmacotherapy, if prescribed, should be provided in addition to and directly linked with psychosocial treatment and support.
- D. Detoxification for Individuals with Substance Use Disorders under OAR 415-050-0000 through 415-050-0095. Supportive pharmacotherapy may be provided to manage the symptoms and adverse consequences of withdrawal, based on a systematic assessment of symptoms and risk of serious adverse consequences related to the withdrawal process; and
- E. Meaningful Individual and family involvement.

iv. Continuity of Care and Recovery Management:

- A. Continuity of care Services includes:
 - I. Coordinate and facilitate access to appropriate housing Services and community supports in the Individual's community of choice;
 - II. Facilitate access to appropriate levels of care and coordinate management of Services and supports based on an Individual's needs in their community of choice;
 - III. Facilitate access to Services and supports provided in the community and Individual's home designed to

assist children and adults with Substance Use Disorders whose ability to function in the community is limited and for whom there is significant risk of higher level of care needed; and

IV. Coordinate with other agencies to provide intensive care coordination sufficient to help Individuals prevent placement in a more restrictive level of care and to be successfully served in their community of choice.

B. Recovery Management Services includes:

I. Continuous case management;

II. Monitoring of conditions and ongoing recovery and stabilization;

III. Individual and family engagement, including provision of childcare for parents actively involved in any of these treatment, education, outreach, or recovery support Services; and

IV. Transition planning that addresses the Individual's needs and goals.

(2) **Performance Requirements**

(a) A Provider delivering A&D 66 Services with financial assistance awarded through this Agreement may not use funds to deliver covered Services to any Individual enrolled in the Oregon Health Plan.

(b) The quality of A&D 66 Services supported with financial assistance through this Agreement will be measured in accordance with the criteria set forth below. These criteria are applied on a countywide basis each calendar quarter (or portion thereof) during the period for which financial assistance is awarded through this Agreement. County shall develop and implement quality assurance and quality improvement processes to improve progressively, as measured by the criteria set forth below, the quality of Services supported with financial assistance awarded through this Agreement. OHA may assign performance payments to some or all of these standards and measures and may recommend additional actions to improve quality.

i. **Access:** Access is measured by OHA as the percentage of residents estimated by OHA surveys to need treatment who are enrolled in A&D 66 Services.

ii. **Treatment Service Initiation:** Treatment service initiation is measured as the percentage of Individuals served within 14 calendar days of their original assessment, also known as the index date. The index date is a start date with no Services in the prior 60-calendar days.

iii. **Utilization:** Utilization requirements for Individuals receiving continuum of care services (non-detox) will be identified in a

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Special Condition, subject to a particular line in Exhibit C, “Financial Assistance Award.”

- iv. **Engagement:** Engagement is measured by OHA as the percentage of Individuals receiving A&D 66 Services under this Agreement who enter treatment following positive assessment.
- v. **Treatment Service Retention:** Treatment Service retention is measured by OHA as the percentage of Individuals receiving A&D 66 Services under this Agreement who are actively engaged in treatment for 90 consecutive calendar days or more.
- vi. **Reduced Use:** Reduced use is measured by OHA as the percentage of Individuals engaged in and receiving A&D 66 Services under this Agreement who reduce their use of alcohol or other drugs during treatment, as reported in the MOTS data system, upon planned interruption in Services or 90 calendar day retention, whichever comes first.
- vii. **Completion:** Completion is measured as the percentage of Individuals engaged in and receiving A&D 66 Services under this Agreement who complete two thirds of their treatment plan and are engaged in recovery support or services at the time treatment Services are terminated. Providers of A&D 66 Services funded through this Agreement must participate in client outcome studies conducted by OHA.
- viii. **Facility-Based Care Follow-Up:** Facility-based care follow-up is measured by the percentage of Individuals with a follow-up visit completed within 7 calendar days after: (A) hospitalization for mental illness; or (B) any facility-based Service defined as residential.
- ix. **Hospital and Facility-Based Readmission rates:** Hospital and facility-based readmission rates are measured by the number of Individuals returning to the same or higher levels of care within 30 and 180 calendar days against the total number of discharges.
- x. **Parent-Child Reunification:** Parent-child reunification is measured by the number of parents reunited with their child (or multiple children) against the number of parents served who have children in an out-of-home placement or foster care due to the Department of Human Service, Child Welfare Program’s involvement.
- xi. **Functional Outcomes - Housing Status; Employment Status; School Performance; Criminal Justice Involvement:** The 4 functional outcome measures that will be monitored by OHA and reported to the County are as follows:
 - A. **Housing Status:** If improved housing status is a goal of treatment or an Individual is homeless or in a licensed care facility, this measure will be monitored. This measure is defined as the number of Individuals who improve housing status as indicated by a change from homelessness or

licensed facility-based care to private housing against the total number of Individuals with a goal to improve housing.

- B. Employment Status: If employment is a goal of treatment, this measure will be monitored. This measure is defined as the number of Individuals who become employed, as indicated by a change in employment status, against the number of Individuals with a goal of becoming employed.
- C. School Performance: If school attendance is a goal of treatment, this measure will be monitored. The measure is defined as the number of Individuals who improve attendance in school while in active treatment against the total number of Individuals with a goal of improved attendance in school.
- D. Criminal Justice Involvement: This measure will be monitored by OHA for Individuals referred for Services by the justice system. The measure is defined as the number of Individuals who were not arrested after 1 day or more of active treatment or 2 consecutive quarters (whichever comes first) against the total number of Individuals referred for Services by the justice system.

(3) **Reporting Requirements**

See Exhibit E, 10, “Reporting Requirements for MOTS.”

(4) **Special Reporting Requirements**

- (a) Reports must be prepared using forms and procedures prescribed by OHA. Forms are located at <http://www.oregon.gov/OHA/HSD/AMH/Pages/Reporting-Requirements.aspx>.
- (b) County shall prepare and electronically submit to hsd.contracts@odhsoha.oregon.gov written annual summary reports on the delivery of A&D 66 Services, no later than 45 calendar days following the end of each subject year for which financial assistance is awarded through this Agreement.
- (c) Each report shall provide the following information:
Description of the delivery of A&D 66 Services provided to Individuals who are not enrolled in MOTS at the time of their participation in Prevention, Education, or Outreach Service delivery, as described in this Service Description. Cases without evidence of treatment engagement in the clinical record do not count toward the Service delivery requirement, except as listed above for Prevention, Education, and Outreach.

(5) **Payment Calculation, Disbursement, and Agreement Settlement Procedures**

See Exhibit D, “Payment, Settlement, and Confirmation Requirements.”

Use Payment and Settlement language, Section 1.f.(1).

g. Service Name: **SUBSTANCE USE DISORDER RESIDENTIAL & DAY TREATMENT CAPACITY**

Service ID Code: **A&D 67**

(1) Service Description

Substance Use Disorder (SUD) Residential and Day Treatment Capacity (A&D 67) is for housing/lodging services for indigent, underfunded, or Medicaid-eligible Individuals who are enrolled in SUD adult or youth residential services or day treatment services where housing/lodging services are provided. A&D 67 Services provide a structured environment for an Individual on a 24-hour basis consistent with Level II and Level III of the American Society of Addiction Medicine (ASAM) patient placement criteria and transfer and continuity of care set forth in OAR 309-018-0135 through 309-018-0155 and 309-019-0135 through 309-019-0140, as such rules may be revised from time to time, are appropriate to the Individual's needs and include housing and food services.

Housing/lodging services must include;

- (a) Bed with a frame and clean mattress;
- (b) Pillow(s);
- (c) Linens; sheets, pillowcases, and blankets;
- (d) Bath towel and wash cloth;
- (e) Private dresser or similar storage area for personal belongings;
- (f) Meals: at least three meals must be provided daily in adequate amounts for each resident at each meal, as well as two snacks daily (may be subsidized with SNAP benefits);
- (g) Laundry services at least weekly for personal clothing, linens, bath towel, and wash cloth; and
- (h) Rent/Utilities (no additional charges to Individual while in treatment).

(2) Performance Requirements

Providers of A&D 67 Services paid through this Contract must comply with OAR 309-018-0100 through 309-018-0215 and OAR 309-019-0100 through 309-019-0220, as such rules may be revised from time to time. Providers of A&D 67 Services paid through this Contract must also have a current approval or license issued by OHA in accordance with OAR 415-012-0000 through 415-012-0090 and must participate in client outcome studies conducted by OHA.

(3) Reporting Requirements

See Exhibit E, 10, "Reporting Requirements for MOTS."

(4) Special Reporting Requirements

None

(5) Payment Calculation, Disbursement, and Confirmation of Performance and Reporting Requirements Procedures

See Exhibit D, "Payment, Settlement, and Confirmation Requirements."

Use Payment and Confirmation language, Section 1.f.(2).

- h.** Service Name: **PROBLEM GAMBLING PREVENTION SERVICES**
Service ID Code: **A&D 80**

(1) Service Description

- (a)** Problem Gambling Prevention Services (A&D 80 Services) are designed to meet the following objectives:
- i.** Education aimed at increasing general public awareness of Problem Gambling that includes all populations of the general public; and
 - ii.** Prevent Problem Gambling.
- (b)** The goals and outcomes for County’s A&D 80 Services must be described in County’s OHA approved Problem Gambling Prevention Implementation Plan, using the form located at: <https://www.oregon.gov/oha/HSD/Problem-Gambling/Pages/Prevention.aspx>, and submitted electronically to OHA at: hsd.contracts@odhsoha.oregon.gov. County’s A&D 80 Services will be monitored and evaluated on the basis of the County’s effectiveness in achieving the goals and outcomes identified in the County’s OHA approved Problem Gambling Prevention Implementation Plan and through the Problem Gambling Prevention Data Collection System at: <https://www.oregon.gov/oha/HSD/Problem-Gambling/Pages/Prevention.aspx/>.

(2) Performance Requirements

- (a)** County shall designate a problem gambling prevention coordinator, who is qualified by virtue of knowledge, training, experience and skills, that shall be responsible for:
- i.** Implementation plan development, utilizing a comprehensive planning framework for addressing awareness of problem gambling and prevention education. Plans must reflect the requirements within the Problem Gambling Tier Level Funding Performance Standards located at: <https://www.oregon.gov/oha/HSD/Problem-Gambling/Pages/Prevention.aspx/>. Planning frameworks shall demonstrate the following: community assessment of current status of the problem, desired outcome, strategic plan to meet outcome, and evaluation plan;
 - ii.** Continuously conducting a community assessment every five years (FY2025-26) and utilizing County’s community assessment results to identify trackable outcome measurements within Implementation Plan;
 - iii.** Implementation of problem gambling prevention activities each quarter related to identified goals within Implementation Plan, unless preauthorized by OHA Problem Gambling Prevention Services Specialist;
 - iv.** Monitoring, implementation, evaluation and oversight of the Problem Gambling Prevention Implementation Plan in accordance with the “Special Reporting Requirements” section below and submitting electronically to OHA through the Problem Gambling Prevention

Quarterly Data Reporting Collection System at
[https://www.oregon.gov/oha/HSD/Problem-Gambling/Pages/Prevention.aspx/;](https://www.oregon.gov/oha/HSD/Problem-Gambling/Pages/Prevention.aspx/)

- v. Preparation of reports, as described in the “Special Reporting Requirements” section below;
 - vi. Oversight and coordination of A&D 80 Services, activities, and programs provided in the County;
 - vii. Completion of Problem Gambling Prevention Coordinator Training Series requirements within six months from the date of hire or designation as coordinator. The Problem Gambling Prevention Coordinator Training Series requirements are located at [https://www.oregon.gov/oha/HSD/Problem-Gambling/Pages/Prevention.aspx/;](https://www.oregon.gov/oha/HSD/Problem-Gambling/Pages/Prevention.aspx/)
 - viii. Attending a minimum of 8 hours of OHA Problem Gambling Services approved trainings per calendar year, separate from the Problem Gambling Prevention Coordinator Training Series referenced above;
 - ix. Development and adoption of a comprehensive written policy, on gambling in the workplace; and
 - x. Participating in a minimum of one Technical Assistance/Program Development visit in a three year period. Technical Assistance Visit Toolkit and Schedule located at: [https://www.oregon.gov/oha/HSD/Problem-Gambling/Pages/Prevention.aspx/.](https://www.oregon.gov/oha/HSD/Problem-Gambling/Pages/Prevention.aspx/)
- (b) County shall designate a Problem Gambling Prevention Supervisor, who is qualified by virtue of knowledge, training, experience and skills, that shall be responsible for:
- i. Completion of the Problem Gambling Prevention Supervisor Training within 3 months from date of designation as problem gambling prevention supervisor.
 - ii. The Problem Gambling Prevention Supervisor Training requirements are located at: [https://www.oregon.gov/oha/HSD/Problem-Gambling/Pages/Prevention.aspx/.](https://www.oregon.gov/oha/HSD/Problem-Gambling/Pages/Prevention.aspx/)
- (c) The financial assistance awarded to County for A&D 80 Services in the subsequent contracting period will, in part, depend upon achievement of the goals and outcomes set forth in the County’s Problem Gambling Prevention Implementation Plan. In the event of a conflict or inconsistency between the provisions of the County’s Problem Gambling Prevention Implementation Plan and provisions of this Service Description, the provisions of this Service Description shall control.
- (d) Providers of A&D 80 Services must implement A&D 80 Services funded through this Agreement in accordance with the County’s current Problem Gambling Prevention Implementation Plan.

(3) **Reporting Requirements**

None

(4) **Special Reporting Requirements**

(a) All A&D 80 Services provided by County under this Agreement must be reported and submitted electronically to OHA on a quarterly basis through the Oregon Problem Gambling Prevention Quarterly Data Reporting Collection System, located at <https://www.oregon.gov/oha/HSD/Problem-Gambling/Pages/Prevention.aspx> no later than 45 calendar days following the end of each quarter with respect to Services provided in the prior quarter.

(b) County shall notify OHA Problem Gambling staff, at pgs.support@odhsoha.oregon.gov, within 10 business days of any changes related to designated Problem Gambling A&D 80 Services.

(5) **Financial Assistance Calculation, Disbursement, and Confirmation of Performance and Reporting Requirements Procedures**

County shall not expense greater than 6 percent of total allocation for administrative overhead and indirect cost.

See Exhibit D, "Payment, Settlement, and Confirmation Requirements."

Use Payment and Settlement language, Section 1.f.(2).

- i. **Service Name:** PROBLEM GAMBLING TREATMENT SERVICES
Service ID Code: A&D 81

(1) **Service Description**

For purposes of this A&D 81 Service Description, an Individual must have one of the diagnoses listed below in order to obtain services and the diagnosis must be primary or secondary.

- (a) A diagnosis of Gambling Disorder, defined as an Individual with persistent and recurrent problematic gambling behavior leading to significant impairment or distress, as indicated by the Individual exhibiting one or more diagnostic criteria of the most current version of the Diagnostic and Statistical Manual for Mental Disorders; or
- (b) A diagnosis of Other Specific Disruptive, Impulse Control and Conduct Disorder, as an Individual with clinically significant distress or impairment in social, occupational, or other important area of functioning. This diagnosis in terms of Problem Gambling Treatment Services and reimbursement for these services should be used for clients who present with an Internet Gaming Disorder; or
- (c) A diagnosis of relationship distress with spouse or intimate partner; a diagnosis of relational problems or problems related to psychosocial circumstances; or diagnosis of stressful life events affecting family and household.

(2) **Performance Requirements**

- (a) County shall maintain Certification, as provided under OAR 309-008-0100 through 309-008-1600 “Certification of Behavioral Health Treatment Services,” for all levels of outpatient treatment in accordance with OAR 309-019-0100 through 309-019-0220 “Outpatient Behavioral Health Services,” as such rules may be revised from time to time.
- (b) County shall meet the performance requirements, which are imposed and assessed on an individual County basis, listed below. If OHA determines that a Provider of A&D 81 Services fails to meet any of the performance requirements, the specific performance requirements that are out of compliance will be reviewed at a specifically scheduled performance requirement site review or OHA may reduce the monthly allotments based on under-used allotments identified through the OHA PG Net data collection system or other required reports in accordance with the “Special Reporting Requirements” section below.

The performance requirements for A&D 81 Services are as follows:

- i. **Access:** The amount of time between an Individual requesting A&D 81 Services and the first offered service appointment must be 5 business days or less for at least [90%] of all Individuals receiving A&D 81 Services funded through this Agreement.
- ii. **Client Satisfaction:** The percent of Individuals receiving A&D 81 Services who have consented and completed a satisfaction survey and would positively recommend the Provider to others must not be

less than [85%.] Satisfaction surveys must be completed by no less than [50%] of total enrollments for those that have consented to the survey.

- iii. **Long-term Outcome:** At the 6-month follow up for Individuals completing treatment, a minimum of [50%] must report abstinence or reduced gambling.
- iv. **Retention:** The percent of Individuals receiving A&D 81 Services who actively engage in treatment for at least 10 clinical sessions must be at least [40%].
- v. **Successful Completion:** The percent of all Individuals receiving A&D 81 Services who successfully complete treatment must be at least [35%] (unadjusted rate). Successful completion of problem gambling treatment is defined as Individuals who have: (a) achieved at least [75%] of short-term treatment goals; (b) completed a continued wellness plan (i.e., relapse prevention plan); and (c) lack of engagement in problem gambling behaviors for at least [30] consecutive days prior to successful completion of A&D 81 Services.
- vi. **Admission Survey Completion:** The percent of Individuals receiving A&D 81 Services who consent and complete an admission survey must not be less than [95%.]

(c) **Technical Assistance and Program Development**

- i. County shall participate in a minimum of one Technical Assistance/Program Development visit in a three year period. Schedule of visit, located at:
<https://www.oregon.gov/oha/HSD/Problem-Gambling/Pages/Treatment.aspx>.
- ii. County shall collaborate with OHA PGS staff in developing and implementing a Program Development Plan based on feedback from the Technical Assistance and Program Development visit. Plan template can be found at:
<https://www.oregon.gov/oha/HSD/Problem-Gambling/Pages/Treatment.aspx>. Plan must be on file with OHA PGS staff. Process/procedure and reporting guidelines for Technical Assistance and Program Development visit is located at:
<https://www.oregon.gov/oha/HSD/Problem-Gambling/Pages/Treatment.aspx>.
- iii. County shall participate in semi-annual connection review with OHA. These reviews will be completed via conference call, webinar or in person with the use of a structured form that can be found at:
<https://www.oregon.gov/oha/HSD/Problem-Gambling/Pages/Treatment.aspx>.
- iv. County shall provide problem gambling in-reach efforts within their A&D 81 Service organization. This should include training to clinical staff on engagement, education, screening, identification and referrals to A&D 81 Services using the Gambling Screening, Brief

Intervention, and Referral to Treatment (GBIRT) toolkit and type model, which can be found at:

<https://www.oregon.gov/oha/HSD/Problem-Gambling/Pages/Treatment.aspx>.

- v. Persons providing A&D 81 Services, prior to working with an individual with problematic gambling must complete the “Problem Gambling for Social Service Professionals” training series, Modules One through Three within six months of agency assignment to problem gambling client services. Information on the training series can be found at: <https://www.oregon.gov/oha/HSD/Problem-Gambling/Pages/Workforce.aspx>.
- vi. County shall complete a Oregon Problem Gambling Counselor Competency Evaluation and submit to OHA approved portal. This evaluation shall be completed on each Program’s gambling clinician at a minimum of once every odd numbered year. Information provided to OHA will be anonymous and assist with determining needs within the workforce to be addressed. Evaluation tool can be found at: <https://www.oregon.gov/oha/HSD/Problem-Gambling/Pages/Workforce.aspx>.
- vii. A&D 81 Services are limited to [12] months per Individual for an active treatment episode. This Service limitation will count [12] consecutive months, starting with the Individual’s enrollment date. Individuals must have been out of active treatment service for a minimum of [90] consecutive days prior to any re-enrollment in the state system.

County may request an extension of the [12] month Service limitation by submitting a Length of Stay Extension request in the OHA PG Net data collection system located at:

<https://www.oregon.gov/oha/HSD/Problem-Gambling/Pages/PG-Net.aspx>.

Continuing care or aftercare service is limited to [12] months per Individual and provided upon successful completion of gambling treatment Services. This Service limitation will continue [12] consecutive months starting with the Individual’s discharge date.

- (d) Problem Gambling Treatment Services (A&D 81 Services) are as follows:
 - i. Outpatient A&D 81 Services provide problem gambling assessment, treatment, rehabilitation and peer support services, delivered on an outpatient basis or intensive outpatient basis to Individuals and those in relationships with Individuals with gambling related problems who are not in need of 24-hour supervision for effective treatment. Outpatient A&D 81 Services must include regularly scheduled face-to-face or non-face-to-face therapeutic sessions or services, in response to crisis for the Individual, and may include individual, group, couple, family counseling, and peer support.
 - ii. “Session” or “treatment session” means A&D 81 Services delivered in individual, couple, family, group or peer support modalities.

Treatment sessions must be reported by type (e.g., individual, couple, family, or group) and length (time).

- iii. In reach activities: Treatment-specific efforts that engage, educate and assist behavioral health programs with screening, identification and referral to A&D 81 Services.
- iv. A&D 81 Services are to be made available to any Oregon resident with a Gambling Disorder, problematic gambling, or diagnosis of relational problem as defined above. A&D 81 Services to out-of-state residents are permissible if the presenting Gambling Disorder or relational problem diagnoses are reported as primarily related to an Oregon Lottery product or Oregon Indian Gaming Center.

(3) **Reporting Requirements**

None

(4) **Special Reporting Requirements**

County shall notify OHA Problem Gambling staff within 10 business days of any changes related to designated Problem Gambling A&D 81 Services program staff. Notification shall be sent to pgs.support@odhsoha.oregon.gov.

County shall submit the following information to OHA regarding Individuals receiving A&D 81 Services.. All Providers of A&D 81 Services shall comply with OHA PG Net data collection system and manual located at <https://www.oregon.gov/oha/HSD/Problem-Gambling/Pages/PG-Net.aspx>.

- (a) Admission Data: The admission screen within the OHA PG Net data collection system and admission survey must be collected and submitted within [14] calendar days of the first treatment contact with an Individual.
- (b) Survey Consent Form: A completed consent form to participate in admission survey, satisfaction survey and evaluation follow-up efforts must be administered and collected via the OHA PG Net data collection system. Refusal to participate in surveys must be documented in the client file.
- (c) Encounter Data Reporting Requirements: All Providers of A&D 81 Services funded through this Agreement must submit Individual-level, Service delivery activity (encounter data) within 30 calendar days following the end of each month.

Encounter data must be submitted electronically utilizing the HIPAA approved “837” format.

Prior to submitting data, each encounter claim must be documented in the clinical record and must include the date of the encounter Service, type of Service rendered, time of Service, length of Service, setting of Services, personnel rendering Services (including their name, credentials and signature), and a clinical note including a description of the session .

- (d) Discharge Data: Discharge data must be collected and submitted within [90] calendar days after the last date of Service to an Individual.

(5) **Financial Assistance Calculation, Disbursement, Confirmation of Performance and Reporting Requirements, & Provider Audit Procedures**

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See Exhibit D, “Payment, Settlement, and Confirmation Requirements.”

Use Payment and Confirmation language, Section 1.f.(2).

In addition:

- (a) OHA will provide financial assistance for A&D 81 Services identified in a particular line of Exhibit C, “Financial Assistance Award,” as specified in the PGS Procedure Codes and Rates for Treatment Providers rate sheet, located at <https://www.oregon.gov/oha/HSD/Problem-Gambling/Pages/Treatment.aspx>, as it may be revised from time to time.
- (b) OHA will not make multiple financial assistance disbursements for a single clinical activity, except for group therapy. For example, OHA will not provide financial assistance for an individual treatment session for both an Individual and his or her spouse when the treatment was delivered in a single marital session with a single therapist.
- (c) Providers of A&D 81 Services shall not charge Individuals whose Services are paid through this Agreement any co-pay or other fees for such Services.
- (d) Provider Audits: Providers receiving funds under this Agreement, for A&D 81 Services, are subject to audits of all funds applicable to A&D 81 Services rendered. The purpose of these audits is to:
 - i. Require proper disbursements were made for covered A&D 81 Services;
 - ii. Recover over-payments;
 - iii. Discover any potential or actual instances of fraud and abuse; and
 - iv. Verify that encounter data submissions are documented in the client file, as required and described in the “Special Reporting Requirements” above.

Providers may be subject to OAR 407-120-1505 “Provider and Contractor Audits, Appeals, and Post Payment Recovery,” and OAR 410-120-1510 “Fraud and Abuse,” as such rules may be revised from time to time.

- (e) OHA’s obligation to provide assistance under this Agreement is subject to the satisfaction of the County delivering the anticipated level of A&D 81 Services, upon which the allotments were calculated. If, for a period of 3 consecutive months during the term of this Agreement, County delivers less than the anticipated level of Services, upon which allotments were calculated in a particular line of Exhibit C, “Financial Assistance Award,” OHA may amend the amount of funds awarded for A&D 81 Services in proportion to the under-utilization during that period, including but not limited to reducing the amount of future funds awarded for A&D 81 Services in an amount equal to funds reduced under that line of the Financial Assistance Award for under-utilization. An amendment shall be prepared and executed between OHA and County to reflect this reduction.

j. Service Name: **PROBLEM GAMBLING RESPITE TREATMENT SERVICES**

Service ID Code: **A&D 83**

(1) Service Description

For purposes of this A&D 83 Service Description, an Individual with a Gambling Disorder is an Individual with persistent and recurrent problematic gambling behavior leading to clinically significant impairment or distress, as indicated by the Individual meeting the diagnostic criteria of the most current version of the Diagnostic and Statistical Manual for Mental Disorders. This diagnosis must be primary or secondary.

Problem Gambling Respite Treatment Services (A&D 83 Services) are problem gambling treatment Services designed to supplement Problem Gambling Treatment Outpatient Services (A&D 81 Services). A&D 83 Services are to be delivered to Individuals who have special needs in relation to A&D 81 Services, such as highly suicidal Individuals or Individuals with co-occurring psychiatric conditions.

(a) The specific A&D 83 Services that may be delivered with funds provided through this Agreement and directed at Individuals with problems related to a gambling disorder are as follows:

- i.** Secure Residential Treatment Facility (1-14 day residential care at a psychiatric health care facility): Providers of this Service must have OHA approved, written policies and procedures for operating this Service, hold licensure and comply with OAR 309-035-0100 through 309-035-0225, “Residential Treatment Facilities and Residential Treatment Homes for Adults with Mental Health Disorders”.
- ii.** Respite Care Service (1-14 day residential care at an alcohol and drug treatment facility): Providers of this Service must have:
 - A.** OHA approved, written policies and procedures for operating this Service, hold licensure and comply with OAR 309-018-0100 through 309-018-0215 “Residential Substance Use Disorders and Problem Gambling Treatment and Recovery Services;” and
 - B.** A current license issued by the OHA in accordance with OAR 415-012-0000 through 415-012-0090 “Licensure of Substance Use Disorders and Problem Gambling Residential Treatment and Recovery Services.”

Referral to A&D 83 Services is through an approved A&D 81 Problem Gambling Treatment Outpatient Service provider or Emergency Department, with specific approval of the A&D 83 Service provider.

(b) A&D 83 Services are to be made available to any Oregon resident with a Gambling Disorder as defined above. A&D 83 Services provided to out-of-state residents are permissible if the presenting Gambling Disorder is

reported as primarily related to an Oregon Lottery product or Oregon Indian Gaming Center.

- (c) Persons providing A&D 83 Services, prior to working with an individual with problematic gambling must complete the “Problem Gambling Social Service Professionals” training series, Modules One through Three within six months of agency assignment to problem gambling client services.

Information on the training series can be found at:

<https://www.oregon.gov/oha/HSD/Problem-Gambling/Pages/Workforce.aspx>.

(2) Performance Requirements

County shall meet the performance requirements, which are imposed and assessed on an individual County basis, listed below. If OHA determines that a Provider of A&D 83 Services fails to meet any of the specified performance requirements, the specific performance requirements out of compliance will then be reviewed at a specifically scheduled performance standards site review or OHA may deny invoiced payments based on insufficient data or performance requirements identified through the OHA PG Net data collection system or other required reports in accordance with the “Special Reporting Requirements” section below.

The performance requirements for A&D 83 Services are as follows:

- (a) **Access:** The amount of time between an Individual with a Gambling Disorder requesting A&D 83 Services and the first offered service appointment must be 2 business days or less for at least 100% of all Individuals receiving A&D 83 Services funded through this Agreement.
- (b) **Successful Completion:** The percent of all Individuals receiving A&D 83 Services who successfully complete treatment must be at least [100]%. Successful completion of problem gambling treatment is defined as Individuals who:
 - i. are stabilized, to safely return to the community, and have established contact, including a scheduled appointment, with a treatment professional in their local community for continuing care; or
 - ii. have been transferred to residential gambling treatment Services.

(3) Reporting Requirements

None

(4) Special Reporting Requirements

County shall notify OHA Problem Gambling staff within 10 business days of any changes related to designated Problem Gambling A&D 83 Services program staff. Notifications shall be sent to pgs.support@odhsoha.oregon.gov.

County shall submit the following information to OHA regarding Individuals receiving A&D 83 Services. All Providers of A&D 83 Services shall comply with PG Net data collection system and manual, located at

<https://www.oregon.gov/oha/HSD/Problem-Gambling/Pages/PG-Net.aspx>.

- (a) Intake Data: The admission screen within PG Net must be completed and submitted within 14 calendar days of the first treatment contact with an Individual.
- (b) Encounter Data Reporting Requirements: All Providers of A&D 83 Services funded through this Agreement must submit Individual-level, Service delivery activity (encounter data) within 30 calendar days following the end of each month.

Encounter data must be submitted electronically utilizing the HIPAA approved “837” format.

Prior to submitting data, each encounter claim, must be documented in the clinical record and must include the date of the encounter Service, type of Service delivered, time of Service, length of Service, setting of Service, personnel rendering Service (including their name, credentials and signature), and a clinical note including a description of the session.

- (c) Discharge Data: Discharge data must be collected and submitted within 90 calendar days after the last date of Service to an Individual.

(5) Financial Assistance Calculation, Disbursement and Settlement Requirements

County shall not expense greater than six (6) percent of total allocation for administrative overhead and indirect cost.

See Exhibit D, “Payment, Settlement, and Confirmation Requirements.”

Use Payment and Settlement language, Section 1.f.(1)(a).

In addition:

- (a) OHA will provide financial assistance for A&D 83 Services identified in a particular line of Exhibit C, “Financial Assistance Award,” as specified in the PGS Billing Codes and Rates for Treatment Providers rate sheet, located at: <https://www.oregon.gov/oha/HSD/Problem-Gambling/Pages/Treatment.aspx>, as it may be revised from time to time.
- (b) Providers of A&D 83 Services funded through this Agreement shall not charge Individuals, whose Services are paid through this Agreement, any co-pay or other fees for such Services;
- (c) Providers of A&D 83 Services funded through this Agreement shall not use third party insurance. A&D 83 Services are to be a single payer source.
- (d) Provider Audits: Providers receiving funds under this Agreement, for providing A&D 83 Services, are subject to audits of all funds applicable to A&D 83 Services rendered. The purpose of these audits is to:
 - i. Require proper disbursements were made for covered A&D 83 Services;
 - ii. Recover Overexpenditures;
 - iii. Discover any potential or actual instances of fraud and abuse; and
 - iv. Verify that encounter data submissions are documented in the client file, as required, and described in the “Special Reporting Requirements” section above.

- (e) Providers of A&D 83 Services funded through this Agreement may be subject to OAR 407-120-1505 “Provider and Contractor Audits, Appeals, and Post Payment Recovery,” and OAR 410-120-0380 “Fraud and Abuse,” as such rules may be revised from time to time.

k. Service Name: **PROBLEM GAMBLING, CLIENT FINDING/REFERRAL PATHWAYS OUTREACH SERVICES**

Service ID Code: **A&D 84**

(1) Service Description

(a) A&D 84 Services is defined as Specific Outreach with the primary purposes of getting problem gamblers and/or family members enrolled in Problem Gambling Outpatient Treatment Services (A&D 81 Services).

The specific A&D 84 Services that may be delivered with funds provided under this Agreement are as follows:

- i. Outreach aimed at increasing the number of Individuals receiving outpatient treatment services;
- ii. Targets a specific vulnerable population;
- iii. Repeated contact and the development of a relationship with another professional provider; and
- iv. Increasing the number of Individuals that are referred to County or sub-contractor and admitted to services in problem gambling treatment programs.

(b) A&D 84 - Services may be delivered by problem gambling treatment or prevention professionals or subcontracted to community entities through an organization specializing in problem gambling treatment and prevention.

(2) Performance Requirements

(a) County shall designate a Problem Gambling, Client Finding/Referral Pathways Outreach specialist, who shall be responsible for:

- i. Development and implementation of Annual Problem Gambling, Client Finding/Referral Pathway Outreach Strategic Plan.
- ii. Overseeing and coordinating A&D 84 Services provided in the County; and
- iii. Preparing the quarterly reports as described in the “Special Reporting Requirements” section below.

(b) County shall provide problem gambling community outreach efforts to a population in either phase 2, 3, or 4 defined within the OHA PGS GBIRT and Referral Pathways Implementation Toolkit. Toolkit can be found at <https://www.oregon.gov/oha/HSD/Problem-Gambling/Pages/Treatment.aspx>. This should include training of professionals on engagement, education, screening, identification and referrals to A&D 81 Services using a Gambling Screening, Brief Intervention, and Referral to Treatment (GBIRT) type model.

(3) Reporting Requirements

None

(4) **Special Reporting Requirements**

- (a) County shall prepare and electronically submit, to pgs.support@odhsoha.oregon.gov and hsd.contracts@odhsoha.oregon.gov, written quarterly reports on the delivery of A&D 84 Services no later than 45 calendar days following the end of each subject quarter with respect to Services provided in the prior quarter. Reports must be prepared using forms and procedures prescribed by OHA. Forms are located at <https://www.oregon.gov/oha/HSD/Problem-Gambling/Pages/Treatment.aspx> .
- (b) Each report shall provide the following information:
 - i. Description of results in achieving the goals and outcomes set forth in the Annual Problem Gambling, Client Finding/Referral Pathways Outreach Strategic Plan.
 - ii. Description of the activities, appraisal of activities, and expenses during the preceding quarter in providing A&D 84 Services.
- (c) County shall notify OHA Problem Gambling staff within 10 business days of any changes related to designated Problem Gambling A&D 84 Services program staff. Notification shall be sent to pgs.support@odhsoha.oregon.gov.

(5) **Financial Assistance Calculation, Disbursement, and Confirmation of Performance and Reporting Requirements Procedures**

See Exhibit D, “Payment, Settlement, and Confirmation Requirements.”

Use Payment and Confirmation language, Section 1.f.(2).

In addition:

- (a) County shall not expense greater than six (6) percent of total allocation for administrative overhead and indirect cost.
- (b) Providers of A&D 84 Services shall not charge Individuals whose Services are paid through this Agreement any co-pay or other fees for such Services.

- I. Service Name: **SYSTEM MANAGEMENT AND COORDINATION**
Service ID Code: **MHS 01**

(1) Service Description

The purpose of a Community Mental Health Program (CMHP) is to provide a system of appropriate, accessible, coordinated, effective, efficient safety net services for Individuals with a mental or emotional disturbance, with drug or alcohol dependence or abuse issue, or gambling addiction problems and are within the specific geographic area served by the County through this Agreement.

System Management and Coordination (MHS 01 Services) is the central management of a Mental Health Services system for which financial assistance is included in Exhibit C, "Financial Assistance Award," of this Agreement.

Eligibility for Services

County shall provide MHS 01 Services to Individuals:

- (a) With a mental or emotional disturbance, drug or alcohol dependence or abuse issue, or gambling addiction problems; and
- (b) Are eligible to receive Services within the specific geographic area served by the County through this Agreement.

(2) Performance Requirements

County shall:

- (a) Establish and maintain a structure for meaningful system design and oversight that includes involvement by Individuals and families across all ages that have or are receiving Mental Health Services. System design and oversight must include:
 - i. Planning for the delivery of Services;
 - ii. Implementation of the delivery of Services;
 - iii. Monitoring;
 - iv. Documentation of Service delivery in compliance with state and federal requirements, including but not limited to the requirements in ORS 430.634(2);
 - v. Contract and subcontract negotiation and monitoring;
 - vi. Coordination with state hospital Services;
 - vii. Evaluation of Services and supports; and
 - viii. Involvement in activities that focus on:
 - A. Resource allocation;
 - B. Outcomes;
 - C. Quality improvement; and
 - D. Advisory councils.
- (b) Assist all eligible and interested Individuals with applying for public assistance, medical assistance, and any other state or federal benefits that

the individual may be eligible for now or upon discharge from institutionalization;

- (c) Provide payment for Services, described in this Agreement, provided to Individuals, who are uninsured, underinsured, not eligible for Medicaid, or have exhausted Medicaid services, including those who meet the criteria for Citizen Alien Waived Medical Program;
- (d) Coordinate with any third-party payors, including but not limited to Coordinated Care Organizations, for the payment of Services described in this Agreement that are covered for the Individual under private insurance or through public or medical assistance programs;
- (e) Develop a plan that identifies the number, type and location of Providers that are necessary to provide the Services identified in this Agreement; and
- (f) Contract with Providers to meet the Service needs of Individuals under this Agreement.

(3) **Reporting Requirements**

None.

(4) **Special Reporting Requirements**

Reports must be prepared using forms and procedures prescribed by OHA. Forms are located at <http://www.oregon.gov/OHA/HSD/AMH/Pages/Reporting-Requirements.aspx>. County shall submit electronically, to hsd.contracts@odhsoha.oregon.gov, an annual accounting report of financial assistance within 45 calendar days from the end of the contract year.

(5) **Financial Assistance Calculation, Disbursement, and Confirmation of Performance and Reporting Requirements Procedures**

See Exhibit D, "Payment, Settlement, and Confirmation Requirements."

Use Payment and Confirmation language, Section 1.f.(2).

- m. Service Name: **AID AND ASSIST CLIENT SERVICES**
Service ID Code: **MHS 04**

(1) Service Description

A criminal defendant may be found incapacitated (unable to aid and assist in their own defense) if, as a result of a qualifying mental disorder, the Individual is unable to understand the nature of the proceeding against them, to assist or cooperate with their counsel, or to participate in their own defense. MHS 04 Services are provided to assist Individuals in gaining or regaining their capacity in the most integrated, least restrictive setting possible in the community.

Services include but are not limited to discharge planning, treatment designed to restore capacity, placement in appropriate community-based care, monitoring and coordination of Services, and periodic assessment of the Individual's capacity.

The goal of these Services is to divert individuals from receiving restoration treatment at Oregon State Hospital (OSH) into community restoration services to the greatest extent possible.

Providers of MHS 04 Services funded through this Agreement may reasonably use funds to improve outcomes and services for individuals found unfit to proceed, or those at risk of being found unfit to proceed, by improving systems and collaboration affecting this population.

Eligibility for Services

County shall provide MHS 04 Services to Individuals who the court:

- (a) Has reason to doubt are fit to proceed by reason of incapacity (as defined in ORS 161.360) under ORS 161.365;
- (b) Has determined lack the fitness to proceed under ORS 161.370 but has not yet determined what action to take under ORS 161.370(2)(c);
- (c) Are found to lack fitness to proceed under ORS 161.370 and are committed to the custody of the superintendent of OSH; and
- (d) Has determined lack the fitness to proceed under ORS 161.370 and are ordered to engage in community restoration services.

(2) Performance Requirements

When providing Services under this Service Element, County shall:

- (a) Comply with all applicable statutes and rules, including but not limited to ORS chapters 161 and 430, and OAR chapter 309, divisions 14, 88 and 90, which may be revised from time to time;
- (b) Ensure the County, to the extent it provides direct Services, or its Providers:
 - i. Comply with all applicable statutes and administrative rules, as may be revised from time to time; and
 - ii. Comply with and maintain any certifications or licenses that are necessary to provide the Services;
- (c) Assist all eligible and interested Individuals with applying for public assistance, medical assistance, and any other state or federal benefits that

the individual may be eligible for now or upon discharge from institutionalization or incarceration;

- (d) Provide any clinical records and contact information to OHA and its designees for oversight and coordination purposes, upon request; and
- (e) In providing recommendations, treatment service planning, and discharge planning, ensure that Individuals:
 - i. Are recommended for Services in the least restrictive, most integrated setting appropriate to meet the Individual's behavioral health needs; and
 - ii. Are diverted from placement at a state hospital, community hospital, and secure residential treatment facility, whenever possible.

(f) Pre-Community Placement Service Requirements

- i. For Individuals described in Subsection (1)(a) of MHS 04, the County shall:
 - A. Attempt to consult with the Individual and with any local entity that would be responsible for providing community restoration services;
 - B. Determine whether appropriate community restoration services are present and available in the community; and
 - C. Write a report of its findings and submit a copy of that report to the court pursuant to ORS 161.365(1)(a).
- ii. For Individuals described in Subsection (1)(b) of MHS 04, the County shall submit a recommendation to the court regarding whether appropriate community restoration services are present and available in the community, in accordance with ORS 161.370(2)(b).
- iii. For Individuals described in Subsection (1)(c) of MHS 04, the County shall:
 - A. During any period of commitment, and at regular intervals, review available community restoration services and maintain communication with the Individual and OSH in order to facilitate an efficient transition to treatment in the community when ordered by the court;
 - B. After OSH issues notice that an Individual is Ready to Place (RTP) under ORS 161.371(3)(a) or (4)(a), and the court orders a community consultation:
 - I. Attempt to consult with the Individual and with any local entity that would be responsible for providing community restoration services, if the Individual were to be released in the community, to determine whether community restoration services are present and available in the community;
 - II. Develop a treatment service plan for the Individual in the least restrictive, most integrated setting

appropriate to meet the Individual's behavioral health needs, preferences, choices, and strengths;

- III. Identify an appropriate Provider that is able to meet the Individual's behavioral health needs and willing to provide that care, treatment, and Services to the Individual;
- IV. In identifying a Provider and planning for a community restoration placement, primarily be guided by the level of Services, supervision or type of placement identified by OSH in its RTP notice and advise whether those resources are present and available in the community;
- V. Ensure MHS 04 Services are provided in the least restrictive and most integrated setting appropriate to meet the Individual's behavioral health needs;
- VI. Divert the Individual from placement at OSH or at a secure residential treatment facility (SRTF), whenever possible;
- VII. Obtain any necessary approvals from the Provider to allow admission, if it is a residential placement;
- VIII. Continue to send referrals to Providers until the Individual is accepted and can be immediately placed, if and when the court orders community restoration for the Individual;
- IX. Provide the court with recommendations from the community consultation within five judicial days from the court order;
- X. If the court does not discharge the Individual from OSH due to a lack of an available and appropriate Provider, continue to send referrals and develop a placement and treatment service plan for the Individual until the Individual is discharged from OSH; and
- XI. If OSH does not issue an RTP notice but the County or designee determines that community restoration services that would mitigate any risk posed by the Individual are present and available in the community, file a notice of that determination with the court under ORS 161.371(3)(b)-(4)(b).

(g) Community Restoration Service Requirements

For Individuals described in Subsection (1)(d) of MHS 04, the County shall:

- i. Coordinate the Individual's behavioral health and medical treatment in the community; Attempt to conduct an individualized assessment of the Individual and develop a treatment service plan in coordination with the

Individual's Provider and consistent with any court-ordered conditions; If the Individual does not participate in the initial assessment, continued efforts should be made to engage with the Individual to complete the assessment and develop a treatment service plan;

- ii.** Monitor the care, custody, and treatment of the Individual while on community restoration;
- iii.** Monitor the Individual's progress in their treatment service plan, and identify when the Individual may receive Services in a lower level of care and report that to the court;
- iv.** Ensure treatment service planning continues throughout the Individual's receipt of MHS 04 Services with the goal of the Individual receiving Services in the lowest level of care that will maintain their mental and physical health long term;
- v.** Provide crisis stabilization services, such as accessing psychiatric, medical, or qualified professional intervention to protect the health and safety of the Individual and others;
- vi.** Provide care coordination to facilitate ongoing communication and collaboration to meet the Individual's needs, such as:
 - A.** Facilitating communication between natural supports, community resources, Providers, agencies (if eligible for Aging and People with Disabilities [APD] or Intellectual and Developmental Disabilities [I/DD] services) and Coordinated Care Organizations (CCOs) (if an enrolled member);
 - B.** Organizing, facilitating, and participating in client staffing meetings;
 - C.** Providing for continuity of care by creating linkages to and managing transitions between levels of care;
 - D.** Coordinating or providing transportation to and from the forensic evaluations and court appearances in this case; and
 - E.** Communication of court ordered requirements, limitations, and court dates to the defendant as clinically indicated.
- vii.** Provide coordination and consultation to the jurisdictional court or other designated agencies within the criminal justice system and OSH while the Individual is residing in the community and in the process of being returned to fitness. Services include, but are not limited to:
 - A.** Coordination of the periodic assessments of the Individual's fitness to proceed;
 - B.** Collaboration and coordination with community corrections;
 - C.** Consultation to the County Mental Health Court, if Mental Health Court is available in the service area;
 - D.** Participation in Mental Health and Law Enforcement collaboration meetings; and
 - E.** Communication of court ordered requirements, limitations, and court dates.

- viii. Provide monthly status reports to the appropriate court on the Individual's:
 - A. Compliance or non-compliance with their conditional release requirements; and
 - B. Progress in gaining or regaining fitness to proceed;
 - C. Notify the court if the Individual gains or regains fitness to proceed, and develop a transitional treatment service plan for that Individual;
- ix. Provide interim quarterly reports for the purpose of communicating current status of Individuals to Oregon Health Authority/Health Systems Division (OHA/HSD) and the court of jurisdiction.
- x. Provide community restoration services, which are necessary to safely allow the Individual to gain or regain fitness to proceed in the community, including but not limited to:
 - A. Provide behavioral health treatment, which means treatment for mental health, substance use disorder, and problem gambling, such as:
 - I. Crisis services;
 - II. Individual or group therapy; and
 - III. Alcohol and drug addiction treatment;
 - B. Case management, which means the services provided to assist the Individual in gaining access to needed medical, social, educational, entitlement, tribal resources, and other applicable services;
 - C. Necessary incidental support, which means the provision of items that are not directly related to behavioral health treatment (e.g., purchase of food, clothing, medication, or transportation);
 - D. Legal skills training, which means training on courtroom procedures, roles, language, and potential outcomes of the court process;
 - E. Linkages to benefits, which means assisting the Individual with obtaining any public or medical assistance benefits for which they are eligible including but not limited to Medicaid, Social Security, Aging and People with Disabilities Services, Supplemental Nutrition Assistance Program, and housing;
 - F. Medical treatment related to capacity, which means the management and care of the Individual related to any psychiatric or medical conditions that impair their capacity;
 - G. Medication management, which includes the prescribing, administering, and reviewing of medications and their side effects, including both the pharmacological management as well as supports and training to the Individual;
 - H. Peer-delivered services, which are community-based services and supports provided by peers, peer support specialists, and family support specialists to individuals with similar lived experience; and

- I. Vocational services, which are employment support services that are intended to lead to competitive integrated employment.

(3) Reporting Requirements

See Exhibit E, Section 10, “Reporting Requirements for MOTS”

(4) Special Reporting Requirements

County shall prepare and electronically submit, to hsd.contracts@odhsoha.oregon.gov, written quarterly reports on the delivery of MHS 04 Services, no later than 45 calendar days following the end of each subject quarter for which financial assistance is awarded through this Agreement. Reports must be prepared using forms and procedures prescribed by OHA. Forms are located at <http://www.oregon.gov/OHA/HSD/AMH/Pages/Reporting-Requirements.aspx>.

Each quarterly report shall provide the following information per month for each subject quarter:

- (a)** For Individuals who have a community consultation completed, provide the following information:
 - i.** Individuals’ name;
 - ii.** Gender;
 - iii.** Date of birth
 - iv.** Medicaid identification number (if applicable);
 - v.** Race;
 - vi.** Ethnicity;
 - vii.** Living Situation;
 - viii.** Consultation referral date;
 - ix.** Consultation face-to-face date;
 - x.** Date the findings report was provided to the court;
 - xi.** Recommendation from the findings report provided to the court; and
 - xii.** Court’s determination on Individual’s placement.
- (b)** For Individuals who are engaged in community-based restoration services, provide the following information:
 - i.** Individual’s name;
 - ii.** Gender;
 - iii.** Date of birth
 - iv.** Medicaid identification number (if applicable);
 - v.** Race;
 - vi.** Ethnicity;
 - vii.** Living situation;
 - viii.** Beginning date of restoration services; and

ix. Description of services provided.

(5) **Financial Assistance Calculation, Disbursement, and Confirmation of Performance and Reporting Requirement Procedures**

See Exhibit D, “Payment, Settlement, and Confirmation Requirements.”

Use Payment and Confirmation language, Section 1.f.(2).

In addition:

County can invoice for up to 20% over NTE for non-Medicaid covered residential expenses subject to approval of OHA and additional funding. Additional financial reporting may be required. The Part C awards do not apply to PSRB Individuals, as these Services are covered in the Service Description for MHS 30.

- n. Service Name: **ASSERTIVE COMMUNITY TREATMENT SERVICES (ACT)**
Service ID Code: **MHS 05**

(1) **Service Description**

(a) **Definitions:**

- i. **Assertive Community Treatment (ACT)** means an evidence-based practice designed to provide comprehensive treatment and support Services to Individuals with Serious and Persistent Mental Illness. ACT is intended to serve Individuals who have severe functional impairments and who have not responded to traditional psychiatric outpatient treatment. ACT Services are provided by a single multi-disciplinary team, which typically includes a psychiatrist, a nurse, and at least 2 case managers, and are designed to meet the Individual's needs and to help keep the Individual in the community and out of a structured service setting, such as residential or hospital care. ACT is characterized by:
 - A. Low client to staff ratios;
 - B. Providing Services in the community rather than in the office;
 - C. Shared caseloads among team members;
 - D. 24-hour staff availability;
 - E. Direct provision of all Services by the team (rather than referring Individuals to other agencies); and
 - F. Time-unlimited Services.
- ii. **ACT-Eligible Individual** means an Individual who meets ACT Admission Criteria established in OAR 309-019-0245.
- iii. **Competitive Integrated Employment** means full-time or part time work, at minimum wage or higher, at a rate that is not less than the customary rate paid by the employer for the same or similar work performed by other employees who are not Individuals with disabilities, and who are similarly situated in similar occupations by the same employer and who have similar training, experience, and skill; with eligibility for the level of benefits provided to other employees; at a location where the employee interacts with other persons who are not Individuals with disabilities (not including supervisory personnel or individuals who are providing services to such employee) to the same extent that individuals who are not Individuals with disabilities and who are in comparable positions interact with other persons; and as appropriate, presents opportunities for advancement that are similar to those for other employees who are not individuals with disabilities and who have similar positions.
- iv. **Division Approved Reviewer** means the Oregon Center of Excellence for Assertive Community Treatment (OCEACT). OCEACT is OHA's contracted entity responsible for conducting

ACT fidelity reviews, training, and technical assistance to support new and existing ACT Programs statewide.

- v. **Serious and Persistent Mental Illness (SPMI)** means the current Diagnostic and Statistical Manual, Fifth Edition (DSM V) of the American Psychiatric Association, incorporated by reference herein, diagnostic criteria for at least one of the following conditions, as a primary diagnosis for an Individual 18 years of age or older:
 - A. Schizophrenia and other psychotic disorders;
 - B. Major depressive disorder;
 - C. Bipolar disorder;
 - D. Anxiety disorders limited to Obsessive Compulsive Disorder (OCD) and Post Traumatic Stress Disorder (PTSD);
 - E. Schizotypal personality disorder; or
 - F. Borderline personality disorder.

(b) Services:

- i. ACT is an evidence-based practice for Individuals with SPMI. ACT is characterized by:
 - A. A team approach;
 - B. Community based;
 - C. A small client-to-staff caseload, typically 10:1, to consistently provide necessary staffing diversity and coverage;
 - D. Time-unlimited Services;
 - E. Flexible Service delivery;
 - F. A fixed point of responsibility; and
 - G. 24/7 crisis availability.
- ii. MHS 05 Services include, but are not limited to:
 - A. Hospital discharge planning;
 - B. Case management;
 - C. Symptom management;
 - D. Psychiatry services;
 - E. Nursing services;
 - F. Co-occurring substance use and mental health disorders treatment services;
 - G. Supported Employment (reference OAR 309-019-0275 through 309-019-0295);
 - H. Life skills training; and
 - I. Peer support services.

- iii. The ACT Program is intended to serve Individuals (18 year old or older) with SPMI and who meet ACT Program admission criteria as described in OAR 309-019-0245.
- iv. A Provider delivering MHS 05 Services with funds provided through this Agreement may not use MHS 05 Services funding to deliver covered Services to any Individual known to be enrolled in the Oregon Health Plan.
- v. An ACT Program includes the following staff members:
 - A. Psychiatrist or Psychiatric Nurse Practitioner;
 - B. Psychiatric Nurse(s);
 - C. Qualified Mental Health Professional (QMHP) ACT Team Supervisor;
 - D. Qualified Mental Health Professional(s) (QMHP) Mental Health Clinician;
 - E. Substance Abuse Treatment Specialist;
 - F. Employment Specialist;
 - G. Housing Specialist;
 - H. Mental Health Case Manager; and
 - I. Certified Peer Support Specialist.

(2) Performance Requirements

County shall provide MHS 05 Services in a manner that meets minimum fidelity requirements and adheres to all standards in OAR 309-019-0225 through 309-019-0255.

If County lacks qualified Providers to deliver MHS 05 Services and supports, County shall implement a plan, in consultation with their respective CCO and OHA, to develop a qualified Provider network for Individuals to access MHS 05 Services.

The County shall work with their respective CCO to increase the number of eligible Individuals, with SPMI, served by ACT Team(s). If 10 or more Individuals in a County’s region have been referred, are eligible and appropriate for MHS 05 Services, and are on a waiting list for more than 30 calendar days to receive MHS 05 Services, the County shall work with their appropriate CCO to take action to reduce the waitlist and serve those Individuals by:

- (a) Increasing team capacity to a size that is still consistent with fidelity standards; or
- (b) Adding additional ACT Team(s).

(3) Reporting Requirements

See Exhibit E, Section 10, “Reporting Requirements for MOTS.”

(4) **Special Reporting Requirements**

County shall prepare and electronically submit, to hsd.contracts@odhsoha.oregon.gov, written quarterly summary reports on the delivery of MHS 05 Services no later than 45 calendar days following the end of each subject quarter for which financial assistance is awarded through this Agreement. Reports must be prepared using forms and procedures prescribed by OHA. Forms are located at <http://www.oregon.gov/OHA/HSD/AMH/Pages/Reporting-Requirements.aspx>.

Each report shall provide the following information:

- (a) Individuals served;
- (b) Individuals who are homeless at any point during a quarter;
- (c) Individuals with safe stable housing for 6 months;
- (d) Individuals using emergency departments during each quarter for a mental health reason;
- (e) Individuals hospitalized in OSH or in an acute psychiatric facility during each quarter;
- (f) Individuals hospitalized in an acute care psychiatric facility during each quarter;
- (g) Individuals in jail at any point during each quarter;
- (h) Individuals receiving Supported Employment Services during each quarter;
- (i) Individuals who are employed in Competitive Integrated Employment; and
- (j) Individuals receiving MHS 05 Services who are not enrolled in Medicaid Referrals and Outcomes, including the following:
 - i. Number of referrals received during each quarter;
 - ii. Number of Individuals accepted during each quarter;
 - iii. Number of Individuals admitted during each quarter; and
 - iv. Number of Individuals denied during each quarter and the reason for each denial.

(5) **Financial Assistance Calculation, Disbursement, and Confirmation of Performance and Reporting Requirements Procedures**

See Exhibit D, "Payment, Settlement, and Confirmation Requirements."

Use Payment and Confirmation language, Section 1.f.(2).

- o. Service Name: **JAIL DIVERSION SERVICES**
Service ID Code: **MHS 09**

(1) **Service Description**

MHS 09 Jail Diversion Services increase Mental Health’s interaction with Individuals with mental illness who are involved with the justice system or law enforcement solely due to a mental health reason and are charged with crimes, resulting in the reduction or avoidance of arrests, jail admissions, lengths of stay in jail, and recidivism through the availability of alternative community-based services, programs, or treatments.

For purposes of this Service Description, the following definitions apply:

- (a) **Jail Diversion Services** means community-based Services that are designed to keep Individuals with behavioral health needs out of the criminal justice system and, instead, supported by other community-based services, such as mental health services, substance use services, employment services, and housing. Jail Diversion Services are intended to minimize contact with law enforcement, avoid jail time, and/or reduce jail time. These Services are intended to result in the reduction of the number of Individuals with mental illness in the criminal justice system or the Oregon State Hospital.
- (b) **Mental Illness** means the current Diagnostic and Statistical Manual, Fifth Edition (DSM V) of the American Psychiatric Association, incorporated by reference herein, diagnostic criteria for a primary diagnosis for an adult 18 years of age or older.

(2) **Performance Requirements**

All Providers shall adopt the “**Sequential Intercept Model**” (SIM), and incorporated by reference herein, through the GAINS Center to more effectively deal with mentally ill Individuals who come into contact with law enforcement personnel. All Providers shall use the SIM to identify and intervene upon “points of interception” or opportunities for interventions to prevent Individuals with mental illness from entering or penetrating deeper into the criminal justice system.

County shall provide the following, subject to the not-to-exceed amount of this Agreement, pre-booking and post-booking MHS 09 Services:

- (a) Create partnerships or diversion agreements between law enforcement agencies, jails, both circuit and municipal courts, and local mental health providers;
- (b) Create opportunities for Individuals to access housing in addition to vocational and educational services;
- (c) Provide support services to prevent or curtail relapses and other crises;
- (d) Assist Individuals to negotiate and minimize continuing criminal sanctions as they make progress in recovery and meet criminal justice obligations; and
- (e) Promote peer support and the social inclusion of Individuals with or in recovery from mental and substance use disorders in the community.

(3) **Reporting Requirements**

See Exhibit E, Section 10, “Reporting Requirements for MOTS.”

(4) Special Reporting Requirements

County shall prepare and electronically submit through secure e-mail as described in the Security and Privacy Agreement, to hsd.contracts@odhsoha.oregon.gov, written quarterly reports on the delivery of MHS 09 Services no later than 45 calendar days from the end of each subject quarter for which financial assistance is awarded through this Agreement. Reports must be prepared using forms and procedures prescribed by OHA. Forms are located at <http://www.oregon.gov/OHA/HSD/AMH/Pages/Reporting-Requirements.aspx>.

Each quarterly report shall include, but is not limited to, the following:

- (a)** For Individuals receiving MHS 09 Services, report the following:
 - i.** Individuals name;
 - ii.** Gender;
 - iii.** Date of birth;
 - iv.** Medicaid identification number (if applicable);
 - v.** Race;
 - vi.** Ethnicity;
 - vii.** Whether the Individual has a diagnosed mental health disorder;
 - viii.** Identify whether the Individual received pre or post booking Services;
 - ix.** Number of times Individual was arrested during the reporting period;
 - x.** Charges Individual was arrested for during the reporting period; and
 - xi.** Description of Service provided.
- (b)** Report the number of incidences where charges were dismissed or dropped as a result of MHS 09 Services.
- (c)** Report the number of crisis consultations provided by mental health staff in pre-booking diversions.
- (d)** Provide a detailed description of any MHS 09 Service created prior to the current reporting period.
- (e)** Provide information regarding any activities related to MHS 09 Services that involved law enforcement agencies, jails, circuit and municipal courts, community corrections, and local mental health providers.

(5) Financial Assistance Calculation, Disbursement, and Confirmation of Performance and Reporting Requirement Procedures

See Exhibit D, “Payment, Settlement, and Confirmation Requirements.”

Use Payment and Confirmation language, Section 1.f.(2).

p. Service Name: **MENTAL HEALTH PROMOTION AND PREVENTION SERVICES**

Service ID Code: **MHS 10**

(1) Service Description

MHS 10 Mental Health Promotion and Prevention Services are designed to optimize an Individual's positive mental health by:

- (a) Strengthening the determinants of mental health and wellness; and
- (b) Minimizing mental health problems by addressing these determinants before a specific mental health problem has been identified.

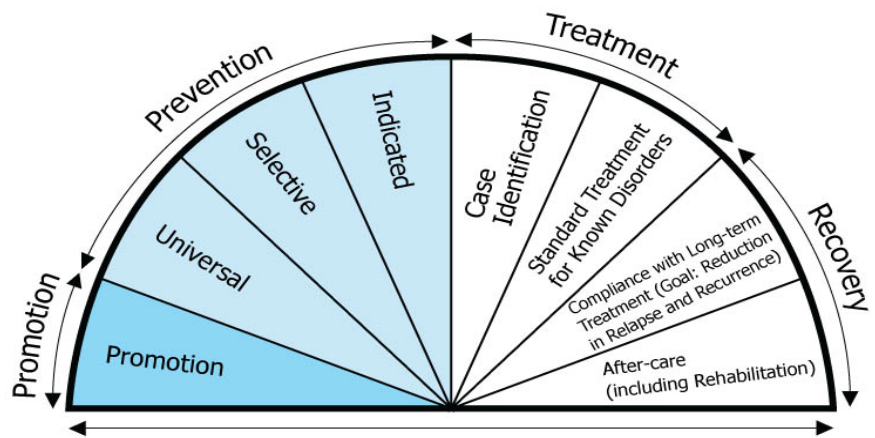
Strengthening determinants of mental wellness through activities and strategies that support and enhance the development of healthy communities, individual skill development, and social-emotional competence can build resilience and increase one's ability to cope with adversity.

MHS 10 Services are interventions that increase protective factors, enhance an Individual's abilities to achieve developmentally appropriate tasks (competence) across their lifespan, help build a positive sense of self-esteem, mastery, well-being, social inclusion, and strengthen their ability to cope with adversity.

Services shall prioritize communities that have been historically marginalized and impacted by racism, discrimination, and health inequities. Services shall be trauma informed, culturally and linguistically responsive, and work to reduce the impacts of adverse childhood and traumatic experiences. Services can include a wide variety of activities delivered throughout communities, schools, businesses, and online platforms in order to strengthen the determinants of mental health and wellness. Activities may be provided through a combination of universal, selective and indicated interventions and supports.

(2) Performance Requirements

- (a) Strengthen the existing Mental Health Promotion and Prevention Services infrastructure and/or build and develop new infrastructure.
- (b) Utilize the Institute of Medicine's Continuum of Care Model as a framework to create and implement an evidence-based continuum of activities, strategies, and supports. Strategies and activities under this funding should span the following sections of the model below: 1) mental health promotion and 2) the three prevention classifications, including universal, selective, and indicated. These are further specified below.



- i. Universal intervention: Strategies and/or activities that engage the general public or a segment of the entire population to: learn and enhance positive coping methods to help people feel safe and hopeful and improve quality of life, reduce mental health stigma, prevent or delay the onset of mental health symptoms, and increase awareness of mental health wellness, services, and supports.
 - ii. Selective intervention: Strategies and/or activities that serve specific sub populations whose risk of a disorder is significantly higher than the average, either imminently or over a lifetime;
 - iii. Indicated intervention: Strategies and/or activities that address identified individuals who have minimal but detectable signs or symptom of a disorder or condition;
- (c) Develop and implement strategies and/or activities that prioritize the following determinants of mental wellness.
- i. Development and maintenance of healthy communities: Strategies and/or activities may include but are not limited to, community safety promotion, violence reduction, bullying prevention, community connectivity, and resource dissemination activities;
 - ii. Skill development: Strategies and/or activities may include but are not limited to, skill-building programs in schools, community centers, and other community-based settings that emphasize social connection, problem solving and development of self-regulation; and
 - iii. Social emotional competence: Strategies and/or activities may include but are not limited to developing or sustaining community infrastructure, parenting education, stress reduction classes, communication skills classes, grief and other post distress supports, divorce and other losses, and community-based activities promoting inclusion of groups and individuals that have been economically, socially, and historically marginalized.
- (d) Promote activities that demonstrate a working relationship with a Coordinated Care Organization (CCO), and community-based organizations, such as:

- i. Engage groups that have been historically marginalized through trauma informed and cultural responsiveness, cultural humility, and linguistic attunement to learn if and how mental health promotion and prevention services can be the most supportive;
- ii. Increase efficiency, broaden coordination of initiatives within and seek areas of collaboration across community and health care settings to improve the development of sustainable systems to address mental health promotion and prevention activities; and
- iii. Propose and implement joint strategies to sustain project work beyond the funding period, including the ability to engage other community organizations or interested parties who will benefit from a healthier overall population, such as other public or commercial insurance carriers.

(3) Reporting Requirements

None

(4) Special Reporting Requirements

- (a) County shall submit to OHA an approved annual plan that describes services/activities and a detailed budget that supports mental health promotion and prevention efforts in the community. Plan should include activities which are being funded through this funding stream, if braided funding is occurring, please explain in plan. County shall prepare and submit to OHA for approval within 30 calendar days of the effective date of this Agreement, a written Workplan outlining how services or activities will be provided using funds awarded through this Agreement.
- (b) County shall prepare and electronically submit a written, semi-annual (two times per year) detailed budget expenditure and service report on the delivery of Mental Health Promotion and Prevention Services to be submitted no later than 45 calendar days from the end of the reporting period. Reports and Workplans should be sent to: hsd.contracts@odhsoha.oregon.gov. Reports must be prepared using forms and procedures prescribed by OHA. Forms are located at <http://www.oregon.gov/OHA/HSD/AMH/Pages/Reporting-Requirements.aspx>.
 - i. Each report shall contain the following information:
 - A. An explanation of activities conducted during the reporting period. An update on the status of the initial Workplan will be accepted;
 - B. A description of how activities impact the determinants of mental wellness, including development and maintenance of healthy communities, skill development, and social emotional competence; and,
 - C. A description of the impact of MHS 10 funding as it serves communities that have been disproportionately impacted by racism, discrimination, and health inequities.

(5) **Financial Assistance Calculation, Disbursement, and Confirmation of Performance and Reporting Requirement Procedures**

See Exhibit D, “Payment, Settlement, and Confirmation Requirements.”

Use Payment and Confirmation Requirements language, Section 1.f.(2)

q. Service Name: **RENTAL ASSISTANCE PROGRAM SERVICES**

Service ID Code: **MHS 12**

(1) Service Description

MHS 12 Rental Assistance Program Services are intended to assist Individuals 18 years of age and older with Serious and Persistent Mental Illness (SPMI), as defined in OAR 309-036-0105 (13), and who meet one of the criteria listed below, in paying for rental housing to live as independently as possible in the community and to access the appropriate support services on a voluntary basis.

- (a)** SPMI means the current Diagnostic and Statistical Manual of Mental Disorders, Fifth Edition (DSM-V) of the American Psychiatric Association, incorporated by reference herein, diagnostic criteria for at least one of the following conditions, as a primary diagnosis for an adult 18 years of age or older:
 - i.** Schizophrenia and other psychotic disorders;
 - ii.** Major Depressive Disorder;
 - iii.** Bipolar Disorder;
 - iv.** Anxiety disorders limited to Obsessive-Compulsive Disorder (OCD) and Post-Traumatic Stress Disorder (PTSD);
 - v.** Schizotypal Personality Disorder; or
 - vi.** Borderline Personality Disorder
- (b)** Criteria in paying for rental housing requires at least one of the following conditions:
 - i.** Transitioning from the Oregon State Hospital;
 - ii.** Transitioning from a licensed residential setting;
 - iii.** Without supported housing, are at risk of reentering a licensed residential or hospital setting. For purposes of this special project, supported housing is a combination of financial assistance and supportive services that allows an Individual to live as independently as possible in their own home;
 - iv.** Homeless as defined in 42 U.S.C. § 11302; or
 - v.** At risk of being homeless.

(2) Performance Requirements

- (a)** MHS 12 Services includes financial assistance for a residential specialist position and a peer support specialist position. For purposes of this special project, the residential and peer support specialist positions shall be responsible for coordinating the program components such as application process, finding a rental unit, and payments to the landlord; and the support service components including, but not limited to: financial budgeting, applying for mainstream housing resources (like Section 8), community navigation, and maintaining healthy relationships, which supports Individuals in their ability to live as independently as possible in the

community. These allotments shall not be used to pay any other staff position, and these two MHS 12 funded positions will only perform work for this MHS 12 program.

- (b) MHS 12 Services financial assistance per Individual will be set by OHA and will not exceed the HUD Fair Market Rent (FMR). Financial assistance for rental assistance made on behalf of Individuals covers payment to landlords, property management companies, housing providers, property owners, or specific vendors for a portion of the monthly rent, or payment to specific vendors for resident utility expenses.
- (c) Move-in expense and barrier removal financial assistance will be based on the Individual's need and determined by the Program based on their program design as described in their application. Financial assistance for move-in and barrier removal costs may include cleaning and security deposits, pet deposits, outstanding utility bills, and other related costs as determined in the County's program design.
- (d) Rental housing units subject to this special project shall have an inspection, and pass the inspection prior to move-in, which shall be conducted by County or its contractor, based upon the criteria outlined in the OHA approved Housing Condition Checklist located at <http://www.oregon.gov/oha/HSD/AMH/Pages/Reporting-Requirements.aspx>.
- (e) County shall coordinate with Coordinated Care Organizations (CCO) and Community Mental Health Programs (CMHP) to develop a plan to bill for Medicaid eligible services.
- (f) Administrative costs shall not exceed 15% of total operating budget. Eligible administrative costs include:

 - i. Financial assistance for MHS 12 Services data collection and documentation of Service delivery in compliance with state and federal requirements; and
 - ii. Financial assistance for housing inspection services, accounting services, computer upgrades, supervision of program staff, expenses associated with program staff, office space, and other appropriate office expenses.
- (g) Utilization requirements for MHS 12 Services Providers will be identified in a special condition in a particular line of Exhibit C, "Financial Assistance Award."
- (h) County Compliance: No more than 25% of units in a building or complex of buildings is encouraged for Individuals with SPMI referred by the state, its contractors, or its subcontractors. County or subcontractor shall make good faith, reasonable best efforts to facilitate the use of those units by persons with SPMI. The remaining housing is available to all tenants, in conformance with Fair Housing and other related laws.
- (i) Compliance with criteria in the County's application, award letter, and this Agreement is equally binding.

- (j) County may only contract with subcontractors, subject to prior review and approval by OHA.

(3) Reporting Requirements

None

(4) Special Reporting Requirements

- (a) County shall prepare and electronically submit, to hsd.contracts@odhsoha.oregon.gov, written quarterly reports on the delivery of MHS 12 Services no later than 45 calendar days following the end of each subject quarter for which financial assistance is awarded through this Agreement. Reports must be prepared using forms and procedures prescribed by OHA. Forms are located at <http://www.oregon.gov/OHA/HSD/AMH/Pages/Reporting-Requirements.aspx>.
- (b) For financial use, each report shall provide the following information for the subject quarter totals:
 - i. Amount expended for move-in and barrier removal services;
 - ii. Amount expended for housing rental;
 - iii. Amount expended for staff positions and administration; and
 - iv. The number of housing slots rent was paid for MHS 12 Individuals.

(5) Financial Assistance Calculation, Disbursement, and Agreement Settlement Procedures

See Exhibit D, "Payment, Settlement, and Confirmation Requirements."

Use Payment and Settlement language, Section 1.f.(2).

In addition:

- (a) Amounts due for Services based on the cash assistance paid on behalf of the program providers for rental assistance, barrier removal, move-in expenses, program staff funds expended, and administration of this special project as properly reported in accordance with the "Special Reporting Requirements" section above and subject to the utilization requirements in a special condition on that line of the Financial Assistance Award, is subject to the terms and limitations in this MHS 12 Service Description.
- (b) For Services to non-Medicaid-eligible Individuals, County shall submit a combined quarterly invoice, itemized as follows:
 - i. Number of housing slots filled per month.
 - ii. For quarters 1 and 2, County shall request the total amount for all MHS 12 slots as specified in that line of the Financial Assistance Award;
 - iii. For quarter 3 through 8, County shall request the total MHS 12 amount paid based on the Fair Market Rate (FMR) specified in that line of the Financial Assistance Award, times the total number of units of rent paid on behalf of MHS 12 Individuals during the subject quarter.

- (c) The Part C financial assistance will be disbursed as follows:

Unless a different disbursement method is specified in that line of Exhibit C, “Financial Assistance Award,” OHA will disburse the Part C funds for MHS 12 Services provided under a particular line of the Financial Assistance Award containing a “C” in column “Part ABC” to County per receipt and approval of a quarterly written invoice with required attachments, as specified in subsection (b), in the allotment during the period specified in that line of the Financial Assistance Award. Invoice and required attachments are due no later than 45 calendar days following the end of the subject quarter and must be submitted to hsd.contracts@odhsoa.oregon.gov with the subject line “Invoice, contract #(your contract number), contractor name.” Financial assistance provided by OHA are subject to the limitations described in this MHS 12 Service Description.

- r. Service Name: **SCHOOL-BASED MENTAL HEALTH SERVICES**
Service ID Code: **MHS 13**

(1) Service Description

MHS 13 School-Based Mental Health (SBMH) Services are designed to increase students' and families' access to mental health treatment, service coordination and support, part of the essential components of a comprehensive school mental health system. Access to school-based mental health services is linked to students' improved physical and psychological safety, improved attendance, resilience, self-esteem, and reduces disciplinary incidents, juvenile justice involvement, and substance abuse. The provision of SBMH services at the school helps reduce barriers to mental health treatment access, provides an opportunity to remain in school, retain satisfactory academic progress, and have quality of life. SBMH services will improve equitable access to mental health services and supports.

Services shall prioritize Individuals and families that have been historically marginalized and impacted by racism, discrimination, and health inequities. Services shall be trauma informed, culturally and linguistically responsive and work to reduce the impacts of adverse childhood and traumatic experiences.

County shall provide MHS 13 SBMH Services to Kindergarten (K)-12 schools the County identifies as needing additional supports based on social determinants of health or other school needs. County may provide MHS 13 Services to schools that are affiliated with a School-Based Health Center (SBHC), if that SBHC is not providing mental health services to youth under the age of 17. County shall confirm that an appropriately qualified school-based mental health service provider (QMHP) is available at identified schools.

(2) Performance Requirements

(a) Qualified Mental Health Professional (QMHP):

- i. A School-Based Mental Health Program QMHP is qualified ed under state law to provide mental health services and treatment to children and adolescents, which includes an assessment at the onset of services. Counties shall provide appropriate levels of clinical supervision as set forth in OAR 309-019-0130 for SBMH service Providers. The following outlines the scope of the SBMH service Provider:
- ii. Provide school-based clinical services for rapid and easily accessible mental health treatment, and facilitate services needed for outpatient mental health and substance use treatment. Urgent or otherwise crisis driven services shall be prioritized.
- iii. Provider shall meet with the Individual and/or family, as clinically indicated, to complete an assessment and facilitate access to appropriate mental health services, medical services, and other needed resources in the community. Families are invited and included in mental health treatment to promote treatment integrity and success at home and in school. It is expected that providers will engage families in clinical services whenever possible. Therapists

shall document lack of family participation when it has been clinically indicated.

- iv. MHS 13 Service providers shall be equipped with the technology and equipment necessary to conduct therapy sessions, including individual, family and group therapy, through a telehealth platform that complies with HIPAA, consistent with OAR 410-172-0850.
- (b) **Qualified Mental Health Associate (QMHA):** A School-Based Mental Health Program QMHA is qualified to render services and supports within their scope and shall demonstrate the minimum competencies and qualifications as outlined in OAR 309-019-0125.
- i. QMHAs may work under the direction and supervision of a QMHP, may not work independently, and may provide services as outlined in OAR 309-019-0125, such as skills training, skills groups, and risk screening. Services must be outlined on the Service Plan as outlined by the QMHP.
 - ii. QMHA positions shall not replace QMHP Providers but rather work with Providers and school-employed staff in a team approach to identify ways to provide skill development and positive mental health supports.
 - iii. Individuals may be referred or self-referred to SBMH services due to experiencing trauma, behavioral and emotional challenges, symptoms of a mental health condition, or chronic absenteeism.
 - iv. All staff shall provide culturally and linguistically responsive trauma informed coordinated services and supports.
 - v. All staff may assist with the development, implementation and delivery of programs such as wellness, peer support programs, family support programs, Mental Health First Aid training, implementation of social-emotional learning and support students through skill building and informational learning opportunities on topics such as conflict resolution, bullying prevention, self-regulation and healthy relationships.
 - vi. Through collaboration with the school and community agencies, staff shall assist and create activities to improve climate and safety for children. Promote school safety for all students and report incidents of any violence, so timely intervention may occur.
- (c) All Service Providers and Program Staff shall be trained in suicide prevention, intervention, postvention, and lethal means. QMHP Providers who have had no suicide specific training are recommended to begin with the Applied Suicide Intervention Skills Training (ASIST). QMHA staff who have had no suicide specific training are recommended to begin with Question, Persuade, Refer (QPR), and CALM. Upon request, the contract administrator will provide a list of recommended suicide prevention, intervention, postvention, and lethal means trainings available at low or no cost in Oregon. A tool for tracking staff training completion is also available upon request. Documentation of a minimum of one booster session annually is required in at least one of the following topics:

- i. Suicide Prevention;
 - ii. Suicide Intervention and Safety Planning;
 - iii. Suicide Postvention; and
 - iv. Lethal Means.
- (d) Training documentation for all Service Providers and Program Staff shall be submitted to OHA annually at the end of the school year.
 - (e) All MHS 13 Service Providers and Program Staff are obligated to report any known suicide deaths in the school to their supervisor. Supervisors shall notify their county postvention lead who will report to the OHA Suicide Prevention and Intervention Coordinator in accordance with OAR 309-027-0060.
 - (f) All MHS 13 Service Providers and Program Staff are required to read and understand the School Suicide Prevention plan and the County Youth Suicide Postvention Plan for all school districts and counties in which they provide services.
 - (g) Counties shall notify OHA in writing if the county lacks qualified QMHP providers to deliver MHS13 clinical services prior to and/or as soon as services become unavailable and implement a plan for the provision of Services in consultation with OHA.
 - (h) Counties shall notify OHA in writing of the schools in which it is providing services and shall prioritize schools in under-resourced communities in the county. This documentation shall be provided to OHA no later than one month prior to the start of the school year. Counties are required to notify OHA contract administrator of any delay in this documentation.
 - (i) When possible, Medicaid billable Services will be billed to Medicaid.
 - (j) Funding may also be used to serve Individuals experiencing acute psychiatric distress and who are not Medicaid eligible but have no other resources to pay for the Services, or who are 14 years of age or older and request anonymity.

(3) Reporting Requirements

See Exhibit E, Section 10, “Reporting Requirements for MOTS.”

(4) Special Reporting Requirements

County shall prepare and electronically submit, to hsd.contracts@odhsoha.oregon.gov written quarterly reports on the delivery of MHS 13 Services, no later than 45 calendar days following the end of each subject quarter for which financial assistance is awarded through this Agreement. Reports must be prepared using forms and procedures prescribed by OHA. Forms are located at <http://www.oregon.gov/OHA/HSD/AMH/Pages/Reporting-Requirements.aspx>.

Each report shall provide the following information:

- (a) The names and National Provider Index (NPI) numbers of all MHS 13 Providers and Staff;

- (b) The number of Individuals served during the quarter. This number should represent at a minimum the Individuals, who have had any of the following services or a combination of the following: assessment, individual therapy, family therapy, group therapy. Individuals who have participated in services delivered by the QMHA may be listed as long as those services are documented on the QMHP’s Service Plan;
- (c) The number of new Individuals served during the quarter. This number should represent Individuals to whom Providers and Program Staff began providing services to for the first time during the quarter; and
- (d) Service providers must report on a quarterly basis:
 - i. A list of the unique Individual served, including their first and last name;
 - ii. The race and ethnicity of the Individual;
 - iii. The Individual’s payor source, Oregon Health Plan ID number or other identified insurer ID number; and
 - iv. The unabbreviated name of the school the Individual attends.

Providers will use an evidence-based suicide assessment tool and formulate a safety plan when clinically indicated.

- (e) A summary of program strengths, including specific examples of how services are impacting student mental health, how student and family needs that have arisen as a result of the pandemic have been addressed, and how this work promotes school and student safety.
- (f) Service providers must report how services are delivered in a manner that is culturally and linguistically responsive and how these services are delivered in a manner that is accessible and equitable for all students.
- (g) A summary of program challenges, including barriers to providing services to students and engaging families in family therapy.

(5) **Financial Assistance Calculation, Disbursement, and Confirmation of Performance and Reporting Requirement Procedures**

See Exhibit D, “Payment, Settlement, and Confirmation Requirements.”

Use Payment and Confirmation language, Section 1.f.(2).

- s. Service Name: **YOUNG ADULT HUB PROGRAMS (YAHP)**
Service ID Code: **MHS 15**

(1) Service Description

MHS 15 Services are designed to reach out to, engage, and support extremely distressed and marginalized young adults (Individuals) 14 through 24 years of age with Mental Health conditions, particularly those that are disconnected from services or who have no other resources to pay for services.

- (a) The program includes and requires outreach and engagement, brief crisis services, connection of the Individual with community-based supports and services, peer support, clinical and other health related services;
- (b) Programs must serve all Individuals referred to the service, including those with public, private or no insurance; and
- (c) Programs must deliver services in a manner supported by the principles of systems of care, trauma informed care, and positive youth development.
- (d) Programs shall engage communities that have been historically made vulnerable by racism, discrimination and health inequities.

(2) Performance Requirements

(a) Eligible Population:

These Services are considered appropriate when the Individual is not connecting with desired behavioral health and other supports through other, more traditional or generally available means, and needs supplemental or alternative engagement supports. This may include, but are not limited to Individuals 14 through 24 years of age who have been:

- i. Served in Psychiatric Residential Treatment Services, Secure Adolescent Inpatient Programs;
- ii. Chronically involved in state systems of Mental Health care and who are in need of intensive community supports;
- iii. Impacted by a Mental Health diagnosis and/or extreme social distress so that their ability to be successful in age appropriate activities is impaired or has led to interface with the criminal justice system; or
- iv. Disconnected from resources to such an extent that they are unlikely to access Medicaid and privately insured services through an outpatient program.

(b) Provide Clinical, Social, and Residential Services:

These services have no time limit. It is expected that they will be used to help the Individual connect to ongoing, longer-term supports, meet their needs and goals, and support them in moving toward a positive life trajectory. It is preferable that the peer support specialist and the clinical staff meet with the Individual together during the initial contact or soon thereafter. Contacts should be as frequent as is necessary for the goals of the project to occur, but no less than twice a week. Provider shall assist all

Individuals receiving services in accessing and maintaining resources that fit their goals. Such resources may include supported employment, housing, educational support, primary care, psychiatric services, addictions services, navigation of outside supports and services, family mentoring and mediation, and family finding through the use of a family finding service, among others. Setting(s) for service delivery include, but are not limited to emergency departments, crisis centers, provider sites, homes, and community settings. Locations shall be as preferred by the Individual. Using technology and texting as a preferred method of communication with young people is expected and required. Community-based services and supports include, but are not limited to:

- i. Outreach and engagement of groups of youth and young adults placed at increased risk: lesbian, gay, bisexual or transgender (LGBT) youth, young adults with higher risk of suicide, and other young people who have been historically marginalized;
- ii. Recovery oriented, young adult centered planning;
- iii. Creation of social support systems;
- iv. Rapid access to psychiatric and counseling services;
- v. Coaching on rights regarding access to employment, school, housing, and additional resources;
- vi. Access to local teams, including licensed medical professionals (psychiatrists or psychiatric nurse practitioners), clinical case managers, supported employment specialists, and occupational therapists;
- vii. Peer support provided by young adult peers, participatory decision-making;
- viii. Meaningful Individual's engagement in program, community, and leadership activities; and
- ix. Skill development.

(c) Who Can Provide These Services?

Recommended staff, staff expertise, and training:

- i. Providers can be youth or young adult peer support specialists, care coordinators, licensed medical prescribers, Qualified Mental Health Programs (QMHP), mental health therapists, and skills trainers.
- ii. Recommended supplemental trainings includes supplemental peer and clinical training, training in suicide prevention and intervention strategies, and trauma informed care, and be provided with ongoing maintenance of the skills and practice associated with these approaches.
- iii. Familiarity and use of system of care principles, cultural responsiveness, cultural humility, linguistic attunement, trauma informed principles and practices, and the TIP Model located at <http://www.tipstars.org/>, or any other young adults in transition evidence-based or promising practices.

(3) **Reporting Requirements**

See Exhibit, Section 10, “Reporting Requirements for MOTS.”

(4) **Special Reporting Requirements**

County shall prepare and electronically submit, to hsd.contracts@odhsoha.oregon.gov, written quarterly reports no later than 45 calendar days following the end of each subject quarter for which financial assistance is awarded through this Agreement. Reports must be prepared using forms and procedures prescribed by OHA. Forms are located at <http://www.oregon.gov/OHA/HSD/AMH/Pages/Reporting-Requirements.aspx>.
County shall:

- (a) Meet data reporting requirements and deadlines, unless otherwise arranged with OHA;
- (b) Administer the Adult Hope Scale located at <https://ppc.sas.upenn.edu/sites/default/files/hopescale.pdf> as an outcome measurement tool, or provide an alternative measure of a consistent nature to be approved by OHA.

(5) **Financial Assistance Calculation, Disbursement, and Confirmation of Performance and Reporting Requirement Procedures**

See Exhibit D, “Payment, Settlement, and Confirmation Requirements.”

Use Payment and Confirmation language, Section 1.f.(2).

- t. Service Name: **PEER DELIVERED SERVICES (PDS)**
Service ID Code: **MHS 16**

(1) Service Description

Peer Delivered Services MHS 16 will assist the establishment or expansion of Peer Delivered Services (PDS) in a specified geographic area for the period of this Agreement. PDS means an array of County or community-based services and supports provided by peers, Peer Wellness Specialists (PWS), and Peer Support Specialists (PSS), including Family Support Specialists and Youth Support Specialists, to Individuals or family members with similar lived experience and that are designed to support the needs of Individuals and families as applicable.

Peer Support Specialists are experientially credentialed individuals who have successfully engaged in their own or their child's recovery and demonstrate the core competencies for Peer Support Specialists as defined by OHA's administrative rules, Traditional Health Worker Commission, and the Office of Equity and Inclusion, ORS 414.635 through 414.665, OAR 410-180, and OAR 309-019-0130 PSS and PWS shall deliver PDS, under the supervision of a qualified Clinical Supervisor, and are listed on the Traditional Worker Registry to provide services for that identified consumer population, as found at <https://traditionalhealthworkerregistry.oregon.gov>.

(2) Performance Requirements

County shall use the funds awarded through this Agreement for MHS 16 to implement PDS in a manner that:

- (a) Benefits Individuals with mental health conditions;
- (b) Increases the number of Individuals certified to provide PDS;
- (c) Requires that PDS work assignments are relevant to individuals Traditional Health Worker's certification;
- (d) Program staff providing direct services shall receive clinical supervision by a qualified clinical supervisor related to the development, implementation, and outcome of services;
- (e) Supervision shall be provided to assist program staff to increase their skills within their scope of practice, improve quality of services to Individuals, and supervise program staff and volunteers' compliance with program policies and procedures; and
- (f) For persons providing direct PDS, one of the two hours of required supervision shall be provided by a qualified Peer Delivered Services Supervisor as resources are made available.

(3) Reporting Requirements

None

(4) Special Reporting Requirements

County shall prepare and electronically submit, to hsd.contracts@odhsoha.oregon.gov, written quarterly reports no later than 45 calendar days following the end of each subject quarter during the period for which

financial assistance is awarded through this Agreement. Reports must be prepared using forms and procedures prescribed by OHA. Forms are located at <http://www.oregon.gov/OHA/HSD/AMH/Pages/Reporting-Requirements.aspx>. and include the following information:

- (a) Amount of funds spent as of the end of the reporting period;
- (b) Description of PDS implementation progress, technical assistance needs, and any relevant implementation challenges;
- (c) Number of Individuals with mental health conditions who were trained as PSS or PWS during the reporting period;
- (d) Number of Individuals with mental health conditions who received PDS during the reporting period; and
- (e) Outcome measures to include:
 - i. Shortened psychiatric and addiction related hospital stays or reduced admissions to the emergency department due to psychiatric crisis;
 - ii. Improved ability to work towards recovery or establish a recovery plan;
 - iii. Reduced crisis events;
 - iv. Improved quality of life as identified by the Individuals receiving Services;
 - v. Increased ability to advocate for themselves or, in the case of youth, increased ability for youth and their families to advocate for themselves and their family;
 - vi. Increase in a social support system;
 - vii. Work and education status maintenance or improvement for adults;
 - viii. School attendance and academic improvement for youth; and
 - ix. Number of out-of-home placements in the past 90 calendar days.

(5) **Financial Assistance Calculation, Disbursement, and Confirmation of Performance and Reporting Requirements Procedures**

See Exhibit D, "Payment, Settlement, and Confirmation Requirements."

Use Payment and Confirmation language, Section 1.f.(2).

- u. Service Name: **Non-OHP Community and Residential Assistance**
Service ID Code: **MHS 17**

(1) **Service Description**

- (a) Providers need flexibility when submitting invoices for services provided under a variety of different service elements.

OHA has consolidated the invoiceable services, paid from Part C funds, from multiple service elements into MHS 17. This flexibility allows us to use funding provided by MHS 17 and reduce the number of agreement amendments issued to transfer funds from one service element to another. The MHS 17 funding is allocated as a single pool that is used to pay for the invoiceable services described in the Service Elements listed below.

These Service Elements and the invoiceable service components for each are referenced by title and exist in detail in ‘Exhibit B-1, Service Descriptions’:

- i. **MHS 26 – NON-RESIDENTIAL MENTAL HEALTH SERVICES FOR YOUTH & YOUNG ADULTS IN TRANSITION**
- ii. **MHS 27 – RESIDENTIAL MENTAL HEALTH TREATMENT SERVICES FOR YOUTH & YOUNG ADULTS IN TRANSITION**
- iii. **MHS 28 – RESIDENTIAL TREATMENT SERVICES**
- iv. **MHS 30 – MONITORING, SECURITY, AND SUPERVISION SERVICES FOR INDIVIDUALS UNDER THE JURISDICTION OF THE ADULT AND JUVENILE PANELS OF THE PSYCHIATRIC SECURITY REVIEW BOARD**
- v. **MHS 34 – ADULT FOSTER CARE SERVICES**
- vi. **MHS 36 – PRE-ADMISSION SCREENING AND RESIDENT REVIEW SERVICES (PASRR)**

Within the above Service Elements, any **Specialized Requests** for management of physical or health problems, including, but not limited to, seizures, incontinency, diabetes, and pain management require a Prior Authorization from OHA, using the Intensive Services Request Form located at <https://www.oregon.gov/OHA/HSD/OHP/Pages/MH-Rates.aspx>.

(b) **Authorization, Monitoring, and Review**

- i. For Services to non-Medicaid-eligible Individuals indicated in Exhibit B-1, County shall attach a copy of the bill or receipt, for the item or Service, to a combined monthly invoice, itemized by Individual. Part C funding for Psychiatric Security Review Board (PSRB) non-medically approved Services are only for the period shown and do not carry forward into following years’ allotments.
- ii. Funding for Specialized Requests, (1)(g) above, will follow a process to assure **necessity of services** required by an Individual in exceptional need, that would not fit within the Intensive Services

Requests of the Rate Review Committee (RRC), with the following structure:

- A. A proposal is then reviewed by a minimum of two clinicians to assure initial **necessity of services** considering the current circumstances, history of interventions, limits of current resources and potential plans for stabilization.
- B. If there is sufficient initial necessity, then the proposal will be reviewed by the RRC to determine a recommendation of approval or denial.
- C. If approved, the Specialized Request will follow the same process indicated in (2)(a), “Authorization, Monitoring and Review.”

iii. If denied, the Requestor will be notified in writing with rationale determined by the RRC.

(2) **Performance Requirements**

Providers submitting invoices for payment under any of the Service Elements identified in Section (1) above must meet the conditions shown in the specific Service Element in Exhibit B-1 to receive prompt and complete payment of invoices.

(3) **Reporting Requirements**

See Exhibit E, Section 10, “Reporting Requirements for MOTS.”

(4) **Special Reporting Requirements**

See Exhibit B-1 for the specific service element(s) requirements.

(5) **Financial Assistance Calculation, Disbursement, and Agreement Settlement Procedures**

See Exhibit D, “Payment, Settlement, and Confirmation Requirements.”

Use Payment and Settlement language, for the specific Service Element(s) requirements, in Section 1.f.(1).

- v. Service Name: **NON-RESIDENTIAL MENTAL HEALTH SERVICES FOR ADULTS**
- Service ID Code: **MHS 20**

(1) Service Description

(a) Definition(s):

DSM-5 means The Diagnostic and Statistical Manual of Mental Disorders, Fifth Edition (or DSM-V), incorporated by reference herein, and is the 2013 update to the American Psychiatric Association's (APA's) classification and diagnostic tool. The DSM-5 serves as a universal authority for psychiatric diagnosis.

(b) MHS 20 Services are:

- i.** Services delivered to Individuals diagnosed with serious mental illness or other mental or emotional disturbance posing a danger to the health and safety of themselves or others.
- ii.** Community based services that shall include one or more of the following:
 - A.** Use of standardized protocols and tools to identify the level of service need and intensity of care and coordination, addressing salient characteristics such as age, culture, and language;
 - B.** Apply OHA approved, standardized level of care tools for Individuals diagnosed with serious and persistent mental illness at intervals prescribed by OHA;
 - C.** Condition management and whole person approach to single or multiple conditions based on goals and needs identified by the Individual;
 - D.** General outpatient services including, but not limited to, care coordination and case management;
 - E.** Medication and medication monitoring;
 - F.** Meaningful Individual and family involvement;
 - G.** Rehabilitation services including Individual, family and group counseling;
 - H.** Coordinate and facilitate access to appropriate housing services and community supports in the Individual's community of choice, including rent subsidy; and
 - I.** Other services and supports as needed for Individuals at the sole discretion of OHA.
- iii.** Services County shall provide, but is not limited to:
 - A.** Outreach: Partner with healthcare providers and other social service partners who provide screening for the presence of

behavioral health conditions to facilitate access to appropriate services;

- B.** Early Identification and Screening: Conduct periodic and systematic methods that identify Individuals with behavioral health conditions and potential physical health consequences of behavioral health conditions which consider epidemiological and community factors, as identified in the most recently submitted and approved Local Plan; and
- C.** Initiation and Engagement: Promote initiation and engagement of Individuals receiving services and supports, which may include but are not limited to:
 - I.** Brief motivational counseling; and
 - II.** Supportive services to facilitate participation in ongoing treatment.

(2) Performance Requirements

County shall:

- (a)** Provide coordination of care services for Individuals living in residential treatment programs. The coordination of care shall include participation in the residential Provider’s treatment planning process and in planning for the Individual’s transition to outpatient services;
- (b)** Comply with Outpatient Services, as described in OAR 309-019-0100 through 309-019-0220, and Community Treatment and Supports, as described in OAR 309-032-0301 through 309-032-0890, as such rules may be revised from time to time; and
- (c)** Maintain a Certificate of Approval for the delivery of clinical services in accordance with OAR 309-008-0100 through OAR 309-008-1600, as such rules may be revised from time to time.

(3) Reporting Requirements

See Exhibit E, Section 10, “Reporting Requirements for MOTS.”

(4) Special Reporting Requirements

None

(5) Financial Assistance Calculation, Disbursement, and Confirmation of Performance and Reporting Requirements Procedures

See Exhibit D, “Payment, Settlement, and Confirmation Requirements.”

Use Payment and Confirmation language, Section 1.f.(2). In addition:

w. **Service Name:** CIVIL COMMITMENT SERVICES

Service ID Code: MHS 24

(1) Service Description

The civil commitment process is intended to provide care and treatment to Individuals who, because of a mental disorder, are alleged to be or have been determined to be dangerous to themselves or others, or unable to provide for their basic needs.

The County is responsible for certain pre-civil commitment actions under ORS chapter 426, such as prehearing commitment investigation, discharge planning and notice requirements. OHA has also delegated the responsibility for the assignment and placement of civilly committed Individuals to the County under this Agreement and OAR 309-033-0290.

The goal of MHS 24 Services is to divert Individuals from civil commitment, provide Services in community-based settings outside of the state hospital, community hospitals or other secure settings, and to support Individuals in their progress towards stabilization and community-based outpatient Services.

(a) Eligibility for Services

County shall provide MHS 24 Services to Individuals, who are 18 years or older, and who:

- i. Require emergency hold services under ORS 426.232 and ORS 426.233, or are being held on a warrant of detention pending a civil commitment hearing under ORS 426.070;
- ii. Are alleged to be a person with a mental illness and may be diverted from civil commitment;
- iii. Are currently committed to OHA under ORS 426.130 or recommitted to OHA under ORS 426.307;
- iv. Are diverted through the civil commitment process to voluntary treatment, conditional release, outpatient commitment, and assisted outpatient treatment as described in ORS 426.125 through ORS 426.133;
- v. Are not currently civilly committed or have civil commitment proceedings pending, but have been:
 - A. Civilly committed under ORS 426.130 more than once, recommitted under ORS 426.307, held on two or more emergency holds under ORS 426.232 or 426.233 in the last year that did not result in a civil commitment, or held on two or more warrants of detention under ORS 426.070 in the last year that did not result in a civil commitment; and
 - B. Require continuing Services to prevent hospitalization and posing a danger to themselves or others; or
 - C. Require continuing Services to maintain stability and learn skills needed to be placed in a more integrated community setting; and

D. Had their civil commitment end within the past 12 months.

(2) **Performance Requirements**

- (a) When providing Services under this Service Element, County shall:
- i. Comply with all applicable statutes and rules, including but not limited to ORS chapters 426 and 430 generally, ORS 430.630(3)-(4), ORS 426.241(5), and OAR chapter 309, divisions 8, 14, 15, 19, 32 and 33, which may be revised from time to time;
 - ii. Ensure that the County, to the extent it provides direct Services, and its Providers (including but not limited to community hospitals, secure residential treatment facilities, residential treatment facilities, residential homes, outpatient services or other providers):
 - iii. Comply with all applicable statutes and administrative rules, including but not limited to OAR 309-035-0100 through 309-035-0225, as such rules may be revised from time to time;
 - iv. Comply with and maintain any certifications or licenses required to operate or provide Services;
 - v. Provide any required secure transportation by an approved Provider in compliance with OAR chapter 309, division 32; and 33, as such rules may be revised from time to time; and
 - vi. Submit required information to OHA electronically through the Oregon Patient and Resident Care System (OP/RCS) or its replacement, within 12 hours of an Individual's admission to and discharge from placement at a hospital, residential facility, or residential home, in order to receive MHS 24 Services.
- (b) Assist all eligible and interested Individuals with applying for public assistance, medical assistance, and any other state or federal benefits that the individual may be eligible for now or upon discharge from institutionalization;
- (c) Investigate and Report allegations of abuse regarding Individuals and provide protective services to those Individuals to prevent further abuse. The investigation, reporting, and protective services must be completed in compliance with ORS 430.768 and OAR chapter 407, division 45, as such statutes and rules may be revised from time to time;
- (d) Provide payment for MHS 24 Services provided to Individuals, who are uninsured, underinsured, not eligible for Medicaid, or have exhausted Medicaid services, including those who meet the criteria for Citizen Alien Waived Medical Program;
- (e) Coordinate with any third-party payors, including but not limited to coordinated care organizations, for the payment of MHS 24 Services covered for the Individual under private insurance or through public or medical assistance programs; and
- (f) Contract with Providers to meet the MHS 24 Services needs of eligible Individuals in the County's service area.
- (g) **Pre-Commitment Service Requirements**

County shall provide pre-commitment Services to Individuals described in Subsection a.(1)(a)i.-ii. of MHS 24, including but not limited to:

- i. Provide notice as required under ORS 426.070, ORS 426.233, ORS 426.234, and ORS 426.235;
- ii. Have a certified mental health investigator conduct a prehearing investigation, within applicable statutory timeframes, pursuant to ORS 426.070, ORS 426.074, ORS 426.200 and OAR 309-033-0920 through OAR 309-033-0940;
- iii. Submit a recommendation, based on the prehearing investigation report, to the court under ORS 426.070;
- iv. Provide an investigation report as required under ORS 426.070;
- v. Assign and place a person, under a warrant of detention, at a hospital or nonhospital facility, approved by OHA, in accordance with ORS 426.070 and OAR chapter 309, division 33;
- vi. Initiate civil commitment proceedings as required in ORS 426.180(6);
- vii. Provide reports as required under ORS 426.228 for emergency holds;
- viii. Assign and direct the placement or transfer of an Individual, who is on an emergency hold, to a hospital or nonhospital facility, approved by OHA, in accordance with ORS chapter 426 and OAR chapter 309, division 33;
- ix. Provide transportation for an Individual on an emergency hold under ORS 426.233; and
- x. In providing recommendations, treatment service planning, and discharge planning, ensure that Individuals:
 - A. Are recommended for Services in the least restrictive, most integrated setting appropriate to meet the Individual's behavioral health needs;
 - B. Are diverted from placement at the state hospital, community hospitals, and secure residential treatment facilities, whenever possible; and
 - C. Are considered for diversion through voluntary treatment, conditional release, outpatient commitment, and assisted outpatient treatment, as described in ORS 426.125 through ORS 426.133.

(h) Placement During Commitment Requirements

County shall assign and direct the placement of Individuals described in Subsection a.(1)(a)iii. of MHS 24, to an appropriate Provider in accordance with ORS chapter 426 and OAR chapter 309, division 33, and provide the following:

- i. Develop a treatment service plan for Individual in the least restrictive, most integrated setting appropriate to meet the

Individual's behavioral health needs, preferences, choices and strengths;

- ii. Identify an appropriate Provider that is able to meet the Individual's behavioral health needs and willing to provide that care, treatment and Services to the Individual;
- iii. Ensure MHS 24 Services are provided in the least restrictive and most integrated setting appropriate to meet the Individual's behavioral health needs;
- iv. Divert the Individual from placement at a state hospital, community hospital or secure residential treatment facility, whenever possible;
- v. Obtain any necessary approvals from the Provider to allow admission, if it is a residential or state hospital placement;
- vi. Continue to send referrals to Providers until the Individual is placed at or is receiving appropriate Services;
- vii. Assign and direct the placement of that the Individual to an appropriate Provider with the Provider's agreement;
- viii. Issue a written assignment order immediately upon the commitment of the Individual by the court under ORS 426.130 or recommitment under ORS 426.307, and at any time the committed Individual is transferred to another Provider during the commitment period; and
- ix. Submit a copy of all written assignment orders to OHA as required by rule;
 - A. Monitor the Individual's progress in their treatment service plan and current placement, and identify when the Individual may be transferred to a lower level of care;
 - B. Ensure discharge planning continues throughout the Individual's civil commitment placement with the goal of moving the Individual to the lowest level of care that will maintain long term their mental and physical health; and
 - C. File a written certificate discharging the Individual early from civil commitment pursuant to ORS 426.300 with the last committing court and the court of residence, if the County determines that the Individual is no longer a person with mental illness or that the transfer of the Individual to a voluntary status is in the Individual's best interest.

(i) **Behavioral Health Service Requirements**

For Individuals described in Subsection a.(1)(a)iv.-v. of MHS 24, County shall provide:

- i. Care Coordination to facilitate the Individual's access to Services in the least restrictive, most integrated setting appropriate to meet the Individual's behavioral health needs, strengths and to the extent possible consistent with the Individual preferences and choices, including:

- A. Facilitate communication between the Individual, family, natural supports, community resources, Providers, DHS (if eligible for Aging and People with Disabilities (APD) or Intellectual and Developmental Disabilities (I/DD) services), and the courts (if applicable);
 - B. Serve as a Single Point of Contact (SPOC) for all referrals from OSH to Assertive Community Treatment, as described in OAR 309-019-0225(25) (Definition of SPOC), in ACT Admission Process, as described in OAR 309-019-0248; and
 - C. Collaborate with the DHS, APD and I/DD Divisions to support the Behavioral Health Treatment Service needs of Individuals determined service-eligible for APD or I/DD.
- ii. Stabilization, Maintenance and Preventative Services, including:
- A. Develop a treatment service plan for the Individual in the least restrictive, most integrated setting appropriate to meet the Individual's behavioral health needs, preferences, choices and strengths;
 - B. Identify appropriate Providers that are able to meet the Individual's behavioral health needs and willing to provide that care, treatment and Services to the Individual;
 - C. Monitor the Individual's progress in their treatment service plan, and identify when the Individual may receive Services in a lower level of care or lower level of court intervention (if applicable);
 - D. Ensure treatment service planning continues throughout the Individual's receipt of MHS 24 Services with the goal of the Individual receiving Services in the lowest level of care and at the lowest level of court intervention that will maintain their mental and physical health long term;
 - E. Provide crisis stabilization services, such as accessing psychiatric, medical, or qualified professional intervention to protect the health and safety of the Individual and others;
 - F. Provide timely, appropriate access to crisis intervention to prevent or reduce acute emotional distress, which might necessitate psychiatric hospitalization;
 - G. Assist the Individual with money management, when requested by an Individual, to include accurate documentation of all funds deposited and withdrawn when funds are held in trust for the Individual;
 - H. Assist with or arrange for the supervision of the Individual's daily living activities and life skills (if appropriate), such as training in nutritional wellness, personal hygiene, clothing care and grooming, communication with social skills, health care, household management, and using community

resources to support increasing independence and preparation for living in the most integrated community environment;

- I.** Provide for or arrange for the care of the Individual, including the assumption of responsibility for the safety and well-being of the Individual;
 - J.** If the Individual is placed in a residential setting, ensure the Provider is providing a safe environment for the Individual;
 - K.** Provide for or arrange for the administration and supervision of prescribed and non-prescribed medication(s);
 - L.** Provide or arrange for routine and emergency transportation;
 - M.** Provide for or arrange for the management of aggressive or self-destructive behavior;
 - N.** Provide for or arrange for the management of any specialized diet for the Individual, prescribed by a physician, requiring extra effort or expense in preparation of food;
 - O.** Provide for or arrange for the management of the Individual's physical or health problems including, but not limited to, seizures, incontinency, diabetes, and pain management;
 - P.** Provide financial assistance for behavioral health services, as described in OAR 410-172-0630;
 - Q.** Provide financial assistance for individual services and activities, as described in OAR 309-035-0200, including but not limited to the:
 - I.** Provision of adequate shelter;
 - II.** Assistance with acquiring skills to live as independently as possible; and
 - III.** Assistance with accessing other additional services, as needed;
 - R.** Provide a transitional treatment plan for Individuals when they are no longer receiving Services;
 - S.** Provide interpretive services as needed;
 - T.** Provide notice to the Individual of any admission decisions for residential care in accordance with OAR 309-035-0163(11); and
 - U.** Provide any clinical records and contact information to OHA and its designees for oversight and coordination purposes upon request;
- iii.** Services to Remove Barriers to Community-Based Care when consistent with the Individual's treatment service plan, including, but are not limited to:
- A.** Room and board payments;

- B. Rental assistance, security deposits, and application fees;
- C. Utility payments and deposits;
- D. Prescription or over-the-counter medications and medical supplies not covered by Medicaid or other sources;
- E. Transportation;
- F. Activities to facilitate the securing of guardianship Services, including but not limited to:
 - I. Paying the costs of:
 - (A) Court hearings to determine the necessity, continuation, or termination of a guardianship; and
 - (B) Guardianship Services to make decisions related to overseeing the care and supervision of an Individual; and
 - II. If guardianship is expected to continue beyond a transitional period of time (6 months or less), then other payment options should be sought in order to maintain guardianship Services; and
- G. Activities to facilitate the securing of representative payee services.

(3) **Reporting Requirements**

Reports must be prepared using forms and procedures prescribed by OHA. Forms are located at <http://www.oregon.gov/OHA/HSD/AMH/Pages/Reporting-Requirements.aspx>. County shall submit electronically, to hsd.contracts@odhsoha.oregon.gov, an annual accounting report of financial assistance within 45 calendar days from the end of the contract year.

See Exhibit E, Section 10, “Reporting Requirements for MOTS.”

(4) **Special Reporting Requirements**

If County has authorized or anticipates authorizing delivery of MHS 24 Services to an Individual and wishes to reserve MHS 24 Service capacity as defined in OAR 309-011-0115(3), up to a maximum of 30 calendar days for that Individual while the Individual is not actually receiving MHS 24 Services, County shall submit a written Reserved Service Capacity Payment (RSCP) request and a CAR to OHA under OAR 309-011-0105 through 309-011-0115. If OHA approves the RSCP request and the CAR for a non-Medicaid-eligible Individual, OHA and County shall execute an amendment to the Financial Assistance Award to reduce residential funding, and add funds necessary to make the approved disbursements to reserve the service capacity. If the Individual is Medicaid-eligible, OHA and County shall execute an amendment to the Financial Assistance Award to add funds necessary to make the approved disbursements to reserve the service capacity. OHA shall have no obligation to make the disbursements unless and until the Financial Assistance Award has been so amended.

(5) **Financial Assistance Calculation, Disbursement Procedures, and Confirmation of Performance and Reporting Requirements:**

(a) **Payment**

See Exhibit D, “Payment, Settlement, and Confirmation Requirements.”
Use Payment and Confirmation language, Section 1.f.(2).

(b) **Disbursement of Financial Assistance:**

Invoices shall be submitted electronically, to hsd.contracts@odhsoha.oregon.gov, with the subject line “Invoice, contract #(your contract number), contractor’s name” on an OHA approved invoice, and at the level of detail prescribed by OHA no later than 60 calendar days after the Individual’s last date of Services. All payments made to County under this Agreement are subject to recovery by OHA as follows:

- i. If an audit of the Services rendered by County under this Agreement, whether directly or through subcontract(s), results in a refund to or disallowance by the federal government of payment made to County under this Agreement, OHA may recover from County the amount of the refund or disallowance and any applicable OHA matching funds.
- ii. If County expends funds awarded to County under this Agreement for unauthorized expenditures, OHA may recover from County the full amount of unauthorized expenditures.
- iii. In the event funds awarded to County under this Agreement are subject to recovery as described above, OHA may, at its option, upon written notice to County:
 - A. Offset the amount subject to recovery against other funds due County from OHA under this Agreement or otherwise; or
 - B. Demand that County pay to OHA the amount subject to recovery, in which case County shall immediately pay said amount to OHA. Nothing in this section will affect OHA’s right to terminate this Agreement as set forth in Exhibit G, “Standard Terms and Conditions,” or any remedies otherwise available to OHA as a result of the termination of this Agreement.
- iv. Upon 30 calendar days advance written notice to County, OHA may withhold financial assistance otherwise due County under this Agreement if County fails to submit required reports when due or fails to perform or document the performance of Services under this Agreement. Immediately upon written notice to County, OHA may withhold financial assistance if County or its Provider(s) no longer holds all licenses, certificates, letters of approval, or certificate of approval that are required to perform the Services. Withholding of financial assistance may continue until County submits the required reports or performs the required Services. Nothing in this section will affect OHA’s right to terminate this Agreement as set forth in Page 341 Exhibit G, “Standard Terms and Conditions,” or any remedies

otherwise available to OHA as a result of the termination of this Agreement.

- v. OHA will not provide financial assistance in excess of the maximum compensation amount set forth in this Agreement. If this maximum compensation amount is increased by amendment of this Agreement, the amendment must be fully effective before County or its Provider(s) performs Services subject to the amendment. No financial assistance will be provided for any Services performed before the beginning date or after the expiration date of this Agreement, as it may be amended from time to time in accordance with its terms.

- x. Service Name: **MOBILE CRISIS INTERVENTION SERVICES**
Service ID Code: **MHS 25**

(1) Service Description

(a) Overview:

Mobile Crisis Intervention Services (MCIS) are services delivered in person, by the County through its' Community Mental Health Programs (CMHP), to Individuals experiencing a behavioral health crisis, regardless of age or insurance type. Services shall be provided to Individuals in community-based settings, 24 hours a day, seven days a week, every day of the year.

The goal of MCIS is to provide a community-based alternative to individuals experiencing a behavioral health crisis, in accordance with OAR 309-072-0140 (4) and OAR 309-072-0140 (10). MCIS are provided in the community at times and locations that are convenient to the Individual and their family. Services and supports are provided by staff trained in crisis response, in a trauma-informed manner. Individuals can receive the services and supports that they need in a timely manner. MCIS is focused on early intervention and crisis de-escalation, with a focus on diverting unnecessary trips to the emergency department, hospitalizations, child welfare involvement, juvenile justice or arrests, and providing services and supports to the individual in the least restrictive environment necessary.

Mobile Crisis Intervention Team (MCIT) will work with the Individual in crisis and their family, when applicable, to attempt to address and deescalate the current crisis. MCIT will attempt to screen each Individual for risk of harm to self and others and work with the Individual to identify additional services and supports to meet the needs of the Individual in crisis and actively connect the Individual directly to services and supports whenever possible.

All MCITs shall provide services and supports in accordance with OAR 309-072-0100 to 309-072-0160.

Crisis line services shall be provided in accordance with OAR 309-019-0300.

County will contact OHA, as soon as possible, upon identification, when there are known Service Elements or OARs that are not being met. A Plan of Action must be submitted, in writing to OHA, which outlines the steps to be taken to address the areas of concern and includes a timeline for resolution.

(b) In the event of a Disaster Declaration: provide disaster response, crisis counseling services to include:

i. Responding to local disaster events by:

- A. Providing Crisis counseling and critical incident stress debriefing to disaster victims; police, firefighters and other "first-responders"; disaster relief shelters; and the community-at-large.**

B. Coordinating crisis counseling services with County Emergency Operations Manager (CEOM); and providing crisis counseling and stress management services to Emergency Operations Center staff according to agreements established between the County and CEOM.

- ii. Assisting County's in the provision of these services as part of a mutual aid agreement; and
- iii. For the purpose of responding to a specified local disaster event, payment may be made through an amendment to the Financial Assistance Agreement for these services.

(2) **Performance Requirements**

- (a) County shall maintain a Certificate of Approval for MCIS OAR 309, Division 008 (309-008-0100 – 309-008-1600) Health Treatment Services OAR 309, Division 008 (309-008-0100 – 309-008-1600) Certification of Behavioral Health Treatment Services AR 309, Division 008 (309-008-0100 – 309-008-1600) Certification of Behavioral Health Treatment Services.
- (b) County shall comply with OAR 309-072-0100 to 309-072-0160 as such rules may be revised from time to time.

(3) **Reporting Requirements**

None.

(4) **Special Reporting Requirements**

- (a) Forms are located at <http://www.oregon.gov/OHA/HSD/AMH/Pages/Reporting-Requirements.aspx>.
- (b) County must collect and submit data in accordance with the OHA approved data collection process monthly.
- (c) County agrees to work directly with OHA approved contractor to submit the required data in a timely manner. The OHA approved contractor is responsible for analyzing the provided data and developing quarterly reports.
- (d) County is responsible for reviewing and approving the quarterly reports generated by the OHA approved contractor.
- (e) OHA approved contractor shall submit the quarterly report to OHA via HSD.Contracts@odhsoha.oregon.gov, on behalf of the County, no later than 45 calendar days following the end of each quarter.

(5) **Financial Assistance Calculation, Disbursement, and Confirmation of Performance and Reporting Requirements Procedures**

See Exhibit D, "Payment, Settlement, and Confirmation Requirements".

Use Payment and Settlement language, Section 1.f.(1).

y. **Service Name:** **NON-RESIDENTIAL MENTAL HEALTH SERVICES FOR YOUTH & YOUNG ADULTS IN TRANSITION**

Service ID Code: **MHS 26**

(1) Service Description

Non-Residential Mental Health Services for Youth & Young Adults in Transition (MHS 26 Services) are Mental Health Services delivered to Individuals through 25 years of age who are under the jurisdiction of the Juvenile Panel of the Psychiatric Security Review Board (JPSRB) or are considered Young Adults in Transition (YAT), as specified in Exhibit C, "Financial Assistance Award," and have behavioral health needs posing a danger to the health and safety of themselves or others. The purpose of MHS 26 Services is to provide mental health services in community settings that reduce or ameliorate the disabling effects of behavioral health needs. Services shall be trauma informed, culturally and linguistically responsive and work to reduce the impacts of adverse childhood and traumatic experiences. Non-Residential Mental Health Services for Youth & Young Adults in Transition can include:

- (a) Care coordination and residential case management services;
- (b) Vocational and social services;
- (c) Rehabilitation;
- (d) Support to obtain and maintain housing (non-JPSRB only);
- (e) Abuse investigation and reporting;
- (f) Medication (non-JPSRB only) and medication monitoring;
- (g) Skills training;
- (h) Mentoring;
- (i) Peer support services;
- (j) Emotional support;
- (k) Occupational therapy;
- (l) Recreation;
- (m) Supported employment;
- (n) Supported education;
- (o) Secure transportation (non-JPSRB only);
- (p) Individual, family and group counseling and therapy;
- (q) Rent Subsidy (non-JPSRB only); and
- (r) Other services as needed for Individuals, at the sole discretion of OHA.

(2) Performance Requirements

- (a) Services to Individuals through 25 years of age under the jurisdiction of the JPSRB or are considered Young Adults in Transition (YAT) must be delivered with the least possible disruption to positive relationships and must incorporate the following:

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- i.** The rapport between professional and Individual will be given as much of an emphasis in Service planning as other case management approaches;
 - ii.** Services will be coordinated with applicable adjunct programs serving both children and adults, so as to facilitate smoother transitions and improved integration of Services and supports across both adolescent and adult systems;
 - iii.** When youth and young adults identify as a member of an Oregon Tribe or as an American Indian/Alaska Native (AI/AN) services will be culturally responsive and coordinated with their Tribe or the Urban Indian Health Program;
 - iv.** Services will be engaging and relevant to youth and young adults;
 - v.** Services will accommodate the critical role of peers and friends;
 - vi.** The treatment plan will include a safety component to require that identity development challenges and boundary issues are not cause for discontinuing Service;
 - vii.** The “Service Plan” will include a specific section addressing Services and supports unique to the developmental progress of Youth and Young Adults in Transition including school completion, employment, independent living skills, budgeting, finding a home, making friends, parenting and family planning, and delinquency prevention;
 - viii.** The OHA Young Adult Service Delivery Team or its designee shall provide direction to Provider regarding Services to be delivered to the youth or young adult; and
 - ix.** Secured transportation services under the “Service Description” section for MHS 26 Services will be approved by OHA on a case by case basis.
- (b)** Required non-JPSRB Services that are not otherwise covered by another resource will be funded at the Medicaid Fee Schedule rate as a basis for disbursement purposes. Disbursements will be made by invoice in accordance with the “Financial Assistance Calculation, Disbursement, and Agreement Settlement Procedures” section below. Approved Services may include one or more of the following:
- i.** Additional staffing;
 - ii.** Transportation;
 - iii.** Interpreter services;
 - iv.** Medical services and medications;
 - v.** Rental assistance, room and board, and personal incidental funds; or
 - vi.** Non-medically approved services including, but not limited to, assessment, evaluation, outpatient treatment, and polygraph.

(3) **Reporting Requirements**

See Exhibit E, Section 10, “Reporting Requirements for MOTS.”

(4) **Special Reporting Requirements**

County shall prepare and electronically submit, to hsd.contracts@odhsoha.oregon.gov, written quarterly reports, no later than 45 calendar days following the end of each subject quarter for which financial assistance is awarded through this Agreement. Reports must be prepared using forms and procedures prescribed by OHA. Forms are located at <http://www.oregon.gov/OHA/HSD/AMH/Pages/Reporting-Requirements.aspx>.

There shall be a report from each Young Adult Residential Treatment Program providing Services under this Agreement within the County (or one report that breaks out each separate entity) for data subject to that specific quarter. Each report shall include the following components:

- (a) Number admitted;
- (b) Number discharged;
- (c) Demographic information for discharges;
- (d) Program Strengths;
- (e) Program Challenges; and
- (f) Success Story.

In addition, all programs for which financial assistance is awarded through this Agreement shall administer the Adult Hope Scale, located at <https://ppc.sas.upenn.edu/sites/default/files/hopescale.pdf>, to each Individual and include the results on the quarterly report. Counties providing both MHS 26 and MHS 27 Services need only provide one report for both Services.

(5) **Financial Assistance Calculation, Disbursement, and Confirmation of Performance and Reporting Requirements Procedures**

See Exhibit D, “Payment, Settlement, and Confirmation Requirements.”

Use Payment and Confirmation language, Section 1.f.(2).

z. Service Name: **RESIDENTIAL MENTAL HEALTH TREATMENT SERVICES FOR YOUTH & YOUNG ADULTS IN TRANSITION**

Service ID Code: **MHS 27**

(1) Service Description

- (a)** Residential Mental Health Treatment Services for Youth & Young Adults in Transition (MHS 27 Services) are mental health Services delivered to Individuals 17 through 24 years of age in a group residential setting to enable the Individual to acquire sufficient stability and connectivity to the community to enable them to live as independently as they choose. These are Individuals who are under the jurisdiction of the Juvenile Panel of the Psychiatric Security Review Board (JPSRB) or are considered Young Adults in Transition (YAT), and are transitioning from an institutional setting, or in need of a structured and supportive transitional living environment. This includes Individuals without insurance or those who are under-insured. Programs are expected to maximize this funding to enhance an Individuals' likelihood of living independently in the community through the provision of the Services listed in MHS 27. Services shall be trauma informed, culturally and linguistically responsive and work to reduce the impacts of adverse childhood and traumatic experiences.
- (b)** Individuals eligible for these Services are those that the OHA's Young Adult Coordinator or designee determines are unable to live independently at the time of the referral, without supervised intervention, training, or support.
- (c)** Services are delivered on a 24-hour basis to Individuals with mental or emotional disorders who have been hospitalized or are at immediate risk of hospitalization, who need continuing services to avoid hospitalization, or who are a danger to themselves or others, or who otherwise require transitional care to remain in the community.
- (d)** These Services have no timeline. It is expected that they will be used to help the Individual connect to ongoing, longer-term supports, meet their needs and goals, and support them in moving toward a positive life trajectory.
- (e)** It is preferable that the peer support specialist and the clinical staff meet with the Individual together during the initial contact, or soon thereafter. Contacts should be as frequent as is necessary for the goals of the project to occur, but no less than twice per week.
- (f)** MHS 27 Services shall be delivered in appropriately licensed and certified programs or facilities and include, but are not limited to, the following:
 - i.** Crisis stabilization services, such as accessing psychiatric, medical, or qualified professional intervention to protect the health and safety of the Individual and others;
 - ii.** Timely, appropriate access to crisis intervention to prevent or reduce acute, emotional distress, which might necessitate psychiatric hospitalization;
 - iii.** Money and household management;

- iv. Supervision of daily living activities such as skill development focused on nutrition, personal hygiene, clothing care and grooming, and communication skills for social, health care, and community resources interactions;
- v. Provision of care including the assumption of responsibility for the safety and well-being of the Individual;
- vi. Administration, supervision, and monitoring of prescribed and non-prescribed medication and client education on medication awareness;
- vii. Provision or arrangement of routine and emergency transportation;
- viii. Developing skills to self-manage emotions;
- ix. Management of a diet, prescribed by a physician, requiring extra effort or expense in preparation of food;
- x. Management of physical or health problems including, but not limited to, diabetes and eating disorders;
- xi. Skills training;
- xii. Mentoring, peer delivered services, and peer support services;
- xiii. Positive use of leisure time and recreational activities;
- xiv. Supported education;
- xv. Supported employment;
- xvi. Occupational therapy; and
- xvii. Recreation.

(2) Performance Requirements

- (a) Services to Individuals through 24 years of age under the jurisdiction of the JPSPRB or are considered Youth & Young Adults in Transition shall be delivered with the least possible disruption to positive relationships and shall incorporate the following principles and practices:
 - i. The rapport between professional and Individual will be given as much of an emphasis in Service planning as other case management approaches;
 - ii. Services will be coordinated with applicable adjunct programs serving both children and adults so as to facilitate smoother transitions and improved integration of Services and supports across both adolescent and adult systems;
 - iii. When Individuals identify as members of an Oregon Tribe or as American Indians/Alaskan Natives (AI/AN), services will be culturally responsive and coordinated with their Tribe or the Urban Indian Health Program.
 - iv. Services will be engaging and relevant to Youth & Young Adults in Transition;
 - v. Services will accommodate the critical role of peers and friends;

- vi. The individual service and support plan will include a safety component to require that identity development challenges and boundary issues are not cause for discontinuing Service;
- vii. The individual service and support plan will include a specific section addressing Services and supports unique to the developmental progress of Youth & Young Adults in Transition, including school completion, employment, independent living skills, budgeting, finding a home, making friends, parenting and family planning, and delinquency prevention; and
- viii. Staff working in the programs must have training in suicide prevention and intervention strategies and Trauma Informed Care and be provided with ongoing maintenance of the skills and practice associated with these approaches.

- (b) Services to Individuals under the jurisdiction of the JPSRB shall be delivered in support of the conditional release plan as set forward by the JPSRB Board.
- (c) Providers of MHS 27 Services funded through this Agreement shall comply with OAR 309-035-0100 through 309-035-0225, as such rule may be revised from time to time.
- (d) Providers of MHS 27 Services funded though this Agreement shall maintain a Certificate of Approval in accordance with OAR 309-008-0100 through 309-008-1600.

(3) Reporting Requirements

See Exhibit E, Section 10, “Reporting Requirements for MOTS.”

(4) Special Reporting Requirements

County shall prepare and electronically submit, to hsd.contracts@odhsoha.oregon.gov, the following written reports using forms and procedures prescribed on OHA’s website located at <http://www.oregon.gov/OHA/HSD/AMH/Pages/Reporting-Requirements.aspx>.

- (a) A quarterly report that includes the following elements per each Young Adult Residential Treatment Program per subject quarter:
 - i. Number admitted;
 - ii. Number discharged;
 - iii. Demographic information for discharges;
 - iv. Program strengths;
 - v. Program challenges; and
 - vi. Success story.
- (b) In addition, all programs shall administer the Adult Hope Scale, located at <https://ppc.sas.upenn.edu/sites/default/files/hopescale.pdf>, as an outcome measurement tool.

(5) Financial Assistance Calculation, Disbursement, and Agreement Settlement Procedures

See Exhibit D, “Payment, Settlement, and Confirmation Requirements.”
Use Payment and Settlement language, Section 1.f.(1).

aa. Service Name: **INPATIENT OR RESIDENTIAL TREATMENT SERVICES**
Service ID Code: **MHS 28**

(1) **Service Description**

Inpatient or Residential Treatment Services are delivered to Individuals with a mental or emotional disturbance who require treatment on an inpatient or residential basis (24 hours, 7 days a week) in a hospital, Secure Residential Treatment Facility (STRF), Residential Treatment Facility (RTF), or Residential Treatment Home (RTH).

The specific MHS 28 Services delivered to an Individual are determined based upon an assessment of treatment needs that is person-centered, and the development of a treatment service plan that is individualized to promote stabilization, skill-building, and preparation to be living in a more integrated community.

The goal of MHS 28 Services is to divert Individuals from involuntary civil or forensic commitment, provide Services in community-based settings outside of the state hospital, community hospitals or other secure settings, and to support Individuals in their progress towards stabilization and community-based outpatient Services.

(2) **Performance Requirements**

(a) **Eligibility for Services**

- i. County shall provide MHS 28 Services to Individuals, who are 18 years or older, and who:
 - A. Are found guilty except for insanity of a criminal offense under ORS 161.327 or ORS 161.328;
 - B. Are committed as extremely dangerous persons with qualifying mental disorders under ORS 426.701, or recommitted under ORS 426.702;
 - C. Are found by a court to lack the fitness to proceed under ORS 161.370 and are not being held in custody at the state hospital or a correctional facility;
 - D. Are not currently under a guilty except for insanity or extremely dangerous judgment, but have been:
 - I. Found guilty except for insanity under ORS 161.327 or 161.328 more than once, civilly committed as extremely dangerous persons under ORS 426.701 more than once, or recommitted as extremely dangerous persons under ORS 426.702; and
 - II. Require continuing Services to prevent involuntary forensic commitments, extremely dangerous civil commitments, hospitalization, and posing a danger to themselves or others; or
 - III. Require continuing Services to maintain stability and learn skills needed to be placed in a more integrated community setting;

- E. Had their guilty except for insanity term discharged early or terminated by operation of law within the past 12 months; and
 - F. Had their extremely dangerous civil commitment or recommitment end within the past 12 months.
- ii. County may provide MHS 28 Services to Individuals, who are 18 years or older, and who:
- A. Are under a guardianship order under ORS 125.305; or
 - B. Have a mental or emotional disturbance and require inpatient or residential treatment.

(b) General Requirements

When providing Services under this Service Element to Individuals described in Subsection a.(2)(a) of MHS 28, County shall:

- i. Comply with all applicable statutes and rules, including but not limited to ORS chapters 426 and 430 generally, ORS 430.630(3)-(4), ORS 426.241(5), and OAR chapter 309, divisions 8, 14, 15, 19, 32, 33, 35, and 88 which may be revised from time to time;
- ii. Ensure that the County, to the extent it provides direct Services, or its Providers (including but not limited to community hospitals, residential treatment facilities, residential homes or other providers):
 - A. Comply with all applicable statutes and administrative rules, including but not limited to OAR 309-015-0000 through 309-015-0060 and OAR 309-035-0100 through 309-035-0225, as such rules may be revised from time to time; and
 - B. Comply with and maintain any certifications or licenses required to operate or provide Services under MHS 28.
- iii. Assist all eligible and interested Individuals with applying for public assistance, medical assistance, and any other state or federal benefits that the individual may be eligible for now or upon discharge from their current placement;
- iv. Investigate and report allegations of abuse regarding served Individuals and provide protective services to those Individuals to prevent further abuse. The investigation, reporting, and protective services must be completed in compliance with ORS 430.731 through 430.768 and OAR chapter 407, division 45, as such statutes and rules may be revised from time to time;
- v. Provide payment for MHS 28 Services provided to Individuals, who are uninsured, underinsured, not eligible for Medicaid, or have exhausted Medicaid services, including those who meet the criteria for Citizen Alien Waived Medical Program;
- vi. Coordinate with any third-party payors, including but not limited to coordinated care organizations, for the payment of MHS 28 Services covered for the Individual under private insurance or through public or medical assistance programs; and

- vii. Contract with Providers to meet the MHS 28 Services needs of eligible Individuals in the County's service area.

(c) **Placement-Related Service Requirements**

For Individuals described in Subsection a.(2)(a) of MHS 28, County shall:

- i. Develop a treatment service plan for Individual in the least restrictive, most integrated setting appropriate to meet the Individual's behavioral health needs, preferences, choices and strengths;
- ii. Identify an appropriate Provider that is able to meet the Individual's behavioral health needs and willing to provide that care, treatment and Services to the Individual;
- iii. Ensure MHS 28 Services are provided in the least restrictive and most integrated setting appropriate to meet the Individual's behavioral health needs;
- iv. Divert the Individual from placement at a state hospital, community hospital or secure residential treatment facility, whenever possible;
- v. Obtain any necessary approvals from the Provider to allow admission, if it is a residential or state hospital placement;
- vi. Continue to send referrals to Providers until the Individual is placed at or is receiving appropriate Services;
- vii. Monitor the Individual's progress in their treatment service plan and current placement, identify when the Individual may be transferred to a lower level of care, and provide that information to any supervisory authority (e.g., the Psychiatric Security Review Board (PSRB) or court); and
- viii. Ensure discharge planning continues throughout the Individual's placement in a hospital or inpatient/residential placement with the goal of moving the Individual to the lowest level of care that will maintain long term their mental and physical health.

(d) **Behavioral Health Service Requirements**

For Individuals described in Subsection aa.(2)(a) of MHS 28 County shall provide:

- i. Care Coordination to facilitate the Individual's access to Services in the least restrictive, most integrated setting appropriate to meet the Individual's behavioral health needs, preferences, choices and strengths, including:
 - A. Facilitate communication between the Individual, family, natural supports, community resources, Providers, DHS (if eligible for APD or I/DD services), and PSRB or courts (if applicable);
 - B. Identify Providers that can provide Behavioral Health Treatment Services consistent with the Individual's treatment

service plan, whether it is provided on an inpatient, residential or outpatient basis;

- C. Organize, facilitate and participate in interdisciplinary team (IDT) meetings with the Individual, Providers, and CCO Care Coordinators (if the Individual is a CCO member);
 - D. Facilitate access to community-based rehabilitative Behavioral Health Treatment Services that are recovery-oriented, culturally responsive, and geographically accessible;
 - E. Facilitate access to Peer Delivered Services;
 - F. Serve as the Single Point of Contact (SPOC) for all referrals from OSH to Assertive Community Treatment, as described in OAR 309-019-0225(25) (Definition of SPOC), in ACT Admission Process, as described in OAR 309-019-0248; and
 - G. Collaborate with the DHS, APD and I/DD Divisions to support the Behavioral Health Treatment Service needs of Individuals determined service-eligible for APD or I/DD;
- ii. Stabilization, Maintenance and Preventative Services, including:
- A. Provide crisis stabilization services, such as accessing psychiatric, medical, or qualified professional intervention to protect the health and safety of the Individual and others;
 - B. Provide timely, appropriate access to crisis intervention to prevent or reduce acute emotional distress, which might necessitate psychiatric hospitalization;
 - C. Assist the Individual with money management, when requested by an Individual, to include accurate documentation of all funds deposited and withdrawn when funds are held in trust for the Individual;
 - D. Assist with or arrange for the supervision of the Individual's daily living activities and life skills (if appropriate), such as training in nutritional wellness, personal hygiene, clothing care and grooming, communication with social skills, health care, household management, and using community resources to support increasing independence and preparation for living in the most integrated community environment;
 - E. Provide for or arrange for the care of the Individual, including the assumption of responsibility for the safety and well-being of the Individual;
 - F. If the Individual is placed in an inpatient or residential setting, ensure the Provider is providing a safe environment for the Individual;
 - G. Provide for or arrange for the administration and supervision of prescribed and non-prescribed medication(s);
 - H. Provide or arrange for routine and emergency transportation;

- I. Provide for or arrange for the management of aggressive or self-destructive behavior;
 - J. Provide for or arrange for the management of any specialized diet for the Individual, prescribed by a physician, requiring extra effort or expense in preparation of food;
 - K. Provide for or arrange for the management of the Individual's physical or health problems including, but not limited to, seizures, incontinency, diabetes, and pain management;
 - L. Provide financial assistance for behavioral health services, as described in OAR 410-172-0630;
 - M. Provide financial assistance for individual services and activities, as described in OAR 309-035-0200, including but not limited to the:
 - I. Provision of adequate shelter;
 - II. Assistance with acquiring skills to live as independently as possible; and
 - III. Assistance with accessing other additional services, as needed or as assigned by OHA;
 - N. Provide a transitional treatment plan for Individuals when they are no longer receiving Services, and when and how to reinstate services if and when needed;
 - O. Provide interpretive services as needed;
 - P. Provide notice to the Individual of any admission decisions for residential care in accordance with OAR 309-035-0163(11);
 - Q. Provide any clinical records and contact information to OHA and its designees for oversight and coordination purposes upon request;
- iii. Services to Remove Barriers to Community-Based Care when consistent with the Individual's treatment service plan, including, but are not limited to:
- A. Room and board payments;
 - B. Rental assistance, security deposits, and application fees;
 - C. Utility payments and deposits;
 - D. Prescription or over-the-counter medications and medical supplies not covered by Medicaid or other sources;
 - E. Transportation;
 - F. Activities to facilitate the securing of guardianship Services, including but not limited to:
 - I. Paying the costs of:

- (A) Court hearings to determine the necessity, continuation, or termination of a guardianship; and
- (B) Guardianship Services to make decisions related to overseeing the care and supervision of an Individual; and

II. If guardianship is expected to continue beyond a transitional period of time (6 months or less), then other payment options should be sought in order to maintain guardianship Services; and

B. Activities to facilitate the securing of representative payee services.

(e) **Funding-Dependent Performance Requirements**

For Individuals described in Subsection aa.(2)(a) of MHS 28, County may provide the Services described in Subsection aa.(2)(c)-(d) of MHS 28, subject to the requirements in Subsection aa.(2)(b) of MHS 28.

(3) **Reporting Requirements**

Reports must be prepared using forms and procedures prescribed by OHA. Forms are located at <http://www.oregon.gov/OHA/HSD/AMH/Pages/Reporting-Requirements.aspx>. County shall submit electronically, to hsd.contracts@odhsoha.oregon.gov, an annual accounting report of financial assistance within 45 calendar days from the end of the contract year.

(4) **Special Reporting Requirements**

See Exhibit E, Section 10, “Reporting Requirements for MOTS.”

(5) **Financial Assistance Calculation, Disbursement, and Agreement Settlement Procedures**

(a) **Payment**

See Exhibit D, “Payment, Settlement, and Confirmation Requirements.”

Use Payment and Confirmation language, Section 1.f.(2). In addition, use Part A payment language, Section 1.b.

County understands and agrees that funding under Part A or Part C may be reduced by Contract amendment to the extent County’s billings exceed the allocated total aggregated budget as set for in Exhibit C, “Financial Assistance Award.” The Part C awards do not apply to PSRB Individuals, as these Services are covered in the Service Description for MHS 30.

(b) **Disbursement of Financial Assistance:**

Invoices shall be submitted electronically, to hsd.contracts@odhsoha.oregon.gov, with the subject line “Invoice, contract #(your contract number), contractor’s name” on an OHA approved invoice, and at the level of detail prescribed by OHA no later than 60 calendar days after the Individual’s last date of Services.

bb. Service Name: **MONITORING, SECURITY, AND SUPERVISION SERVICES FOR INDIVIDUALS UNDER THE JURISDICTION OF THE ADULT AND JUVENILE PANELS OF THE PSYCHIATRIC SECURITY REVIEW BOARD**

Service ID Code: **MHS 30**

(1) Service Description

Monitoring, Security, and Supervision Services for Individuals under the Jurisdiction of the Adult and Juvenile Panels of the Psychiatric Security Review Board (PSRB & JPSRB) (MHS 30 Services). MHS 30 Services are delivered to Individuals who are placed in their identified service area by Order of Evaluation or Conditional Release Order as designated by OHA.

(a) Monitoring Services include:

- i.** Assessment and evaluation for the court, and the PSRB or JPSRB of an Individual under consideration for placement on a waiting list or for Conditional Release from the Oregon State Hospital (OSH), a hospital, jail, or facility designated by OHA, to determine if the Individual can be treated in the community, including identification of the specific requirements for the community placement of an Individual;
- ii.** Supervision consistent with the requirements of the PSRB or JPSRB Conditional Release Order;
- iii.** Coordination with OSH, a hospital, or facility designated by OHA on transition activities related to Conditional Release of an Individual;
- iv.** Provide supported housing and intensive case management for identified programs at approved budgeted rates; and
- v.** Administrative activities related to the Monitoring Services described above, including but not limited to:
 - A.** Reporting of the Individual's compliance with the conditional release requirements, as identified in the order for Conditional Release, as identified in the Order for Conditional Release, through monthly progress notes to the PSRB or JPSRB;
 - B.** Providing interim reports for the purpose of communicating current status of an Individual to the PSRB or JPSRB;
 - C.** Submitting requests for modifications of Conditional Release Orders to the PSRB or JPSRB;
 - D.** Implementing board-approved modifications of Conditional Release Orders;
 - E.** Implementing revocations of Conditional Release due to violation(s) of Conditional Release Orders and facilitating readmission to OSH;

- F. Responding to Law Enforcement Data System (LEDS) notifications as a result of contact by the Individual receiving MHS 30 Services with law enforcement agencies; and
- G. An annual comprehensive review of supervision and treatment Services to determine if significant modifications to the Conditional Release Order should be requested from the PSRB or JPSRB.

(b) Security and Supervision Services includes:

- i. Security Services include: Services identified in the PSRB or JPSRB Conditional Release Order, which are not medically approved Services but are required for safety of the Individual and the public, and are covered at a rate based on a determination of the risk and care needs, as identified in the Security Services Matrices below: For additional information about Security and Supervision Services, see PSRB Security Payment Scoring.doc

Security Services Matrix (Community)	Low Risk	Med Risk	High Risk
High Care	Rate 1	Rate 2	Rate 3
Med Care	Rate 2	Rate 3	Rate 4
Low Care	Rate 3	Rate 4	Rate 5

- ii. Security Services for those residing in a Class 1 or Class 2 Secure Residential Treatment Facility (SRTF): When Forensic risk factors, and risk to the public, create a need to provide an alternative security payment level, the Security Services Payment will be as defined in the table below:

Security Services Matrix	Maintenance Minimal Additional Risk	Medium Additional Risk	High Additional Risk
SRTF (Very High Risk)	SRTF Rate 6	SRTF Rate 7	SRTF Rate 8

- iii. Supervision Services include approved Services that are not covered by another resource and will be funded at the current Medicaid Fee Schedule rate as a basis for reimbursement purposes. Disbursement will be made by invoice in accordance with the “Financial Assistance Calculation, Disbursement, and Agreement Settlement Procedures” section below. Approved Supervision Services may include one or more of the following:

- A. Additional staffing (utilize the Intensive Rate Request process through Rate Review Committee);
- B. Transportation;

- C. Interpreter services;
- D. Medical services and medications;
- E. Rental assistance, room and board, and person and incidental funds;
- F. Payee;
- G. Guardianship (initial and ongoing) costs;
- H. To obtain legal identification; and
- I. Non-medically approved services including, but not limited to: assessment, evaluation (including evaluations ordered beyond typical monitoring required by the PSRB), outpatient treatment, and polygraph if such expenses are needed to maintain compliance with the terms of a conditional release and not covered by some other mechanism.

(2) **Performance Requirements**

- (a) Providers of MHS 30 Services funded through this Agreement shall comply with OAR 309-019-0160, as such rule may be revised from time to time.
- (b) Providers of MHS 30 Services funded through this Agreement shall maintain a Certificate of Approval in accordance with OAR 309-008-0100 through OAR 309-008-1600, as such rules may be revised from time to time.

(3) **Reporting Requirements**

See Exhibit E, Section 10, "Reporting Requirements for MOTS."

(4) **Special Reporting Requirements**

Upon request County shall submit one or more of the following to the OHA Contract Administrator for MHS 30 Services:

- (a) Conditional Release Plan or Conditional Release Order;
- (b) Monthly progress notes;
- (c) Incident reports;
- (d) Evaluations and assessments;
- (e) Notifications of Revocation and Order of Revocation;
- (f) Treatment Plans
- (g) Notification of Change of Residence; or
- (h) Any other documentation deemed necessary for monitoring and implementing MHS 30 Services.

(5) **Financial Assistance Calculation, Disbursement, and Agreement Settlement Procedures**

See Exhibit D, "Payment, Settlement, and Confirmation Requirements.

Use Payment and Settlement language, Section 1.f.(1).

cc. **Service Name:** **ENHANCED CARE AND ENHANCED CARE OUTREACH SERVICES**

Service ID Code: **MHS 31**

(1) Service Description

Enhanced Care and Enhanced Care Outreach Services (MHS 31) enable an Individual to leave, or avoid placement in, the Oregon State Hospital (OSH). MHS 31 Services are outpatient community mental health and psychiatric rehabilitation Services delivered to Individuals who are Department of Human Services (DHS), Adults and People with Disabilities (APD) service need eligible and who have been diagnosed with a severe mental illness with complex behaviors and require intensive community mental health services for successful integration into the community.

(2) Performance Requirements

- (a)** Providers of MHS 31 Services funded through this Agreement shall comply with OAR 309-019-0155, as such rule may be revised from time to time.
- (b)** Providers of MHS 31 Services funded through this Agreement shall maintain a Certificate of Approval in accordance with OAR 309-008-0100 through 309-008-1600, as such rules may be revised from time to time.
- (c)** MHS 31 Services funded through this Agreement may only be delivered to Individuals who satisfy the requirements for receipt of nursing facility or community based care under Medicaid, as specified in OAR 411-015-0000 through 411-015-0100, as such rules may be revised from time to time, and who receive such services in a nursing facility, residential care facility, assisted living facility, or foster home operated by a Provider that has entered into an agreement with and is licensed by DHS's APD Division to provide services to designated individuals. All Individuals shall be evaluated by the Provider and local DHS APD licensed facility staff prior to placement.
- (d)** If County wishes to use MHS 31 funds made available through this Agreement for delivery of MHS 31 Services to otherwise eligible Individuals not residing in a DHS APD facility, County shall receive a variance from OHA in accordance with OAR 309-008-1600, as such rules may be revised from time to time.
- (e)** County shall notify the OHA ECS Coordinator prior to transition from ECS. County shall also notify the OHA ECS Coordinator within three working days of any change in an Individual's medical or psychiatric condition, which jeopardizes the placement.

(3) Reporting Requirements

See Exhibit E, Section 10, "Reporting Requirements for MOTS."

(4) Special Reporting Requirements

- (a)** County shall submit a Referral Outcome Form within 21 calendar days of receiving a referral to, enhancedcare.team@odhsoha.oregon.gov.

- (b) County prepares and electronically submits to, enhancedcare.team@odhsoha.oregon.gov,
 - i. Monthly Enhanced Care Services Census Report;
 - ii. CS Data Base Part I; and
 - iii. ECS Data Base Part II.
- (c) County shall prepare and electronically submit, to hsd.contracts@odhsoha.oregon.gov, the following reports using forms and procedures as prescribed on OHA's website, located at <http://www.oregon.gov/OHA/HSD/AMH/Pages/Reporting-Requirements.aspx>:
 - i. Monthly Enhanced Care Services Census Report;
 - ii. ECS Data Base Part I; and
 - iii. ECS Data Base Part II.

(5) **Financial Assistance Calculation, Disbursement, and Confirmation of Performance and Reporting Requirements Procedures**

See Exhibit D, Payment, Settlement, and Confirmation Requirements.
Use Payment and Confirmation language, Section 1.f.(2). In addition:

dd. Service Name: ADULT FOSTER CARE SERVICE

Service ID Code: MHS 34

(1) Service Description

Adult Foster Care Services (MHS 34) are Services delivered to Individuals with chronic or severe mental illness who are in need of further stabilization in a licensed care setting for the potential of transitioning to an *integrated setting*. These Individuals have been hospitalized or are at immediate risk of hospitalization, are in need of continuing Services to avoid hospitalization, or pose a danger to the health and safety of themselves or others, and are unable to live by themselves without supervision. MHS 34 Services are delivered in a family home or facility with five or fewer Individuals receiving MHS 34 Services. The purpose of MHS 34 Services is to maintain the Individual at his or her maximum level of functioning or to improve the Individual's skills to the extent that he or she may live more independently.

Integrated setting was recently explained in a publication by the Department of Justice¹, dated June 22, 2011, as follows:

"In the years since the Supreme Court's decision in *Olmstead v. L.C.*, 527 U.S. 581 (1999), the goal of the integration mandate in title II of the Americans with Disabilities Act [is] to provide individuals with disabilities opportunities to live their lives like individuals without disabilities."

"By contrast, segregated settings often have qualities of an institutional nature. Segregated settings include, but are not limited to: (1) congregate settings populated exclusively or primarily with individuals with disabilities; (2) congregate settings characterized by regimentation in daily activities, lack of privacy or autonomy, policies limiting visitors, or limits on individuals' ability to engage freely in community activities and to manage their own activities of daily living; or (3) settings that provide for daytime activities primarily with other individuals with disabilities."

The expectation for individuals living in Adult Foster Care Services is to stabilize and transition to a non-licensed, integrated setting. Perpetual living at this level of care is not warranted and can only continue with the ongoing approval by OHA's Independent Qualified Agent (IQA) in determining this specific Level of Care (LOC).

All stays in Adult Foster Care Services shall include activities to integrate the individual into the community based on individual goals and desires, and should not be limited to foster home group activities.

MHS 34 Services include, but are not limited to, the following:

- (a) Crisis stabilization services such as accessing psychiatric, medical, or qualified professional intervention to protect the health and safety of the individual and others;

¹ https://www.ada.gov/olmstead/q&a_olmstead.htm

- (b) Timely, appropriate access to crisis intervention to prevent or reduce acute, emotional distress, which might necessitate psychiatric hospitalization;
- (c) Management of personal money and expenses;
- (d) Supervision of daily living activities and life skills, such as training in nutritional wellness, personal hygiene, clothing care and grooming, communication with social skills, health care, household management, and using community resources to support increasing independence and preparation for living in the most integrated living environment;
- (e) Provision of care including assuming the responsibility for the safety and well-being of the individual;
- (f) Administration and supervision of prescribed and non-prescribed medication;
- (g) Provision of or arrangement for routine medical and emergency transportation;
- (h) Management of aggressive or self-destructive behavior;
- (i) Management of a diet, prescribed by a physician, requiring extra effort or expense in preparation of food; and
- (j) Management of physical or health problems including, but not limited to, seizures, incontinency, diabetes, and pain management.

(2) Performance Requirements

- (a) Providers of Foster Care MHS 34 Services funded through this Agreement shall comply with OAR 309-040-0300 through 309-040-0455, as such rules may be revised from time to time.
- (b) Prior to commencement of Foster Care MHS 34 Services, County shall develop and submit to OHA, for OHA’s review and approval, a personal care plan for the Individual. After commencement of Foster Care MHS 34 Services, County shall require that the Provider of the MHS 34 Services delivers the Services to the Individual in accordance with the Individual’s personal care plan. County shall complete a new personal care plan at least annually for each Individual receiving MHS 34 Services funded through this Agreement and revise as necessary.
- (c) County shall assist OHA’s function of licensing and certifying homes providing Foster Care MHS 34 Services funded through this Agreement by performing the following tasks within the timelines required by OAR 309-040-0300 through 309-040-0455, as such rules may be revised from time to time:
 - i. For new licenses and certifications: County shall assist with inspection of the homes, and completion and submission to OHA of the following, as prescribed by OHA:
 - A. Foster Home License or Certification Application;
 - B. Foster Home Inspection Form;
 - C. Criminal History Check;

- D. A letter of support in the form and substance attached as Attachment #1, and
 - E. Any other information necessary for licensing or certifying the residences.
- ii. For renewal of existing licenses and certifications: County shall assist OHA with the completion and submission to OHA of a letter of support in the form and substance attached as Attachment #1, and with inspection of the homes and completion and submission to OHA of the Foster Home License/Certification Evaluation Forms; and
 - iii. County shall assist currently licensed and potential new foster homes providing MHS 34 Services to meet statutory requirements for training and testing by:
 - A. Maintaining and distributing copies of OHA’s “Basic Training Course and Self-Study Manual” and associated video tapes; and
 - B. Making test site(s) available, administering tests provided by OHA, and mailing completed tests promptly to OHA for scoring.

OHA will make the final determination on issuance and renewal of licenses and certifications, based on information submitted by County as required above.

(3) **Reporting Requirements**

See Exhibit E, Section 10, “Reporting Requirements for MOTS.”

(4) **Special Reporting Requirements**

None

(5) **Financial Assistance Calculation, Disbursement, and Agreement Settlement Procedures**

See Exhibit D, “Payment, Settlement, and Confirmation Requirements.”

Use Payment and Settlement language, Section 1.f.(1).

ATTACHMENT #1

Health Systems Division
500 Summer Street NE E-86
Salem, OR 97301

Dear HSD Licensing and Certification Unit Manager,

Pursuant to OAR 309-040-0315 (3)(e), I am submitting this letter of support on behalf of [name of CMHP], an authorized designee of the Local Mental Health Authority in [County].

At this time, [name of CMHP] is in support of the operation of [name of AFH] AFH located at [full address of AFH] under the following conditions:

- The provider maintains substantial compliance with all regulations that govern the licensure and safe operation of AFHs.
- The provider ensures the delivery at all times adequate room and board, food, safety and sanitation oversight, compliance with building and maintenance requirements, supervision, and care to vulnerable adults with mental, emotional, or behavioral disorders who reside at the AFH by qualified and approved providers, resident managers, staff, and volunteers.
- The provider timely submits incident reports to the CMHP in accordance with applicable ORS' and OARs.
- The provider complies with any additional requirements or conditions set forth by the Health Systems Division, Oregon Health Authority.

[name of CMHP] will immediately notify HSD when it changes its level of support for the continued operation of or adjusted placement referral decisions associated with [name of AFH] AFH.

[name of CMHP] will immediately notify HSD in writing if CMHP staff become aware of or observe any violations to regulations that govern the health, safety, and welfare of residents who reside at the home.

[name of CMHP] will provide a detailed written summary to HSD (and to the Office of Training, Investigations, and Safety, *formerly OAAPI*) if CMHP staff become aware of or observe any medication errors, inadequate or unsafe physical conditions of the home, unauthorized persons living or sleeping in the home, failure by the AFH provider to timely submit incident reports, suspected abuse or neglect to residents, crimes committed on the property, or in any other situation that jeopardizes the health, safety, and welfare of vulnerable adults who live in and receive services in the home.

Name of the LMHA representative or designee who is signing this letter of support: [name]

Full title of the LMHA representative or designee who is signing this letter of support: [title]

Email of the LMHA representative or designee who is signing this letter of support: [email]

Signature of the CMHP Director or designee

Date of signature

ee. Service Name: **OLDER OR DISABLED ADULT MENTAL HEALTH SERVICES**

Service ID Code: **MHS 35**

(1) **Service Description**

Older or Disabled Adult Mental Health Services (MHS 35 Services) are:

If Specialized Service requirement MHS 35A applies, specialized geriatric mental health Services delivered to older or disabled adults with mental illness, as such Services are further described in the Specialized Service requirement MHS 35A.

(2) **Performance Requirements**

Funds awarded for MHS 35 Services on lines in Exhibit C, “Financial Assistance Award,” containing “35A” in column “Part IV” may only be expended on MHS 35 Services as described in the Specialized Service requirement MHS 35A.

(3) **Reporting Requirements**

See Exhibit E, Section 10, “Reporting Requirements for MOTS.”

(4) **Special Reporting Requirements**

County shall prepare and electronically submit, to hsd.contracts@odhsoha.oregon.gov, written quarterly summary financial and program narrative reports on the delivery of Older or Disabled Adult Mental Health Services, no later than 45 calendar days following the end of each subject quarter for which financial assistance is awarded through this Agreement, that are subject to Specialized Service requirements 35A. Reports must be prepared using forms and procedures prescribed by OHA. Forms are located at <http://www.oregon.gov/OHA/HSD/AMH/Pages/Reporting-Requirements.aspx>.

(5) **Financial Assistance Calculation, Disbursement, and Confirmation of Performance and Reporting Procedures**

See Exhibit D, “Payment, Settlement, and Confirmation Requirements.”

Use Payment and Confirmation language, Section 1.f.(2). In addition:

Upon amendment to the Financial Assistance Award, OHA shall adjust monthly allotments as necessary to reflect changes in the funds shown for Specialized Service requirement MHS 35A Services provided under that line of the Financial Assistance Award.

ff. Service Name: **PRE-ADMISSION SCREENING AND RESIDENT REVIEW SERVICES (PASRR)**

Service ID Code: **MHS 36**

(1) Service Description

- (a) Pre-admission Screening and Resident Review Services (MHS 36 Services) are evaluation services delivered to Individuals who are entering a nursing facility where a PASRR level I screen has indicated that they have a serious and persistent mental illness (SPMI), regardless of insurance type or lack of health insurance, or are residing in a nursing home. Eligible populations served are: Medicaid, those uninsured, underinsured, or have exhausted Medicaid Services, Citizen/Alien-Waived Emergent Medical, Medicare, Private Insurance, or Private Pay.
 - i. Referred for placement in Medicaid-certified long-term care nursing facilities if they are exhibiting symptoms of a serious persistent mental illness; or
 - ii. Residing in Medicaid-certified long-term care nursing facilities and experiencing a significant change in mental health status.
- (b) Pre-admission Screening and Resident Review Services must determine if:
 - i. Individuals have a serious and persistent mental illness, as defined in OAR 309-036-0105(36); and
 - ii. If those determined to have a serious and persistent mental illness are appropriately placed in a nursing facility or need inpatient psychiatric hospitalization.

(2) Performance Requirements

- (a) County shall comply with the Nursing Home Reform Act, under the Omnibus Budget Reconciliation Act of 1987 (OBRA 1987), as amended by OBRA 1990, including but not limited to 42 U.S.C. 1396r(e)(7) and OAR 411-070-0043 through 411-070-0045, as such laws and rules may be revised from time to time. County shall maintain a Certificate of Approval in accordance with OAR 309-008-0100 through OAR 309-008-1600, as such rules may be revised from time to time.
- (b) County shall require that all Individuals referred for MHS 36 Services by licensed nursing facilities receive MHS 36 Services review and evaluation.
- (c) All MHS 36 Services paid for through this Agreement must be delivered by a Qualified Mental Health Professional (as defined in OAR 309-039-0510 (10)) or a Licensed Medical Practitioner (as defined in OAR 309-019-0105(92)).

(3) Reporting Requirements

See Exhibit E, Section 10, "Reporting Requirements for MOTS."

(4) Special Reporting Requirements

County shall prepare and electronically submit, to hsd.contracts@odhsoha.oregon.gov, written forms HSD 0438 and HSD 0440, no

later than 21 calendar days following each review for which financial assistance is awarded through this Agreement. Reports must be prepared using forms and procedures prescribed by OHA. Forms are located at <http://www.oregon.gov/OHA/HSD/AMH/Pages/Reporting-Requirements.aspx>.

(5) **Financial Assistance Calculation, Disbursement, and Confirmation of Performance and Reporting Procedures**

See Exhibit D, “Payment, Settlement, and Confirmation Requirements.”

Use Payment and Confirmation language, Section 1.f.(2). In addition:

gg. **Service Name:** START-UP

Service ID Code: MHS 37

(1) **Service Description**

The funds awarded for MHS 37 – Start-Up must be used for Start-Up activities as described in a special condition in Exhibit C, “Financial Assistance Award,” and Exhibit K, “Start-Up Procedures.” For purposes of this special project description, Start-Up activities are activities necessary to begin, expand, or improve mental health services. These expenses are distinct from routine operating expenses incurred in the course of providing ongoing services. Notwithstanding the description of the Start-Up activities in a special condition, funds awarded for MHS 37 may not be used for real property improvements of \$10,000 and above. When OHA funds in the amount of \$10,000 and above are to be used for purchase or renovation of real property, County shall contact the Social Determinants of Health (SDOH) Unit of OHA and follow the procedures as prescribed by that unit.

MHS 37 funds are typically disbursed prior to initiation of services and are used to cover approved, allowable Start-Up expenditures, as described in Exhibit K, that will be needed to provide the services planned and delivered at the specified site(s).

(2) **Performance Requirements**

The funds awarded for MHS 37 must be expended only in accordance with Exhibit K, “Start-Up Procedures,” which is incorporated herein by this reference.

(3) **Reporting Requirements**

None

(4) **Special Reporting Requirements**

Using the OHA prescribed “Start-Up Request & Expenditure Form,” the County shall prepare and electronically submit, to hsd.contracts@odhsoha.oregon.gov, a request for disbursement of allowable Start-Up funds as identified in a special condition in a particular line of Exhibit C, “Financial Assistance Award.” The reports must be prepared in accordance with forms prescribed by OHA and the procedures described in Exhibit K, “Start-Up Procedures.” Forms are located at <http://www.oregon.gov/OHA/HSD/AMH/Pages/Reporting-Requirements.aspx>.

(5) **Financial Assistance Calculation, Disbursement, and Agreement Settlement Procedures**

See Exhibit D, “Payment, Settlement, and Confirmation Requirements.”

Use Payment Start-Up, Section 1.e., and Settlement Start-Up language, Section 1.f.(1)(b).

hh. Service Name: SUPPORTED EMPLOYMENT SERVICES

Service ID Code: MHS 38

(1) Service Description

(a) Provide Individual Placement and Support (IPS) Supported Employment Services (MHS 38 Services) consistent with the Dartmouth IPS Supported Employment Fidelity Model. The IPS Fidelity Manual, published by Dartmouth Psychiatric Research Center, incorporated by reference herein, can be found in the IPS Employment Center's Document Library, at: <https://ipsworks.org/index.php/library/>, or at the following link: https://ipsworks.org/wp-content/uploads/2017/08/ips-fidelity-manual-3rd-edition_2-4-16.pdf.

(b) **Definitions:**

- i. **Competitive Integrated Employment** means full-time or part time work: at minimum wage or higher, at a rate that is not less than the customary rate paid by the employer for the same or similar work performed by other employees who are not individuals with disabilities, and who are similarly situated in similar occupations by the same employer and who have similar training, experience, and skill; with eligibility for the level of benefits provided to other employees; at a location where the employee interacts with other persons who are not individuals with disabilities (not including supervisory personnel or individuals who are providing services to such employee) to the same extent that individuals who are not individuals with disabilities and who are in comparable positions interact with other persons; and as appropriate, presents opportunities for advancement that are similar to those for other employees who are not individuals with disabilities and who have similar positions.
- ii. **Division Approved Reviewer** means the Oregon Supported Employment Center of Excellence (OSECE). OSECE is OHA's contracted entity responsible for conducting Supported Employment fidelity reviews, training, and technical assistance to support new and existing Supported Employment Programs statewide.
- iii. **Supported Employment Services** are individualized Services that assist Individuals to obtain and maintain integrated, paid, competitive employment. Supported Employment Services are provided in a manner that seeks to allow Individuals to work the maximum number of hours consistent with their preferences, interests, and abilities and are individually planned, based on person-centered planning principles and evidence-based practices.

(2) Performance Requirements

County shall provide MHS 38 Services in a manner that is consistent with fidelity standards established in OAR 309-019-00270 through 309-019-0295 and is consistent with County's Local Plan as per ORS 430.630. If County lacks qualified Providers to deliver MHS 38 Services, County shall implement a plan, in

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consultation with their respective CCO and OHA, to develop a qualified Provider network for Individuals to access MHS 38 Services. MHS 38 Services must be provided by Providers meeting Supported Employment fidelity scale standards.

(3) **Reporting Requirements**

See Exhibit E, Section 10, “Reporting Requirements for MOTS.”

(4) **Special Reporting Requirements**

County shall prepare and electronically submit, to hsd.contracts@odhsoha.oregon.gov, written quarterly summary reports on the delivery of MHS 38 Services no later than 45 calendar days following the end of each subject quarter for which financial assistance is awarded through this Agreement. Reports must be prepared using forms and procedures prescribed by OHA. Forms are located at <http://www.oregon.gov/OHA/HSD/AMH/Pages/Reporting-Requirements.aspx>

(a) A Provider delivering MHS 38 Services with funds provided through this Agreement may not use funds to deliver covered Services to any individual known to be enrolled in the Oregon Health Plan at the time Services are delivered.

(b) Quarterly reports shall include, but are not limited to:

- i. Individuals with Serious and Persistent Mental Illness (SPMI) who receive MHS 38 Services and are employed in Competitive Integrated Employment, as defined above;
- ii. Individuals with SPMI who no longer receive MHS 38 Services and are employed in competitive integrated employment without currently receiving supportive services from a supported employment specialist; and
- iii. Individuals with SPMI who received MHS 38 Services as part of an Assertive Community Treatment (ACT) Program.

(5) **Financial Assistance Calculation, Disbursement, and Confirmation of Performance and Reporting Requirements**

See Exhibit D, “Payment, Settlement, and Confirmation Requirements.”

Use Payment and Settlement language, Section 1.f.(2).

ii. **Service Name:** **PROJECTS FOR ASSISTANCE IN TRANSITION FROM HOMELESSNESS (PATH) SERVICES**

Service ID Code: **MHS 39**

(1) Service Description

The goal of the Projects for Assistance in Transition from Homelessness (PATH) Services program is to reduce or eliminate homelessness for Individuals with Serious Mental Illness (SMI), as defined in OAR 309-036-0105(10), who experience homelessness or are at imminent risk of becoming homeless. Individuals may also have a co-occurring Substance Use Disorder (SUD).

PATH funds are used to provide a menu of allowable Services, prioritizing street outreach, case management, and Services which are not supported by mainstream Mental Health programs. Through its Services, PATH links a vulnerable population who experience persistent and pervasive health disparities to mainstream and other supportive Services. Collectively these efforts help Individuals with SMI experiencing homelessness secure safe and stable housing, improve their health, and live a self-directed, purposeful life.+

Eligible Services, not otherwise covered by another resource, are as follows:

- (a)** Outreach services including prioritization of those with serious mental illness who are veterans and experiencing homelessness or in danger of becoming homeless;
- (b)** Screening and diagnostic treatment services;
- (c)** Habilitation and rehabilitation services;
- (d)** Community mental health services including recovery support services (e.g. peer specialist/recovery coaches);
- (e)** Alcohol and drug treatment services;
- (f)** Staff training, including the training of individuals who work in shelters, mental health clinics, substance abuse programs, and other sites where Individuals who are homeless require Services;
- (g)** Case management services, including:
 - i.** Preparing a plan for the provision of community mental health and other supportive services to eligible Individuals experiencing homelessness and reviewing such plan not less than once every three months;
 - ii.** Providing assistance in obtaining and coordinating social and maintenance services for eligible Individuals who experience homelessness, including services relating to daily living activities, peer support, personal financial planning, transportation services, habilitation and rehabilitation services, prevocational and vocational training, and housing;
 - iii.** Providing assistance to eligible Individuals who experience homelessness in obtaining income support services, including housing assistance, Supplemental Nutrition Assistance Program (SNAP), and supplemental securing income benefits;

- iv. Referring eligible Individuals who experience homelessness for such other services as may be appropriate; and
 - v. Providing representative payee services in accordance with Section 1631(a)(2) of the Social Security Act if the eligible Individuals who experience homelessness are receiving aid under title XVI of such Act and if the applicant is designated by the Secretary of the Social Security Administration to provide such services.
- (h) Supportive and supervisory services in residential settings including shelters, group homes, supported apartments and other residential settings specifically serving those living with serious mental illness or co-occurring disorders;
- (i) Referrals for primary health services, job training, educational services, and relevant housing services; and including use of peer providers to help to assure that these services are successfully accessed by individuals who experience homelessness with serious mental illness(es) and co-occurring disorders; and
- (j) Housing services as specified in Section 522(b)(10) of the PHS Act as amended (U.S.C. § 290cc-22(b)), including:
- i. Minor renovation, expansion, and repair of housing;
 - ii. Planning of housing;
 - iii. Technical assistance in applying for housing assistance;
 - iv. Improving the coordination of housing services;
 - v. Security deposits;
 - vi. Costs associated with matching eligible Individuals who experience homelessness with appropriate housing situations; and
 - vii. One-time rental payments to prevent eviction.

No more than 20% of PATH funds allocated through MHS 39 shall be expended for housing services.

(2) **Performance Requirements**

Providers of MHS 39 Services funded through this Agreement shall comply with OAR 309-032-0301 through 309-032-0351, as such rules may be revised from time to time.

Services provided must be eligible services in accordance with 42 U.S.C. § 290cc-22(b).

Providers of MHS 39 Services funded through this Agreement shall:

- (a) Use third party and other revenue realized from provision of Services to the extent possible;
- (b) Implement policies and procedures to prioritize use of other available funding sources for PATH Services;
- (c) Assist PATH-eligible Individuals in applying for benefits for which they may be eligible for or entitled to, including but not limited to:

- i. Social Security Insurance (SSI)/Social Security Disability Insurance (SSDI) or other financial assistance;
 - ii. Medicaid or Medicare;
 - iii. Veterans Administration Benefits; and
 - iv. SNAP.
- (d) Assist OHA, upon request, in the development of an annual application requesting continued funding for MHS 39 Services, including the development of a budget and an Intended Use Plan for PATH funds consistent with the requirement set forth in Funding Opportunity Announcement; and
- (e) Provide, at a minimum, the following:
- i. Meet or exceed the current Government Performance and Results Act (GPRA) Measures posted to the PATH Data Exchange website <https://pathpdx.samhsa.gov/> for the following measures:
 - A. Percentage of enrolled individuals who experience homelessness in the PATH program who receive community mental health services;
 - B. Number of homeless individuals who experience homelessness contacted;
 - C. Percentage of contacted individuals who experience homelessness with serious mental illness who experience homelessness and become enrolled in services; and
 - D. Number of PATH providers trained on SSI/SSDI Outreach, Access, and Recovery (SOAR) to ensure eligible homeless individuals are receiving benefits.
 - ii. Active participation in the local Continuum of Care;
 - iii. Attendance at semi-annual PATH Provider meetings;
 - iv. Attendance at PATH Technical Assistance trainings as requested by OHA;
 - v. Development of an annual PATH Intended Use Plan including a line-item budget and budget narrative using forms and templates provided by OHA;
 - vi. Participation in annual PATH program site reviews conducted by OHA; and
 - vii. Participation in federal site reviews as needed or requested by OHA.
- (f) All Individuals receiving MHS 39 Services provided through this Agreement shall be enrolled and that Individual's record maintained in the Homeless Management Information Systems (HMIS).
- (g) Service Providers who are recipients of MHS 39 funds must match, directly or through donations from public or private entities, MHS 39 funds in an amount that is not less than \$1 of non-federal funds for each \$3 of federal PATH funds allocated through MHS 39. Page 376

- i. Non-federal contributions required may be in cash or in-kind, fairly evaluated, including plant, equipment, or services.
- ii. Funding provided by the federal government, or services assisted or subsidized to any significant extent by the federal government, shall not be included in non-federal contributions.

(3) **Reporting Requirements**

See Exhibit E, Section 10, “Reporting Requirements for MOTS.”

(4) **Special Reporting Requirements**

County shall prepare and electronically submit, to hsd.contracts@odhsoha.oregon.gov, written quarterly and annual progress and financial reports on the delivery of PATH Services, no later than 45 calendar days after the end of each subject quarter or year for which financial assistance is awarded through this Agreement. Quarterly and Annual Progress Reports must be completed and submitted at the PATH Data Exchange website. Financial Reports must be prepared using forms and procedures prescribed by OHA. Forms are located at <http://www.oregon.gov/OHA/HSD/AMH/Pages/Reporting-Requirements.aspx>.

Quarterly written reports documenting PATH eligible financial expenditures shall be electronically submitted to hsd.contracts@odhsoha.oregon.gov.

Quarterly and Annual Progress Reports documenting actual utilization and demographic data submitted through the PATH Data Exchange – Learning website at <https://pathpdx-learning.samhsa.gov/>.

(5) **Financial Assistance Calculation, Disbursement, and Confirmation of Performance and Reporting Requirements Procedures**

See Exhibit D, “Payment, Settlement, and Confirmation Requirements.”

Use Payment and Confirmation language, Section 1.f.(2).

**2024-2025 INTERGOVERNMENTAL AGREEMENT
FOR THE FINANCING OF COMMUNITY MENTAL HEALTH, ADDICTION TREATMENT,
RECOVERY, & PREVENTION, AND PROBLEM GAMBLING SERVICES**

**EXHIBIT B-2
SPECIALIZED SERVICE REQUIREMENTS**

1. Not all Services described in Exhibit B-2 may be covered in whole or in part with financial assistance pursuant to Exhibit C, “Financial Assistance Award,” of this Agreement. Only Services in which costs are covered in whole or in part with financial assistance pursuant to Exhibit C, “Financial Assistance Award,” as amended from time to time, are subject to this Agreement.

- a. Service Name: **PEER DELIVERED SERVICES (PDS)**
- Service ID Code: **MHS 16**
- Specialized Service: **VETERANS**
- Specialized ID Code: **16A**

(1) **Service Description** (exceeding Section 1, MHS 16)

County shall:

- (a) Hire, train, and supervise Peer Support Specialists (PSS) or Peer Wellness Specialists (PWS) with significant prior or current military experience;
- (b) Require that PSS or PWS acquire and maintain certification with the Oregon Health Authority, Traditional Health Worker registry, including those who identify as military veterans with current behavioral health needs;
- (c) Provide PDS in a culturally competent manner as defined in OAR 410-180-0300 through 410-180-0380 to Individuals who identify as military veterans with behavioral health needs. Activities may include, but are not limited to:
 - i. 1:1 peer support;
 - ii. Systems navigation;
 - iii. Facilitation of support and education groups;
 - iv. Outreach; and
 - v. Community education.
- (d) Provide program participants with funds or material supports needed to eliminate barriers to accessing health care services which will improve the veteran’s behavioral health, support treatment plans, or support the veteran’s recovery, or community engagement; and
- (e) Engage and serve a minimum of 25 veterans annually.

(2) **Performance Requirements** (exceeding Section 2, MHS 16)

None

(3) **Reporting Requirements** (exceeding Section 3, MHS 16)

None

(4) **Special Reporting Requirements** (exceeding Section 4, MHS 16)

Prepare and electronically submit to hsd.contracts@odhsoha.oregon.gov quarterly reports no later than 45 calendar days following the end of each subject quarter during the period for which financial assistance is awarded through this Agreement. Reports must be prepared using forms and procedures prescribed by OHA. Forms are located at <https://www.oregon.gov/OHA/HSD/AMH/Pages/Reporting-Requirements.aspx>.

- (a) The following information shall be provided for each report:
 - i. Number of veterans served annually on a regular basis as shown by being enrolled in peer services, and making use of peer supports on a weekly basis;

- ii. Number of veterans offered the pre and post survey supplied by OHA;
 - iii. Number of veterans completing the pre and post survey;
 - iv. Survey responses for all completed surveys; and
 - v. Narrative description of program progress, successes, and barriers.
- (b) The following is an optional item to report:
Recommendations for programs in the future which may seek to build on and scale this pilot model.

(5) **Financial Assistance Calculation, Disbursement, and Confirmation of Performance and Reporting Requirements Procedures**
(exceeding Section 5, MHS 16)

None

- b. Service Name: **MOBILE CRISIS INTERVENTION SERVICES**
Service ID Code: **MHS 25A**
Specialized Service: **STABILIZATION SERVICES FOR CHILDREN AND THEIR FAMILIES**
Specialized ID Code: **MHS 25A**

(1) **Service Description** (exceeding Section 1, MHS 25)

County, through its Community Mental Health Programs (CMHP), shall require that stabilization services are available for eligible children (Birth through 20 years of age) and their families for up to 56 calendar days, following the initial crisis response, in accordance with OAR 309-072-0100 to 309-072-0160. This model of care is based on a national crisis response model for children, and known as Mobile Response and Stabilization Services (MRSS). Stabilization services are outlined in MHS 25A and are required. MHS 25A will replace the former MHS 08 Crisis and Transition Services (CATS).

When a provider responds to a child and family in crisis, they will work in partnership with the child and their families, to de-escalate the current crisis and connect the family to needed resources. In some cases, the provider may determine, in partnership with the child and family, that they may benefit from immediate access to stabilization services and supports to assist the family while waiting for longer term ongoing services to be available.

Stabilization services are meant to be a short-term intervention that provides bridge services that may include brief individual or family therapy, skills training, family and youth peer support services and medication management while also helping the family access the appropriate community-based service and supports.

Each family enrolled is offered rapid access to a Qualified Mental Health Professional (QMHP) and Family Support Specialist who work directly with the child and their family to create a service plan with short term goals and objectives to meet the unique needs of the family, stabilize behavioral health needs; and improve functioning in life domains while establishing and transitioning care to longer term services and supports.

County shall provide stabilization services in accordance with Service Element MHS 25 and OAR 309-072-0160.

(a) **Family Support Specialist (FSS) Role and Responsibilities**

- i. The County will ensure a FSS is available in accordance with OAR 309-072-0160(2)(k).
- ii. OHA will partner with community stakeholders to create a Family Guide for Stabilization Services. Providers shall require that each family enrolled in services receives a copy of the Family Guide for Stabilization Services starting in March 2024.

(b) **Subcontractors**

- i. The County is ultimately responsible for making sure that all required service elements and OARs are being met whether directly provided or provided under sub-contractual arrangement.

- ii. County may subcontract with another agency to provide stabilization services.
- iii. Subcontractors are required to have a Certificate of Approval (COA) to provide stabilization services.
- iv. Subcontractors are required to meet all applicable rules under OAR 309-072-0160.
- v. County is required to submit either a copy of the contractual agreement with the subcontractor or an MOU to HSD.Contracts@odhsoha.oregon.gov within 45 calendar days of execution of this contract and must include at a minimum:
 - A. Roles and responsibilities of both the County and subcontractor; and,
 - B. Plan for ongoing communication and coordination of services between County and subcontractors.
- (c) Whenever possible, providers should prioritize key leadership and direct service staff attendance in the monthly Learning Collaborative facilitated by the Oregon Health Authority.

(2) Performance Requirements (exceeding Section 2, MHS 25)

(a) Optional Performance Requirements

- i. County may be eligible for an additional \$10,000 in funding from OHA if County can clearly demonstrate in writing, completion of one of the activities listed below.
- ii. County shall submit written documentation to: hsd.contracts@odhsoha.oregon.gov prior to Jan. 31, 2024, to be considered for payment.
- iii. Eligible activities include the following:
 - A. 50% of the 2 person mobile crisis intervention teams dispatched to the community will include a face-to-face response, by either a QMHP or Family Support Specialist.
 - B. 50% of staff working with children and families attend the Youth Save Training.
 - C. County is able to demonstrate, a 10% reduction in emergency department boarding during calendar year 2023, for children in their community.
 - D. 50% of staff receive an OHA approved advanced training in working with neurodiverse and Intellectual and Developmental Disabilities (IDD) children and their families.
 - E. CMHP will provide no less than 5 presentations to their local community stakeholders on Mobile Crisis Intervention Services and stabilization services for children and their families, within their service area.

(3) Reporting Requirements (exceeding Section 3, MHS 25)

None.

(4) **Special Reporting Requirements** (exceeding Section 4, MHS 25)

- (a) Forms are located at <http://www.oregon.gov/OHA/HSD/AMH/Pages/Reporting-Requirements.aspx>.
- (b) County or subcontractor shall complete and submit the Authority approved pre and post assessment tool and at the start and end of stabilization services and submit the assessment to the Authority approved contractor.
- (c) County agrees to work directly with OHA approved contractor to submit the required pre and post assessment tools and other data points related to stabilization services.
- (d) The OHA approved contractor is responsible for analyzing the provided data and developing quarterly reports which includes outcome data for stabilization services.
- (e) County is responsible for reviewing and approving the quarterly reports generated by the OHA approved contractor which include stabilization services outcome data.
- (f) OHA approved contractor shall submit the quarterly report to OHA via hsd.contracts@odhsoha.oregon.gov on behalf of the County, no later than 45 calendar days after the end of each quarter.

(5) **Financial Assistance Calculation, Disbursement, and Confirmation of Performance and Reporting Requirements Procedures**

(exceeding Section 5, MHS 25)

None.

- c. Service Name: **NON-RESIDENTIAL MENTAL HEALTH SERVICES FOR YOUTH & YOUNG ADULTS IN TRANSITION**
- Service ID Code: **MHS 26**
- Specialized Service: **EARLY ASSESSMENT AND SUPPORT ALLIANCE (EASA)**
- Specialized ID Code: **26A**

(1) **Service Description** (exceeding Section 1, MHS 26)

Early Assessment and Support Alliance (EASA) is a transitional, coordinated specialty care program, serving young Individuals experiencing symptoms consistent with a diagnosable psychotic disorder or at clinical high risk for such, for approximately 2 years.

Services are described in the EASA Practice Guideline (Melton, R.P., Penkin, A., Hayden-Lewis, K., Blea, P., Sisko, R., & Sale, T. (2013), incorporated by reference herein.

Services shall prioritize communities that have been historically impacted by racism, discrimination and health inequities. Services shall be trauma informed and culturally and linguistically responsive and work to reduce the impacts of adverse childhood and traumatic experiences.

(a) **Definitions:**

- i. **Multi-Family Groups** means a structured family group which can consist of either multiple families from the community, or multiple members of a single family network.. Multi-family groups are a preferred method of treatment for most Individuals and their families/support system (McFarlane, 2002). Where Multi-Family Groups are not available, single-family groups can be offered following the same format. Fidelity to Multi-Family Groups standards in each of the key stages is critical: joining sessions, family workshops, and carefully structured initial and ongoing problem solving sessions.
- ii. **Participatory Decision Making** means Individuals and family/primary support system involved in service planning, delivery, monitoring, and evaluation seem to facilitate the development of ongoing services that are accessible and culturally appropriate for them and may result in more responsive treatment providers, better quality of care, and more empowered Individuals and primary family/primary support system (McGorry et al., 2010).
- iii. **Psycho-education** means developing a shared and increased understanding of the illness and recovery process for both the Individual and the family/support system. Specific attention is given to cultural values and norms of an audience and broad accessibility to this information is essential (EASA Fidelity Guidelines, 2013).
- iv. **Psychosis-Risk Syndrome** means Schizophrenia-related conditions frequently have a gradual onset. Neurocognitive, sensory, perceptual, and affective changes, usually accompanied by a decline in functioning, characterize the at-risk mental state. Identifying,

monitoring, and providing needs-based care during a potential psychosis-risk mental state is optimal. The evidence regarding the effectiveness of specific interventions (therapy, medications, etc.) remains preliminary. It is measured by the Structured Interview for Psychosis-Risk syndrome (SIPS), performed by a skilled diagnostician certified in the tool (McGlashan, Walsh, & Woods, 2010), incorporated by reference herein.

- v. **Community Education** means a core element of early intervention services is a proactive and ongoing campaign to increase early identification and the speed and number of early referrals and reduce attitudinal barriers about schizophrenia-related conditions. This reduces the duration of untreated psychosis. Specific attention is given to cultural values and norms of an audience and broad accessibility to this information is essential (EASA Fidelity Guidelines, 2013).

(2) **Performance Requirements** (exceeding Section 2, MHS 26)

County shall provide Services to eligible Individuals as listed below:

- (a) Eligible Population: EASA Services are to be provided to Individuals ages 12 through 27 years of age whom:
 - i. Have not had a diagnosable psychotic disorder other than psychosis-risk syndrome, identified by the Structured Interview for Psychosis Risk Syndrome (SIPS) or other EASA Center for Excellence (C4E) approved formal assessment, for a period longer than 12 months; and
 - ii. Have psychotic symptoms not known to be caused by the temporary effects of substance intoxication, major depression, or attributable to a known medical condition.
- (b) Access to EASA across all referral sources: emergency departments, hospitals, community partners, schools, and families, regardless of ability to pay. Upon referral, contact shall be made within two (2) business days of the referral by EASA staff with the Individual (and family) in a location that best suits the Individual. Individuals are enrolled in EASA once they are determined to have met the eligibility criteria and agree they are comfortable with the program;
- (c) Services intended to be a transitional coordinated specialty care service, designed to last an average of 2 years. An Individual's Services can be flexible with the timing of the transition, based on the needs of the Individual, their family, and the Individual's progress and goals;
- (d) Services rendered based on the needs of the Individual and their family as frequently as needed to optimize the EASA program's support and impact. EASA teams should provide access to crisis services for the EASA Individual, family, and primary supports.
- (e) Provide Services as described in the EASA Practice Guidelines (Melton, R.P., Penkin, A., Hayden-Lewis, K., Blea, P., Sisko, R., & Sale, T. (2013).

- (f) Provide technologically-based support to EASA participants that include, but are not limited to, text messaging, email, and telemedicine in order to communicate and facilitate Services.
- (g) The EASA team works with people in five phases: Assessment and stabilization, adaptation, consolidation, transition, and post-graduation.
 - i. Phase 1 (up to 6 months): Assessment and stabilization: Outreach, engagement, assessment, initiation of medical treatment (including psychosis and alcohol/drug dependency), identification of strengths, resources, needs, and goals, start of multi-family groups, stabilization of current situation.
 - ii. Phase 2 (approximately 6 months): Adaptation: More extensive education to the individual and family/primary support system, address adaptation issues, refine/test the relapse plan, move forward on living and/or vocational goals, identify accommodations as needed at work or school, identify and develop stable long-term economic and social support, provide opportunities for peer involvement, physical fitness, etc.
 - iii. Phase 3 (approximately 6 months): Consolidation: Continue multi-family group, vocation support and individual treatment, work toward personal goals, develop a relapse prevention and long-term plan.
 - iv. Phase 4 (approximately 6 months): Transition: Maintain contact with EASA Team, continue multi-family group, participate in individual and group opportunities, establish ongoing treatment relationship and recovery plan.
 - v. Phase 5: Post-graduation: Continue multi-family group (in some situations), continue with ongoing providers, invitation to participate in events and mentoring, EASA planning/development activities, and periodic check-ins and problem solving as needed.
- (h) Within and in addition to the phases described above, the following elements are part of the successful delivery of the EASA model and implementation of the EASA program:
 - i. Rapid access to psychiatric and counseling services;
 - ii. Education about causes, treatment, and management of psychosis and explanations about potential causes for the onset of symptoms;
 - iii. Coaching on rights regarding access to employment, school, housing, and additional resources;
 - iv. Single family psycho-education and multi-family groups;
 - v. Support for vocational education and independent living goals consistent with Individual Placement and Support (IPS) framework that is the Supported Employment fidelity program that is integrated into EASA services and currently overseen by the Oregon Supported Employment Center for Excellence (OSECE);

- vi. Access to licensed medical psychiatric care, health related nursing care, mental health treatment, case management, supported education and employment, peer support for young adult and family, and occupational therapy or skill development;
 - vii. Provision of substance use disorder treatment within the team.
 - viii. Peer support (peers having lived experience with psychosis preferred regardless of age), participatory decision-making, and meaningful young adult engagement in program, community, and leadership activities as an EASA program component, and;
 - ix. Community-education.
- (i) Setting(s) for Service Delivery: Determined by the needs and goals of the Individual and their circumstances.
 - (j) Recommended Staff and Staff Training: EASA team members include licensed medical providers (LMP's), nurses, staff trained in case management and care coordination, staff qualified to provide occupational therapy and associated skill training, mental health therapists, mental health screeners, peer support specialists, supported education and employment specialists.
 - (k) EASA services and supports must be provided by staff that enable the team/provider to meet or pursue fidelity standards located at <http://www.easacommunity.org>. If County lacks qualified providers to deliver EASA services and supports, a plan to adjust the model will be developed with the EASA Center for Excellence staff and OHA.
 - (l) Additional Licensing or Certification Requirements:
 - i. The assessment for EASA Services and supports must be provided by Providers that meet fidelity standards, located at <http://www.easacommunity.org/PDF/Practice%20Guidelines%202013.pdf>. If County lacks qualified Providers to deliver EASA Services and supports, County shall implement a plan, in consultation with OHA, to develop a qualified Provider network for Individuals to access EASA Services.
 - ii. EASA-specific training requirements and opportunities are listed on the EASA Center for Excellence website: <http://www.easacommunity.org>.
 - (m) Staff working in the programs must have training in suicide prevention and intervention strategies and Trauma Informed Care and be provided with ongoing maintenance of the skills and practice associated with these approaches.
- (3) **Reporting Requirements** (exceeding Section 3, MHS 26)
- None
- (4) **Special Reporting Requirements** (exceeding Section 4, MHS 26)

Forms are located at <https://www.oregon.gov/OHA/HSD/AMH/Pages/Reporting-Requirements.aspx>.

Counties providing EASA Services shall submit data quarterly, directly into the Oregon Health & Science University (OHSU) EASA RedCap Data System. Instructions for data entry into RedCap are located at <https://www.easacommunity.org/resources-for-professionals.php> and individual provider entry is located at <https://octri.ohsu.edu/redcap/>. Quarterly data shall be submitted no later than 45 calendar days following the end of each subject quarter for which financial assistance is awarded through this Agreement.

Data collected through RedCap will reflect outreach, referral, intake and outcome-based measures. The outcome measures will be determined based on fidelity guidelines as stated above and best practices for First Episode of Psychosis treatment.

(5) **Financial Assistance Calculation, Disbursement, and Agreement Settlement Procedures** (exceeding Section 5, MHS 26)

None.

- d. Service Name: **OLDER OR DISABLED ADULT MENTAL HEALTH SERVICES**
- Service ID Code: **MHS 35**
- Specialized Service: **GERO-SPECIALIST**
- Specialized ID Code: **35A**

(1) **Service Description** (exceeding Section 1, MHS 35)

Older or Disabled Adult Mental Health Services (MHS 35) Specialized Service requirement (MHS 35A) are mental health services delivered directly or indirectly to older or disabled adults with mental illness.

(2) **Performance Requirements** (exceeding Section 2, MHS 35)

- (a) The funds awarded for MHS 35A Services may only be expended on community based direct and indirect care services for older or disabled adults with mental illness who are determined eligible. Such direct services include, but are not limited to, medication management, quarterly interagency staffing, follow-up services after treatment in local or state inpatient psychiatric hospitals, and screenings and referrals. Indirect care services include, but are not limited to, consultation, assistance working with multiple systems, case coordination, planning, supporting interagency collaboration, and education and training to agencies and caregivers who provide services that may affect older and disabled adults with mental illness.
- (b) If indirect care services, as described above, are delivered with MHS 35A funds provided through this Agreement, those services must be available to all relevant agencies and caregivers in the geographic area served by the CMHP and must be coordinated to include, but not limited to, Aging and People with Disabilities (APD), Department of Human Services (DHS)'s Aging and Disabilities Resource Connection, DHS's Adult Protective Services, CCOs, CMHPs, Acute care hospitals, Oregon State Hospital, caregivers, community partners, family members, and any other appropriate participants in client care.
- (c) All MHS 35A Services delivered with funds provided through this Agreement for direct care services must either be supervised or delivered by a Qualified Mental Health Professional, as defined in OAR 309-039-0510 (10), and in compliance with Standards for Adult Mental Health Services, as such rules may be revised from time to time. Qualified Mental Health Professionals and any designated Qualified Mental Health Associates, as defined in OAR 309-039-0510 (9), delivering such services must have a background with the older and disabled adult population or be participating in relevant training programs to acquire such knowledge.
- (d) Providers of MHS 35 Services delivered with funds provided through this Agreement that are subject to this Specialized Service requirement shall provide the following:
- (e) Regular access to a psychiatrist or nurse practitioner for case and medication review for Individuals receiving direct care MHS 35 Services;

- (f) Regular participation in interdisciplinary team meetings with APD staff or contractors serving Individuals receiving direct care MHS 35 Services;
 - (g) Discharge assistance (from in-patient psychiatric hospitals) and provide or arrange for short term follow-up services for Individuals receiving MHS 35 Services;
 - (h) Be available to County crisis team and DHS's Adult Protective Services for consultation on geriatric cases;
 - (i) Regular collaboration with APD, DHS's Aging and Disabilities Resource Connection, CMHPs, CCO's and CCO ICC Teams, Acute care hospitals, Oregon State Hospital, living facilities, families, and others as appropriate;
 - (j) Indirect services shall include, but not be limited to, prevention, planning, coordination, education, and assistance with urgent placement services;
 - (k) Oversight, support, and inter-agency coordination and collaboration for substance abuse treatment and prevention with older and disabled adults; and
 - (l) Have the experience, knowledge, and authority to effect change, make recommendations, and communicate to leadership.
- (3) **Reporting Requirements** (exceeding Section 3, MHS 35)
None
- (4) **Special Reporting Requirements** (exceeding Section 4, MHS 35)
None
- (5) **Financial Assistance Calculation, Disbursement, and Agreement Settlement Procedures** (exceeding Section 5, MHS 35)
None

**2024-2025 INTERGOVERNMENTAL AGREEMENT
FOR THE FINANCING OF COMMUNITY MENTAL HEALTH, ADDICTION TREATMENT,
RECOVERY, & PREVENTION, AND PROBLEM GAMBLING SERVICES**

**EXHIBIT C
FINANCIAL ASSISTANCE AWARD**

MOD#: _____

CONTRACT#: _____ CONTRACTOR: _____

INPUT CHECKED BY: _____ DATE CHECKED: _____

COLUMN HEADERS:

<u>SE#</u>	<u>FUND</u>	<u>PROJ CODE</u>	<u>CPMS</u>	<u>PROVIDER</u>	<u>EFFECTIVE DATES</u>
<u>SLOT CHANGE / TYPE</u>	<u>RATE</u>	<u>OPERATING DOLLARS</u>	<u>STARTUP DOLLARS</u>	<u>PART ABC</u>	<u>PART IV</u>
<u>PAAF CD</u>	<u>BASE</u>	<u>CLIENT CODE</u>	<u>SP#</u>		

Exhibit C Financial Pages

MODIFICATION INPUT REVIEW REPORT

MOD#: A0132

CONTRACT#: 026007

CONTRACTOR: CROOK COUNTY

INPUT CHECKED BY: _____ DATE CHECKED: _____

SE#	FUND	PROJ CODE	CPMS PROVIDER	EFFECTIVE DATES	SLOT CHANGE/TYPE	RATE	OPERATING DOLLARS	STARTUP PART DOLLARS ABC	PART IV	PAAF CD	BASE	CLIENT CODE	SP#
FISCAL YEAR: 2023-2024													
		BASEAD	CROOK CO.										
63	421	-0-		1/1/2024 - 6/30/2024	0 /NA	\$0.00	\$7,280.50	\$0.00	A	1	Y		
TOTAL FOR SE# 63							\$7,280.50	\$0.00					
		BASEAD	CROOK CO.										
66	401	-0-		1/1/2024 - 6/30/2024	0 /NA	\$0.00	\$17,948.25	\$0.00	A	1	Y		1
		BASEAD	CROOK CO.										
66	520	-0-		1/1/2024 - 6/30/2024	0 /NA	\$0.00	\$15,330.86	\$0.00	A	1	Y		1
		BASEAD	CROOK CO.										
66	807	-0-		1/1/2024 - 6/30/2024	0 /NA	\$0.00	\$702.75	\$0.00	A	1	Y		
		BASEAD	CROOK CO.										
66	807	-0-		1/1/2024 - 6/30/2024	0 /NA	\$0.00	\$702.75	\$0.00	C	1	Y		2
TOTAL FOR SE# 66							\$34,684.61	\$0.00					
		GAMBL	CROOK CO.										
80	888	-0-		1/1/2024 - 6/30/2024	0 /NA	\$0.00	\$11,787.50	\$0.00	A	1	Y		
TOTAL FOR SE# 80							\$11,787.50	\$0.00					
		GAMBL	CROOK CO. (Bestcare)										
81	888	-0-		1/1/2024 - 6/30/2024	0 /NA	\$0.00	\$6,612.50	\$0.00	A	1	Y		
TOTAL FOR SE# 81							\$6,612.50	\$0.00					
TOTAL FOR 2023-2024							\$60,365.11	\$0.00					
FISCAL YEAR: 2024-2025													
		BASEAD	CROOK CO.										
63	421	-0-		7/1/2024 - 6/30/2025	0 /NA	\$0.00	\$14,561.00	\$0.00	A	1	Y		
TOTAL FOR SE# 63							\$14,561.00	\$0.00					
		BASEAD	CROOK CO.										
66	401	-0-		7/1/2024 - 6/30/2025	0 /NA	\$0.00	\$35,896.50	\$0.00	A	1	Y		1
		BASEAD	CROOK CO.										
66	520	-0-		7/1/2024 - 6/30/2025	0 /NA	\$0.00	\$30,661.72	\$0.00	A	1	Y		1
		BASEAD	CROOK CO.										
66	807	-0-		7/1/2024 - 6/30/2025	0 /NA	\$0.00	\$1,405.50	\$0.00	A	1	Y		
TOTAL FOR SE# 66							\$67,963.72	\$0.00					

MODIFICATION INPUT REVIEW REPORT

MOD#: A0132

CONTRACT#: 026007

CONTRACTOR: CROOK COUNTY

INPUT CHECKED BY: _____ DATE CHECKED: _____

SE#	FUND	PROJ	CPMS	PROVIDER	EFFECTIVE DATES	SLOT CHANGE/TYPE	RATE	OPERATING DOLLARS	STARTUP PART DOLLARS ABC	PART IV	PAAF CD	BASE	CLIENT CODE	SP#
FISCAL YEAR: 2024-2025														
80	888	GAMBL	-0-	CROOK CO.	7/1/2024 - 6/30/2025	0 /NA	\$0.00	\$23,575.00	\$0.00	A	1	Y		
								<u>\$23,575.00</u>	<u>\$0.00</u>					
TOTAL FOR SE# 80														
81	888	GAMBL	-0-	CROOK CO. (Bestcare)	7/1/2024 - 6/30/2025	0 /NA	\$0.00	\$13,225.00	\$0.00	A	1	Y		
								<u>\$13,225.00</u>	<u>\$0.00</u>					
TOTAL FOR SE# 81														
TOTAL FOR 2024-2025								<u>\$119,324.72</u>	<u>\$0.00</u>					
TOTAL FOR A0132 026007								\$179,689.83	\$0.00					

OREGON HEALTH AUTHORITY
Financial Assistance Award Amendment (FAAA)

CONTRACTOR: CROOK COUNTY
DATE: 12/27/2023

Contract#: 026007
REF#: 001

REASON FOR FAAA (for information only):

Payments provided through this Financial Assistance Agreement (FAA) are for Mental Health, Addictions Treatment, Recovery and Prevention, and Problem Gambling Services, as allocated within OHA's 2023-2025 Legislative Approved Budget (LAB), but only for the 18-month term of this Agreement, beginning on January 1, 2024 and ending June 30, 2025. This FAA may require modification by written amendment, or by administrative amendment (memo), provided that such administrative amendment is only used to change the fund source coding and not the amount of funding, to reflect the actual funding amounts remaining in the 2023-2025 LAB. It is OHA's intension to discontinue Calendar Year agreement terms and return the Financial Assistance Agreement (FAA) to a 2-year fiscal biennium term, beginning July 1, 2025, for the 2025-2027 Biennium.

The following special condition(s) apply to funds as indicated by the special condition number in column 9. Each special condition set forth below may be qualified by a full description in the Financial Assistance Award.

A0132 1 These funds must result in the delivery of A&D 66 Services to a minimum of 55 unduplicated individuals receiving outpatient Services and enrolled in the MOTS system on or after January 1, 2024. Up to 20% of 55 can be provided as Prevention, Education, and Outreach to non-enrolled individuals. Cases without evidence of treatment engagement in the clinical record do not count toward the service delivery requirement, except as listed above for Prevention, Education, and Outreach. Report of Prevention, Education, and Outreach must be submitted annually on the form located at <https://www.oregon.gov/OHA/HSD/AMH/Pages/federal-reporting.aspx> Under delivery of Services subject to this financial assistance may result in recovery of funds at the rate of \$1200 per individual.

A0132 2 The financial assistance subject to this special condition will be disbursed to County in one lump sum within 30 calendar days after the date this Agreement becomes executed.

MODIFICATION INPUT REVIEW REPORT

MOD#: M0792

CONTRACT#: 026007

CONTRACTOR: CROOK COUNTY

INPUT CHECKED BY: _____ DATE CHECKED: _____

SE#	FUND	PROJ CODE	CPMS PROVIDER	EFFECTIVE DATES	SLOT CHANGE/TYPE	RATE	OPERATING DOLLARS	STARTUP PART DOLLARS ABC	PART IV	PAAF CD	BASE	CLIENT CODE	SP#
FISCAL YEAR: 2023-2024													
		BASE	AID & ASSIST PROJECT										
4	804	AAP		1/1/2024 - 6/30/2024	0 /NA	\$0.00	\$74,579.20	\$0.00	A	1	Y		
		BASE	AID & ASSIST PROJECT										
4	804	AAP		1/1/2024 - 6/30/2024	0 /NA	\$0.00	\$3,293.00	\$0.00	A	1	Y		
		BASE	AID & ASSIST PROJECT										
4	804	AAP		1/1/2024 - 6/30/2024	0 /NA	\$0.00	\$3,293.00	\$0.00	C	1	Y		2
		BASE	AID & ASSIST PROJECT										
4	804	AAP		1/1/2024 - 6/30/2024	0 /NA	\$0.00	\$18,644.80	\$0.00	C	1	Y		3
				TOTAL FOR SE# 4				<u>\$99,810.00</u>	<u>\$0.00</u>				
		BASE	NI JAIL DIVERSION										
9	406	NIJAIL		1/1/2024 - 6/30/2024	0 /NA	\$0.00	\$106,666.67	\$0.00	A	1	Y		
		BASE	NI JAIL DIVERSION										
9	804	NIJAIL		1/1/2024 - 6/30/2024	0 /NA	\$0.00	\$4,784.38	\$0.00	A	1	Y		
		BASE	NI JAIL DIVERSION										
9	804	NIJAIL		1/1/2024 - 6/30/2024	0 /NA	\$0.00	\$4,681.00	\$0.00	A	1	Y		
		BASE	NI JAIL DIVERSION										
9	804	NIJAIL		1/1/2024 - 6/30/2024	0 /NA	\$0.00	\$4,681.00	\$0.00	C	1	Y		2
				TOTAL FOR SE# 9				<u>\$120,813.05</u>	<u>\$0.00</u>				
		BASE	INVOICE SERVICES										
17	804	INVOIC		1/1/2024 - 6/30/2024	0 /NA	\$0.00	\$214.58	\$0.00	C	1	Y		1
				TOTAL FOR SE# 17				<u>\$214.58</u>	<u>\$0.00</u>				
		CMHS	MH BLOCK GRANT										
20	301	BLOCK		1/1/2024 - 6/30/2024	0 /NA	\$0.00	\$9,997.33	\$0.00	A	1	Y		
		BASE	NON-RESIDENTIAL MENT										
20	804	MHNRMH		1/1/2024 - 6/30/2024	0 /NA	\$0.00	\$247,882.33	\$0.00	A	1	Y		
		BASE	NON-RESIDENTIAL MENT										
20	804	MHNRMH		1/1/2024 - 6/30/2024	0 /NA	\$0.00	\$10,831.00	\$0.00	A	1	Y		
		BASE	NON-RESIDENTIAL MENT										
20	804	MHNRMH		1/1/2024 - 6/30/2024	0 /NA	\$0.00	\$10,831.00	\$0.00	C	1	Y		2
				TOTAL FOR SE# 20				<u>\$279,541.66</u>	<u>\$0.00</u>				

MODIFICATION INPUT REVIEW REPORT

MOD#: M0792

CONTRACT#: 026007

CONTRACTOR: CROOK COUNTY

INPUT CHECKED BY: _____ DATE CHECKED: _____

SE#	FUND	PROJ CODE	CPMS PROVIDER	EFFECTIVE DATES	SLOT CHANGE/TYPE	RATE	OPERATING DOLLARS	STARTUP PART DOLLARS ABC	PART IV	PAAF CD	BASE	CLIENT CODE	SE#	
FISCAL YEAR: 2023-2024														
		BASE	CRISIS AND ACUTE TRA											
25	406	CATS		1/1/2024 - 6/30/2024	0 /NA	\$0.00	\$1,284.33	\$0.00	A 25A	1	Y			
		BASE	COMMUNITY CRISIS SER											
25	406	CRISIS		1/1/2024 - 6/30/2024	0 /NA	\$0.00	\$30,455.67	\$0.00	A	1	Y			
		BASE	CRISIS AND ACUTE TRA											
25	804	CATS		1/1/2024 - 6/30/2024	0 /NA	\$0.00	\$1,968.00	\$0.00	A 25A	1	Y			
		BASE	CRISIS AND ACUTE TRA											
25	804	CATS		1/1/2024 - 6/30/2024	0 /NA	\$0.00	\$12,958.67	\$0.00	A 25A	1	Y			
		BASE	CRISIS AND ACUTE TRA											
25	804	CATS		1/1/2024 - 6/30/2024	0 /NA	\$0.00	\$1,968.00	\$0.00	C 25A	1	Y		2	
		BASE	COMMUNITY CRISIS SER											
25	804	CRISIS		1/1/2024 - 6/30/2024	0 /NA	\$0.00	\$89,939.67	\$0.00	A	1	Y			
		BASE	COMMUNITY CRISIS SER											
25	806	CRISIS		1/1/2024 - 6/30/2024	0 /NA	\$0.00	\$78,309.67	\$0.00	A	1	Y			
		BASE	CRISIS AND ACUTE TRA											
25	815	CATS		1/1/2024 - 6/30/2024	0 /NA	\$0.00	\$31,839.00	\$0.00	A 25A	1	Y			
TOTAL FOR SE# 25							<u>\$248,723.01</u>	<u>\$0.00</u>						
TOTAL FOR 2023-2024							<u>\$749,102.30</u>	<u>\$0.00</u>						
FISCAL YEAR: 2024-2025														
		BASE	AID & ASSIST PROJECT											
4	804	AAP		7/1/2024 - 6/30/2025	0 /NA	\$0.00	\$149,158.40	\$0.00	A	1	Y			
		BASE	AID & ASSIST PROJECT											
4	804	AAP		7/1/2024 - 6/30/2025	0 /NA	\$0.00	\$6,586.00	\$0.00	A	1	Y			
		BASE	AID & ASSIST PROJECT											
4	804	AAP		7/1/2024 - 6/30/2025	0 /NA	\$0.00	\$37,289.60	\$0.00	C	1	Y		3	
TOTAL FOR SE# 4							<u>\$193,034.00</u>	<u>\$0.00</u>						
		BASE	NI JAIL DIVERSION											
9	406	NIJAIL		7/1/2024 - 6/30/2025	0 /NA	\$0.00	\$213,333.34	\$0.00	A	1	Y			
		BASE	NI JAIL DIVERSION											
9	804	NIJAIL		7/1/2024 - 6/30/2025	0 /NA	\$0.00	\$9,568.76	\$0.00	A	1	Y			
		BASE	NI JAIL DIVERSION											

MODIFICATION INPUT REVIEW REPORT

MOD#: M0792

CONTRACT#: 026007

CONTRACTOR: CROOK COUNTY

INPUT CHECKED BY: _____ DATE CHECKED: _____

SE#	FUND	PROJ CODE	CPMS PROVIDER	EFFECTIVE DATES	SLOT CHANGE/TYPE	RATE	OPERATING DOLLARS	STARTUP PART DOLLARS ABC	PART IV	PAAF CD	BASE	CLIENT CODE	SP#
FISCAL YEAR: 2024-2025													
9	804		NIJAIL	7/1/2024 - 6/30/2025	0 /NA	\$0.00	\$9,362.00	\$0.00	A	1	Y		
TOTAL FOR SE# 9							<u>\$232,264.10</u>	<u>\$0.00</u>					
		BASE	INVOICE SERVICES										
17	804		INVOIC	7/1/2024 - 6/30/2025	0 /NA	\$0.00	\$429.18	\$0.00	C	1	Y		1
TOTAL FOR SE# 17							<u>\$429.18</u>	<u>\$0.00</u>					
		CMHS	MH BLOCK GRANT										
20	301		BLOCK	7/1/2024 - 6/30/2025	0 /NA	\$0.00	\$19,994.67	\$0.00	A	1	Y		
		BASE	NON-RESIDENTIAL MENT										
20	804		MHNRMH	7/1/2024 - 6/30/2025	0 /NA	\$0.00	\$495,764.67	\$0.00	A	1	Y		
		BASE	NON-RESIDENTIAL MENT										
20	804		MHNRMH	7/1/2024 - 6/30/2025	0 /NA	\$0.00	\$21,662.00	\$0.00	A	1	Y		
TOTAL FOR SE# 20							<u>\$537,421.34</u>	<u>\$0.00</u>					
		BASE	CRISIS AND ACUTE TRA										
25	406		CATS	7/1/2024 - 6/30/2025	0 /NA	\$0.00	\$2,568.67	\$0.00	A 25A	1	Y		
		BASE	COMMUNITY CRISIS SER										
25	406		CRISIS	7/1/2024 - 6/30/2025	0 /NA	\$0.00	\$60,911.33	\$0.00	A	1	Y		
		BASE	CRISIS AND ACUTE TRA										
25	804		CATS	7/1/2024 - 6/30/2025	0 /NA	\$0.00	\$3,936.00	\$0.00	A 25A	1	Y		
		BASE	CRISIS AND ACUTE TRA										
25	804		CATS	7/1/2024 - 6/30/2025	0 /NA	\$0.00	\$25,915.33	\$0.00	A 25A	1	Y		
		BASE	COMMUNITY CRISIS SER										
25	804		CRISIS	7/1/2024 - 6/30/2025	0 /NA	\$0.00	\$179,880.33	\$0.00	A	1	Y		
		BASE	COMMUNITY CRISIS SER										
25	806		CRISIS	7/1/2024 - 6/30/2025	0 /NA	\$0.00	\$156,619.33	\$0.00	A	1	Y		
		BASE	CRISIS AND ACUTE TRA										
25	815		CATS	7/1/2024 - 6/30/2025	0 /NA	\$0.00	\$63,678.00	\$0.00	A 25A	1	Y		
TOTAL FOR SE# 25							<u>\$493,508.99</u>	<u>\$0.00</u>					
TOTAL FOR 2024-2025							<u>\$1,456,657.61</u>	<u>\$0.00</u>					
TOTAL FOR M0792 026007							<u>\$2,205,759.91</u>	<u>\$0.00</u>					

OREGON HEALTH AUTHORITY
Financial Assistance Award Amendment (FAAA)

CONTRACTOR: CROOK COUNTY
DATE: 12/27/2023

Contract#: 026007
REF#: 000

REASON FOR FAAA (for information only):

Payments provided through this Financial Assistance Agreement (FAA) are for Mental Health, Addictions Treatment, Recovery and Prevention, and Problem Gambling Services, as allocated within OHA's 2023-2025 Legislative Approved Budget (LAB), but only for the 18-month term of this Agreement, beginning on January 1, 2024 and ending June 30, 2025. This FAA may require modification by written amendment, or by administrative amendment (memo), provided that such administrative amendment is only used to change the fund source coding and not the amount of funding, to reflect the actual funding amounts remaining in the 2023-2025 LAB. It is OHA's intension to discontinue Calendar Year agreement terms and return the Financial Assistance Agreement (FAA) to a 2-year fiscal biennium term, beginning July 1, 2025, for the 2025-2027 Biennium.

The following special condition(s) apply to funds as indicated by the special condition number in column 9. Each special condition set forth below may be qualified by a full description in the Financial Assistance Award.

- M0792 1A) These funds are for MHS 17, which encompasses Invoice Services found in service elements 26 ,27, 28, 30, 34 and 36 from 01/01/2024 to 6/30/2025 with Part C. B) For Services delivered to individuals, financial assistance awarded to County shall be disbursed to County and expended by County in accordance with and subject to the residential rate on the date of service delivery based upon the rate schedule found at www.oregon.gov/OHA/HSD/OHP/Pages/Fee-Schedule.aspx and incorporated into this Agreement by reference that is effective as of the effective date of this Agreement unless a new rate schedule is subsequently incorporated by amendment. Any expenditure by County in excess of the authorized rates as set forth www.oregon.gov/OHA/HSD/OHP/Pages/Fee-Schedule.aspx may be deemed unallowable and subject to recovery by OHA in accordance with the terms of this Agreement.
- M0792 2) The financial assistance subject to this special condition will be disbursed to County in one lump sum within 30 calendar days after the date this Agreement becomes executed.
- M0792 3A) These funds are for MHS 04 Aid and Assist Client Services. B) The financial assistance subject to this special condition will be disbursed to County in one lump sum within 30 calendar days after the date this Agreement becomes executed.

OREGON HEALTH AUTHORITY
Financial Assistance Award Amendment (FAAA)

CONTRACTOR: CROOK COUNTY
DATE: 12/27/2023

Contract#: 026007
REF#: 000

EXPLANATION OF FINANCIAL ASSISTANCE AWARD

The Financial Assistance Award set forth above and any Financial Assistance Award amendment must be read in conjunction with this explanation for purposes of understanding the rights and obligations of OHA and County reflected in the Financial Assistance Award.

1. Format and Abbreviations in Financial Assistance Award

- a. **Heading.** The heading of the Financial Assistance Award consists of the following information:
- (1) **MOD#** is the alphanumeric Modification code, assigned by the OHA HSD Contracts Unit staff member, for that specific Financial Assistance Award. A MOD# beginning with an M is a mental health modification; a MOD# beginning with an A is a substance use disorder or problem gambling modification.
 - (2) **CONTRACT#** is the unique identification number of the Agreement containing the Financial Assistance Award. This number is assigned by the Office of Contracts & Procurement (OC&P).
 - (3) **CONTRACTOR** is the County or the legal entity named in and for that specific Agreement containing the Financial Assistance Award.
 - (4) **Input Checked** is for OHA's internal use only.
 - (5) **Date Checked** is for OHA's internal use only.
- b. **Financial and Service Information.** Each Service awarded funds is listed by Fiscal Year and then by the Service Element number. The amount of financial assistance awarded for each Service and certain other Service information is listed below the Fiscal Year and then by the Service Element number on one or more lines. Financial assistance awarded for a particular Service may not be used to cover the costs of any other Service, except as permitted under Exhibit F, "General Terms and Conditions," section 3.a, of this Agreement. The funds, as set forth on a particular line, will be disbursed in accordance with and are subject to the restrictions set forth on that particular line. The awarded funds, disbursement information and restrictions on a particular line are displayed in a columnar format as follows:
- (1) **Column 1, SE#:** The Service Element number(s) identifies the Service or Service capacity, as applicable, to be delivered under the approved Service Element(s), as set forth on that particular line of the Financial Assistance Award.
 - (2) **Column 2, Fund:** This column identifies the fund number and description of the funding source, according to HSD's financial system, used for payments for this specific line of the Financial Assistance Award. The types of funds are as follows:
 - (a) 301 Mental Health Block Grant (MHBG) – Federal Funds
 - (b) 313 Projects for Assistance in Transition from Homelessness (PATH) - Federal Funds
 - (c) 331 Mental Health Block Grant (MHBG) American Rescue Plan Act of 2021 (ARPA)
 - (d) 341 Mental Health Block Grant (MHBG) Coronavirus Response and Relief Supplement Appropriations Act of 2021
 - (e) 401 Mental Health Marijuana Tax – Other Funds

- (f)** 402 Cares Act Coronavirus Relief Fund– Federal Funds
- (g)** 406 Tobacco Tax New Investments – Other Funds
- (h)** 411 Tobacco Master Settlement Account – Other Funds
- (i)** 420 Beer and Wine Tax (20%) – Other Funds
- (j)** 421 Beer and Wine Tax (40%) Treatment – Other Funds
- (k)** 424 Intoxicated Driver Program Fund Outpatient – Other Funds
- (l)** 426 Criminal Fines Assessment Prevention – Other Funds
- (m)** 427 Marijuana Tax (20%) – Other Funds
- (n)** 428 Ballot Measure 110 – State Funds
- (o)** 450 Marijuana Tax (40%) – Other Funds
- (p)** 520 Substance Abuse Prevention and Treatment (SAPT) Treatment – Federal Funds
- (q)** 560 State Opioid Response – Federal Funds
- (r)** 708 Temporary Assistance for Needy Families (TANF) Programs – Federal Funds
- (s)** 804 Mental Health – General Funds
- (t)** 806 Mental Health New Investments – General Funds
- (u)** 807 Alcohol and Drug Treatment – General Funds
- (v)** 810 Behavioral Health Planning Grants – General Funds
- (w)** 811 Aid & Assist - General Funds
- (x)** 815 Mobile Response and Stabilization Service (MRSS) New Investment – General Fund
- (y)** 887 Veterans Behavioral Health Lottery Dollars – Lottery Funds
- (z)** 888 Gambling Treatment – Lottery Funds
- (aa)** 908 Temporary Assistance for Needy Families (TANF) Programs – General Fund Match
- (bb)** DDX Standard Fund Splits – Uses multiple fund types by percentage
- (cc)** SBD Standard Fund Splits – Uses multiple fund types by percentage
- (dd)** SBT Standard Fund Splits – Uses multiple fund types by percentage
- (ee)** SDX Standard Fund Splits – Uses multiple fund types by percentage
- (ff)** STD Standard Fund Splits – Uses multiple fund types by percentage

Additional fund numbers may be added during the term of this Agreement and in the Financial Assistance Award by using an Administrative Memo to Counties via email to the contact person listed in Exhibit G, “Standard Terms and Conditions,” section 18., “Notice.” to note the new code number and description.

The fund numbers with source descriptions identifying General Funds or Other Funds as the funding source may actually be paid under a different fund number Page 401

and source based upon actual funds available at the time of payment. Changes to the Financial Assistance Award to move amounts from one fund source to another fund source but otherwise budget neutral will be processed as an Administrative Adjustment rather than issuing an Amendment to the Financial Assistance Award. The notice of Administrative Adjustment will be sent to the County via email to the contact person listed in Exhibit G, "Standard Terms and Conditions," Section 18., "Notice." County shall have 30 calendar days to request OHA replace the Administrative Adjustment notice with an Amendment to the Financial Assistance Award. If the County does not make such a request, the Financial Assistance Award shall be deemed amended as noted in the Administrative Adjustment and agreed to by both parties.

- (3) **Column 3, Proj Code:** This item is for OHA's internal use only.
- (4) **Column 4, CPMS:** This item is for OHA's internal use only.
- (5) **Column 5, Provider:** This is either the Provider's name or a description for a specific Service as set forth on that particular line of the Financial Assistance Award.
- (6) **Column 6, Effective Dates:** This specifies the time period during which the Service or Service capacity, as applicable, is expected to be delivered utilizing the approved Service funds as set forth on that particular line of the Financial Assistance Award. For purposes of disbursement method "A" (as described in Section (11), "Column 11, Part ABC," below), these dates also specify the time period during which the approved Service funds will be disbursed to County.
- (7) **Column 7, Slot Change/Type:** This is either the number of slots or number of days of Service or Service capacity, as applicable, OHA anticipates County to deliver during the period specified and utilizing the approved Service funds set forth on that particular line of the Financial Assistance Award. The Service or Service capacity, as applicable, must be delivered in the amounts and over the course of the time period specified on that line of the Financial Assistance Award. This column will be blank, followed by "NA" if the basis of payment set forth in the applicable Service Description is not tied to actual delivery of Services or Service capacity. The Slot Change/Type is the unit of measurement associated with the Effective Dates set forth in column 6. The Slot Change/Type is expressed in three-character designations and have the following meanings:
 - (a) **CSD:** One CSD (or Client Service Day) is one day of Service or Service capacity, as applicable, delivered to one Individual or made available for delivery to one Individual, as applicable.
 - (b) **N/A:** N/A means Slot Change/type is not applicable to the particular line.
 - (c) **SLT:** One SLT (or Slot) is the delivery or capacity to deliver, as applicable, the Service to an Individual during the entire period specified in the corresponding line of the Financial Assistance Award.
- (8) **Column 8, Rate:** This is the cost per day, per month, or per Slot Change/Type measurement for the Service or Service capacity, as applicable, to be delivered utilizing the approved Service funds as set forth on that line of the Financial Assistance Award.

- (9) **Column 9, Operating Dollars:** This is the total amount of funds awarded under this Agreement, as amended from time to time, for delivery of the Service and is OHA’s maximum, not-to-exceed obligation during the time period specified on that particular line, in support of the Services described on that particular line, of the Financial Assistance Award.
- (10) **Column 10, Startup Dollars:** This is the total amount of funds awarded under this Agreement, as amended from time to time, to be used only for one-time expenses incurred in initiating, expanding, or upgrading the specified Service, or for other special one-time expenses related to the Service. Start-up funds may only be spent for the purposes specified in the Special Condition(s) as listed in Column 16, “SP#.” Start-up funds are to be expended only in accordance with Exhibit K of this Agreement and with Start-up procedures within the applicable Service Elements.
- (11) **Column 11, Part ABC:** This column indicates the method by which OHA disburses the funds awarded under the Agreement, as amended from time to time. The disbursement method listed in this column, as indicated by the letter A, B, or C, will usually be consistent with the disbursement method set forth in the Service Description for the particular Service Element. The characters A, B and C indicate the following disbursement methods:
- (a) The letter ‘A’ indicates OHA will disburse the awarded funds to County in substantially equal monthly allotments during the period set forth in Column 6, “Effective Dates.”
 - (b) [Reserved] (The letter ‘B’ is no longer used.)
 - (c) The letter ‘C’ indicates OHA will disburse the awarded funds in the manner specified in Column 16, “SP#.”

If the disbursement method listed in this column is different than the method set forth in the Service Description, the disbursement method listed in this column shall control. This column only indicates the disbursement method to be used should County be entitled to receive funds awarded, which shall be determined in accordance with the basis of payment as set forth in the applicable Service Element. Any disbursements made to County in excess of the funds County is entitled to, as determined in accordance with the applicable basis of payment and through the Agreement Settlement process, will be recovered by OHA in accordance with the terms of this Agreement.

- (12) **Column 12, Part IV:** This is the Specialized Service Requirement Code, if applicable, and corresponds with the Specialized Service Requirement described in Exhibit B-2. If a code appears in this column, the Service must be delivered in accordance with the Specialized Service Requirement when the Service is delivered using approved Service funds, as set forth on that line of the Financial Assistance Award.
- (13) **Column 13, PAAF CD:** This column is the Plan/Amendment Approval Form (PAAF) code, which is the lookup field to title the various sections of the PAAF based on this PAAF code.
- (14) **Column 14, Base:** This is the code used to indicate how the Services being provided, as set forth on that line of the Financial Assistance Award, are to be handled at the end of the respective biennium, as follows:

- (a) The letter “Y” in this field indicates the Services subject to and modified by this Agreement, hereafter referred to as MOD, as set forth on that line of the Financial Assistance Award may continue into the next biennium. This will be contingent on the Services still being required, at that time and at that level, and upon OHA’s funding being continued at the present funding level or higher, through the Legislatively Adopted Budget for that specific biennium.
 - (b) The letter “N” in this field indicates the Services being modified in this MOD, as set forth on that line of the Financial Assistance Award, are not continuing into the next biennium.
 - (c) The letter “M” in this field indicates the Services being modified in this MOD, as set forth on that line of the Financial Assistance Award, are “maybe” going to continue into the next biennium. This will be determined at the time OHA is preparing the next biennium’s Agreements. This code is typically used for Services paid by Federal Grants.
- (15) **Column 15, Client Code:** This column is used when Service funds, as set forth on that line of the Financial Assistance Award, are for a specific client. The coded client name indicates the approved Service funds may only be expended on the delivery of the specified Service to the specified Individual. If this column is blank, Service funds are not intended for any particular Individual.
- (16) **Column 16, SP#:** This column is for Special Conditions, if any, that must be complied with when providing the Service using approved service funds set forth on that line of the Financial Assistance Award. For certain Services, the Special Conditions specify the rate at which financial assistance will be calculated for delivery of that Service or delivery of capacity for that Service. The Special Conditions are identified by a numeric code. A table or tables listing the Special Conditions by numeric code is included in the Financial Assistance Award.

2. **Format and Abbreviations in Financial Assistance Award Amendments.** The format and abbreviations in a Financial Assistance Award amendment are the same as those used in the initial Financial Assistance Award. If a Financial Assistance Award amendment amends the financial and service information in the Financial Assistance Award, the financial and service information line in the amendment will either amend an existing line in the financial and service information of the Financial Assistance Award or constitute a new line added to the financial and service information of the Financial Assistance Award. A financial and service information line in a Financial Assistance Award amendment (an “Amending Line”) amends an existing line of the Financial Assistance Award (a “Corresponding Line”) if the line in the Financial Assistance Award amendment awards funds for the same Service, specifies the same Child and Adolescent Needs and Strengths (CANS) Name (if applicable), and specifies the same SE# as an existing line (as previously amended, if at all) in the Financial Assistance Award and specifies a date range falling within the Effective Dates specified in that existing line (as previously amended, if at all). If an Amending Line has a positive number in the approved Operating Dollars column, those funds are added to the approved Operating Dollars of the Corresponding Line for the period specified in the Amending Line. If an Amending Line has a negative number in the approved Operating Dollars column, those funds are subtracted from the approved Operating Dollars of the Corresponding Line for period specified in the Amending Line. If an Amending Line has a positive number in the Slot Change/Type column, those Slots are added to the Slot Change/Type in the Corresponding Line for the period specified in the Amending Line. If an Amending Line has

a negative number in the Slot Change/Type column, those Slots are subtracted from the Slot Change/Type in the Corresponding Line for the period specified in the Amending Line. All Special Conditions identified in a Corresponding Line apply to funds identified on an Amending Line (unless a Special Condition or portion thereof on an Amending Line specifies a rate). If an Amending Line contains a Special Condition or portion of a Special Condition that specifies a rate, that Special Condition or portion thereof replaces, for the period specified in the Amending Line, any Special Condition or portion thereof in the Corresponding Line that specifies a rate. If a financial and service information line in a Financial Assistance Award amendment is not an Amending Line, as described above, it is a new line added to the Financial Assistance Award.

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RECOVERY, & PREVENTION, AND PROBLEM GAMBLING SERVICES**

**EXHIBIT D
PAYMENT, SETTLEMENT, AND CONFIRMATION REQUIREMENTS**

1. OHA provides funding for Services through Part A or C awards. The award type is identified in Exhibit C, “Financial Assistance Award,” on lines in which column “Part ABC,” contains an “A” for Part A award and a “C” for Part C award:

a. Funds awarded to County or Service Providers are subject to the following:

(1) OHA shall not authorize in aggregate, under this “Financial Assistance Calculation and Disbursement” section, financial assistance requested for Services in excess of the contractual Not-to-Exceed amount. “Total aggregate funding” means the total of all funding authorized in Exhibit C, “Financial Assistance Award.” The monthly rate will be prorated for any month in which the Individual does not receive Services for a portion of the month. Funding received by the County or Service Provider from an Individual, the Individual’s health insurance provider, another person’s health insurance provider under which Individual is also covered, or any other Third-Party Resource (TPR) in support of Individual’s care and Services, in addition to payments received under this financial assistance agreement for the same Service, during the same time period or date of Service for the same Individual, must be returned to OHA unless TPR funding is used to provide additional Service – increasing capacity – under the same Service Element for which payment from OHA and TPR was provided.

County must make reasonable efforts to obtain payment first from other resources consistent with OAR 410-120-1280. County is obligated to report to OHA, by email at hsd.contracts@odhsoha.oregon.gov, any TPR payments received, no later than 30 calendar days following expiration of this Agreement. The following information shall be provided:

- (a) OHA Contract name and number;
- (b) Client name and date of birth;
- (c) Service for which payment was received;
- (d) Date of service covered by payment;
- (e) Date of TPR payment received by County or Service Provider; and
- (f) Amount of payment.

(2) County is not entitled to funding in combination with Medicaid funds for the same Service, during the same time period or date of Services for the same Individual;

(3) At no time will OHA pay above the Medicaid rate. Additionally, OHA will not pay above the Medicaid rate in accordance with the OHA Mental Health and Developmental Disability Services Medicaid Payment for Rehabilitative Mental Health Services Rule, posted on the HSD PASRR website located at: <https://www.oregon.gov/oha/HSD/AMH/Pages/PASRR.aspx>, as it may be revised from time to time.

(4) OHA is not obligated to provide funding for any Services that are not properly reported in accordance with the “Reporting Requirements” and “Special Reporting Requirements” sections of this Contract or as required in an applicable Specialized

Service Requirement by the date 60 calendar days after the earlier of expiration or termination of this Agreement, termination of OHA's obligation to provide funding for Services, or termination of County's obligation to include the Program Area in which Services fall.

b. Part A awards:

OHA provides financial assistance for Services through Part A awards for non-Medicaid-eligible Services. County and Service Providers shall maintain compliance with OAR 410-172-0600 through 0860 Medicaid Payment for Behavioral Health, and OAR 943-120-0310 through 0320 Provider Enrollment Services, for Service Elements MHS 01, 09, 10, 12, 13, 15, 16, 20, 24, 25, 25A, 26, 27, 28, 31, 34, 36, and A&D 61, 63, 66, and 67.

- (1) Calculation of Financial Assistance: OHA will provide financial assistance for Services provided under a particular line of Exhibit C, "Financial Assistance Award," containing an "A" in column "Part ABC," from funds identified in that line in an amount equal to that line of the Financial Assistance Award during the period specified in that line. The total of OHA funds for all Services delivered under a particular line of Exhibit C, "Financial Assistance Award" containing an "A" in column "Part ABC," shall not exceed the total of awards for Services as specified in that line of the Financial Assistance Award and are subject to the limitations described herein.
- (2) Disbursement of Financial Assistance: Unless a different disbursement method is specified in that line of Exhibit C, "Financial Assistance Award," OHA will disburse the Part A allotments for Services provided under a particular line of the Financial Assistance Award containing an "A" in column "Part ABC," to County in substantially equal monthly allotments during the period specified in that line of the Financial Assistance Award subject to the following:
 - (a) OHA may, upon written request of County, adjust monthly allotments;
 - (b) Upon amendment to the Financial Assistance Award, OHA shall adjust monthly allotments as necessary, to reflect changes in the funds shown for Services provided under that line of the Financial Assistance Award; and
 - (c) OHA may, after 30 calendar days (unless parties agree otherwise) written notice to County, reduce the monthly allotments based on under-used funding identified through MOTS and other reports in accordance with the "Reporting Requirements" and "Special Reporting Requirements" sections or applicable special conditions.

c. Part B awards: [Reserved – Not currently in use]

d. Part C awards:

- (1) Part C awards are calculated and applied as follows:

Unless a different disbursement method is specified in that line of Exhibit C, "Financial Assistance Award," OHA will disburse the Part C funds for Services provided under a particular line of the Financial Assistance Award containing a "C" in column "Part ABC" to County per receipt and approval of a written invoice with required attachments, as specified below, in the monthly allotment during the period specified in that line of the Financial Assistance Award. Invoice and required attachments are due no later than 45 calendar days following the end of the subject month or quarter, and must be submitted to

hsd.contracts@odhsoha.oregon.gov, with the subject line “Invoice, contract # (your contract number), contractor name.” Financial assistance provided by OHA shall be subject to the limitations described in this Agreement.

- (a) For Services to Medicaid-eligible Individuals for whom the Services provided are not covered under Medicaid but are medically appropriate, County shall attach a copy of the Plan of Care (POC) and Coordinated Care Organization (CCO) refusal of payments for the item or Service. OHA will provide funding at the Medicaid Fee Schedule rate. At no time will OHA provide funding above the Medicaid Fee Schedule rate for Services.
- (b) For Services to non-Medicaid-eligible Individuals, County shall attach a copy of the bill or receipt, for the item or Service, to a combined monthly invoice, itemized by Individual. Part C funding for Psychiatric Security Review Board (PSRB) non-medically approved Services are only for the time period shown and do not carry forward into following years’ allotments.

e. Start-Up awards:

- (1) Calculation of Financial Assistance: OHA will provide financial assistance for A&D 60 and MHS 37 Services from funds identified in a particular line of Exhibit C, “Financial Assistance Award,” in an amount equal to the amount requested on the Start-Up form submitted by County, subject to the requirements of Exhibit K, “Start-Up Procedures.” The total OHA financial assistance for all A&D 60 and MHS 37 activities described herein under a particular line of the Financial Assistance Award shall not exceed the total funds awarded for A&D 60 and MHS 37 as specified in that line of the Financial Assistance Award.
- (2) Disbursement of Financial Assistance:
 - (a) Unless a different disbursement method is specified in that line of Exhibit C, “Financial Assistance Award,” OHA will disburse the Start-Up funds awarded for A&D 60 and MHS 37 in a particular line of the Financial Assistance Award after OHA’s receipt, review, and approval of County’s properly completed “Start-Up Request & Expenditure Report,” as described in and in accordance with Exhibit K, “Start-Up Procedures.”
 - (b) After execution of the Agreement or any amendment(s) for Start-Up disbursements, County may request an advance of funds it anticipates using in the subsequent 120 calendar days.

f. Settlement and Confirmation of Performance Requirements:

OHA uses either Settlement or Confirmation of Performance requirements at the end of each contracting period. The specific requirement will be listed in each individual Service Description.

(1) Agreement Settlement:

- (a) Agreement Settlement will be used to reconcile any discrepancies that may have occurred during the term of this Agreement between actual OHA disbursements of funds awarded for Services under a particular line of Exhibit C, “Financial Assistance Award,” containing an “A” in column “Part ABC,” and amounts due for such Services based on the rate set forth in the special condition identified in that line of the Financial Assistance

Award. For purposes of this section, amounts due to County are determined by the actual amount of Services delivered under that line of the Financial Assistance Award, as properly reported in accordance with the “Reporting Requirements” and “Special Reporting Requirements” sections of the Agreement or as required in an applicable Specialized Service Requirement, and subject to the terms and limitations in this Agreement.

The settlement process will not apply to funds awarded for an approved reserved service capacity payment.

(b) Agreement Settlement for Start-Up Services:

Agreement Settlement will be used to reconcile any discrepancies that may have occurred during the term of this Agreement between actual OHA disbursements of funds awarded for Start-Up and amounts due for Services based on actual allowable expenditures incurred in accordance with the Service Description and Exhibit K, “Start-Up Procedures.”

County shall submit all Start-Up Request and Expenditure Reports at the level of detail prescribed by OHA. Any reports not submitted by 45 calendar days after the expiration or termination date of this Agreement, whichever is earlier, shall not be accepted nor any funds owed by OHA.

(2) Confirmation of Performance and Reporting Requirements:

County shall be required to demonstrate through the data properly reported in accordance with the “Reporting Requirements” and “Special Reporting Requirements” sections, the qualifying Services to which these Services can be attributed, how funds awarded were utilized consistent with the terms and limitations herein to meet the performance requirements of the Service Description, and that County shall be subject to the monitoring and review of performance requirements and quality measures by the OHA Contract Administrator for the Program under which these Services fall and subject to the terms and limitations in this Agreement.

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**EXHIBIT E
SPECIAL TERMS AND CONDITIONS**

- 1. County Expenditures on Addiction Treatment, Recovery, & Prevention Services.** In accordance with ORS 430.345 to 430.380 (the “Mental Health Alcoholism and Drug Services Account”), County shall maintain its 2023-2024 financial contribution to alcohol and other drug treatment and prevention services at an amount not less than that for fiscal year 2023. Furthermore, and in accordance with the Mental Health Alcoholism and Drug Services Account, County shall maintain its 2025 financial contribution to alcohol and other drug treatment and prevention services at an amount not less than that for calendar year 2024. OHA may waive all or part of the financial contribution requirement in consideration of severe financial hardship or any other grounds permitted by law.
- 2. Limitations on use of Financial Assistance Awarded for Addiction Treatment, Recovery, & Prevention Services.** Financial assistance awarded under this Agreement for Addiction Treatment, Recovery, & Prevention Services (as reflected in the Financial Assistance Award), may not be used to:

 - a. Provide inpatient hospital services;
 - b. Make cash payments to intended recipients of health services;
 - c. Purchase or improve land, or purchase, construct or permanently improve (other than minor remodeling) any building or other facility or to purchase major medical equipment;
 - d. Satisfy any requirement for expenditure of non-federal funds as a condition for receipt of federal funds (whether the federal funds are Federal Funds under this Agreement or otherwise); or
 - e. Carry out any program prohibited by section 256(b) of the Health Omnibus Programs Extension Act of 1988 (codified at 42 U.S.C. 300ee-5), which specifically prohibits funds provided under this Agreement from being used to provide Individuals with hypodermic needles or syringes so that such Individuals may use illegal drugs, unless the Surgeon General of the Public Health Service determines that a demonstration needle exchange program would be effective in reducing drug abuse.
- 3.** County shall maintain separate fund balances for the Community Mental Health Services, Addiction Treatment, Recovery, & Prevention Services, and Problem Gambling Services.
- 4. County Investigating and Reporting Allegations of Abuse for Mental Health Services.** County shall investigate and report all allegations of abuse regarding served Individuals and provide protective services to those Individuals to prevent further abuse. The investigation, reporting and protective services must be completed in compliance with ORS 430.735 through 430.765 and OAR 407-045-0120 through 407-045-0955, as such statutes and rules may be revised from time to time.
- 5. Trauma Informed Services** also referred to as **Trauma Informed Care (TIC)**. CMHP shall comply with OAR 309-019-0105(118) as it relates to TIC. Providing any OHA Services, CMHP will have a TIC plan and TIC will appear as a core principle in CMHP policies, mission statement, and written program and service information, in accordance with OHA Trauma Informed Care Page 410

(TIC) Policy located at <https://www.oregon.gov/oha/amh/trauma-policy/Trauma%20Policy.pdf>. CMHP will initiate and complete an agency self-assessment and have a quality assurance structure/process to further develop and sustain TIC.

6. **Promotion, Prevention, Early Identification, and Intervention.** Within available funds, CMHP will focus on promotion, prevention and early identification and intervention of conditions that lead to behavioral and mental health conditions in the array of interventions supported by CMHP services. This focus will lead to improved outcomes and enhanced healthcare experiences for Individuals as well as reduce overall expenditures.
7. **Clinical Interventions and Support Services** provided to any Individual enrolled in the Oregon Health Plan (OHP) who is covered for these Services and for which the CCO or Medical Assistance Programs (MAP) pays for these Services are not eligible for Services. The OHP benefit package includes many of the Services provided under this Agreement. The intent is not to duplicate OHP but rather augment the package of Services.
8. **Performance Standards and Quality Measures.** County shall comply with the following:
 - a. A Provider delivering Services with funds provided through this Agreement may not use funds to deliver covered Services to any Individual known to be enrolled in the Oregon Health Plan.
 - b. The quality of Services supported with funds provided through this Agreement will be measured in accordance with the criteria set forth below. The criteria are applied on a countywide basis each calendar quarter (or portion thereof) during the period for which the funds are awarded. County shall develop and implement quality assurance and quality improvement processes to progressively improve, as measured by the criteria set forth below, the quality of Services provided under this Agreement. OHA may provide performance incentive funds to some or all of these standards and measures. OHA may recommend additional actions to improve quality.
 - (1) **Access:** Access is measured by OHA as the percentage of county residents, as estimated by an OHA approved survey to determine treatment need, who are enrolled in Services with the exception of prevention and promotion. This measure applies to all program areas; Community Mental Health, Addiction Treatment, Recovery, and Prevention, and Problem Gambling Services.
 - (2) **Treatment Service Initiation:** Treatment service initiation is measured as the percentage of Individuals served within 14 calendar days of the original assessment, also known as the index date. The index date is a start date with no Services in the prior 60 calendar days. This measure applies to all program areas; Community Mental Health, Addiction Treatment, Recovery, and Prevention, and Problem Gambling Services.
 - (3) **Treatment Service Retention:** Treatment service retention is measured as the percentage of Individuals engaged in and receiving Services (excluding prevention and promotion) with funds provided through this Agreement who are actively engaged in Services for 90 calendar days or more. This measure applies to all program areas; Community Mental Health, Addiction Treatment, Recovery, & Prevention, and Problem Gambling Services.
 - (4) **Reduced Use:** Reduced use is measured as the percentage of Individuals engaged in and receiving Addiction Treatment, Recovery, & Prevention Services with funds provided through this Agreement who reduce their use of alcohol or other drugs during treatment/Services, as reported in MOTS.

- (5) **Facility-Based Care Follow-Up:** Facility-based care follow-up is measured by the percentage of Individuals with a follow-up visit within 7 calendar days after hospitalization for mental illness or any facility-based Service defined as residential. This measure applies to all program areas; Community Mental Health, Addiction Treatment, Recovery, & Prevention, and Problem Gambling Services.
- (6) **Hospital and Facility-Based Readmission Rates:** Hospital and facility-based readmission rates are measured as a percentage of the number of Individuals returning to the same or higher levels of care within 30 and 180 calendar days divided by the total number of discharges. This measure applies to all program areas; Community Mental Health, Addiction Treatment, Recovery, & Prevention, and Problem Gambling Services.
- (7) **Parent-Child Reunification:** Parent-child reunification is measured as a percentage by dividing the number of parents reunited with a child (or multiple children) by the total number of parents served who had children in an out-of-home placement or foster care due to child welfare involvement. This measure applies to Addiction Treatment, Recovery, & Prevention Services only.
- (8) **Functional Outcomes – Housing Status; Employment Status; School Performance; and Criminal Justice Involvement:** Four functional outcome measures will be monitored by OHA and reported to the County as follows:
- (a) **Housing Status:** This measure will be monitored and reported when improved housing status is established as a goal of treatment and Services; or when a person is homeless or in a licensed care facility. The measure is expressed as the number of Individuals who improve housing status, as indicated by a change from homelessness or licensed facility-based care to private housing, divided by the total number of Individuals with a goal to improve housing. This measure applies to all program areas; Community Mental Health, Addiction Treatment, Recovery, & Prevention, and Problem Gambling Services.
 - (b) **Supported Housing:** This measure is to count integrated housing for Individuals with Serious and Persistent Mental Illness (SPMI). The measure will be calculated based on the Individuals receiving rental assistance through the Rental Assistance Program and through the identification of Supported Housing in the community.
 - (c) **Employment Status:** This measure will be monitored and reported when employment is a goal of treatment and Services. This measure is expressed as the number of Individuals who become employed, as indicated by a change in employment status, divided by the total number of Individuals with a goal of becoming employed. This measure applies to all program areas; Community Mental Health, Addiction Treatment, Recovery, & Prevention, and Problem Gambling Services.
 - (d) **School Performance:** This measure will be monitored and reported when improved school attendance is a goal of treatment and Services. The measure is expressed as the number of Individuals who improve attendance in school while in active treatment, divided by the total number of Individuals with a goal of improved attendance. This measure applies to all program areas; Community Mental Health, Addiction Treatment, Recovery, & Prevention, and Problem Gambling Services.

- (e) **Criminal Justice Involvement:** This measure will be monitored by OHA for Individuals referred by the justice system. The measure is expressed as the number of Individuals who were not arrested after an episode of active treatment or two consecutive quarters (whichever comes first), divided by the total number of Individuals referred by the justice system. This measure applies to all program areas; Community Mental Health, Addiction Treatment, Recovery, & Prevention, and Problem Gambling Services.
- (f) **Oregon State Hospital (OSH) Ready to Transition List (RTT):** All Contractors need to work together to make sure when an Individual is deemed Ready to Transition, they are discharged timely and with the appropriate Services and supports. This measure will be calculated by identifying the length of time from RTT to discharge for Individuals at OSH under civil commitment. This measure applies only to Community Mental Health services.

9. Upon OHA’s identification of any deficiencies in the County’s performance under this Agreement, including without limitation failure to submit reports as required, failure to expend available funding, or failure to meet performance requirements, County shall prepare and submit to OHA within 30 calendar days a Corrective Action Plan (CAP) to be reviewed and approved by OHA. The CAP shall include, but is not limited to, the following information:

- a. Reason or reasons for the CAP;
- b. The date the CAP will become effective, with timelines for implementation;
- c. Planned action already taken to correct the deficiencies, as well as proposed resolutions to address remaining deficits identified, with oversight and monitoring by OHA; and
- d. Proposed remedies, short of termination, should County not come into compliance within the timeframe set forth in the CAP.

10. Reporting Requirement for MOTS

All Individuals receiving Services under Service Element(s) A&D 61, 62, 63, 64, 66, 67, and/or MHS 01, 04, 05, 09, 13, 15, 20, 25, 25A, 26, 27, 28, 30, 34, 35, 36, 38, 39 with funds provided through this Agreement must be enrolled and that Individual’s record maintained in the Measures and Outcomes Tracking System (MOTS) as specified in OHA’s MOTS Reference Manual located at: <https://www.oregon.gov/OHA/HSD/AMH-MOTS/pages/resource.aspx>, and the Who Reports in MOTS Policy, as follows:

The data collection system for the Health Systems Division (HSD) is the Measures and Outcomes Tracking System or MOTS. In general, behavioral health providers who are either licensed or have a letter of approval from the HSD (or the former Addictions & Mental Health Division [AMH], and receive public funds to provide treatment services are required to report to MOTS. In addition to the general rule above, there are four basic ways to classify who is required to submit data to MOTS:

- a. Providers with HSD contracts that deliver treatment services (this includes Community Mental Health Programs [CMHP], Local Mental Health Authorities [LMHA] and other types of community behavioral health providers); these programs shall all have a license or letter of approval from the HSD or AMH;
- b. Providers that are subcontractors (can be a subcontractor or a CMHP or other entity that holds a contract with HSD or OHA, such as a Mental Health Organization [MHO], or a Coordinated Care Organization [CCO]);

- c. Providers that HSD does not contract with but are required to submit data to MOTS by State/Federal statute or rule; these include DUII services providers and methadone maintenance providers; and
- d. Providers that contract with other governmental agencies (e.g., Oregon Youth Authority [OYA] or the Department of Corrections [DOC] to deliver mental health and/or substance abuse services).

Note: Primary care physicians that provide a single service on behalf of the CMHP are not required to report the MOTS status or service level data.

If there are any questions, contact MOTS Support at MOTS.Support@odhsoha.oregon.gov.

11. Funding Resource Availability

- a. Services described herein are subject to the availability of funds and resources in the community.
- b. The County acknowledges that OHA does not provide direct Services to Individuals described in MHS 4, 24 and 28; and that OHA provides financial assistance under this Agreement to assist the County in providing these Services to Individuals.
- c. If the County determines that it cannot reasonably meet the requirements in subsection m.(2)(f)(iii)(B) in MHS 4 related to the identification and placement of an Individual with a Provider outside of the state hospital within 60 calendar days from when the state hospital notifies the County that the Individual no longer requires state hospital level of care, then the County shall follow the resolution process described in subsections 11(f) and (g) of this Exhibit.
- d. If the County determines that it cannot reasonably meet the requirements in subsection w.(2)(h) in MHS 24 related to the identification and placement of an Individual with a Provider outside of a state or community hospital within 60 calendar days from when the state or community hospital notifies the County that the Individual no longer requires hospital level of care, then the County shall follow the resolution process described in subsections 11(f) and (g) of this Exhibit.
- e. If the County determines that it cannot reasonably meet the requirements in subsection aa.(2)(c) in MHS 28 related to the identification and placement of an Individual with a Provider outside of the state hospital within 60 calendar days from when the state hospital notifies the County that the Individual no longer requires state hospital level of care, then the County shall follow the resolution process described in subsections 11(f) and (g) of this Exhibit.
- f. If the County determines that it cannot reasonably provide the Services described in subsections 11(c) through (e) of this Exhibit, the County shall:
 - (1) Develop a Plan of Resolution that provides the following information to OHA:
 - (a) Identify the barrier(s) to providing the Service to the Individual including, but not limited to: insufficient funds, lack of Providers, Individual-specific barrier(s), or coordination issues with Providers, governmental bodies or contractors, or any other interested parties;
 - i. If the barrier is insufficient funding, provide OHA with specific information about the amount of funds that the County has left under

- (2) The County shall continue to submit Revised Plans of Resolution to OHA for review until it is approved by OHA. If the County and OHA agree that further revisions will not resolve the barriers or allow the County to provide the Services to the Individual, no further revisions of the Plan of Resolution will be required.
 - (3) If a revised Plan of Resolution is approved by OHA, the County shall implement it within the reasonable deadline set by OHA in its approval notice or by the mutually agreed upon deadline set by the County and OHA, whichever is longer.
- h.** OHA agrees to provide the following support to the County for Services provided to Individuals under MHS 4, 24, and 28:
- (1) Provide complex case management support to assist the County in locating placements or Services for Individuals with placement barriers (e.g., sex offender history, special medical needs, and dual diagnosis).
 - (2) Assist the County in resolving coordination issues with Coordinated Care Organizations, CHOICE contractors, the Department of Human Services, and any other entities involved in providing or funding the Individual's Services.
 - (3) Act as a good faith partner with the County to address shortages in staffing, capacity, or other needs required by the County to provide the Services to Individuals under MHS 4, 24, and 28.
 - (4) If the County submits a Plan of Resolution or Revised Plan of Resolution under subsections 11(f) and (g) of this Exhibit, OHA shall:
 - (a) Review the Plan of Resolution or Revised Plan of Resolution and set a meeting with the County;
 - (b) Meet with the County within 10 business days of receiving the Plan of Resolution or Revised Plan of Resolution in order to discuss it, unless the timeframe is extended by the mutual written agreement of the County and OHA;
 - (c) Provide approval or request a revised Plan of Resolution within 10 business days from the date of the meeting described in subsection 11(h)(4)(b) of this Exhibit;
 - (d) Not unreasonably withhold approval of the County's Plan of Resolution or Revised Plan of Resolution; and
 - (e) Set a reasonable timeframe to implement the OHA-approved Plan of Resolution or Revised Plan of Resolution based on the type of actions to be implemented by the County to resolve the issue.
- i.** If OHA does not approve the County's Plan of Resolution and first Revised Plan of Resolution, OHA shall elevate the issue to senior management or appropriate designee.
- (1) OHA's senior management or designee shall meet with the County's senior management or designee to discuss the first Revised Plan of Resolution and the ways OHA can support the County in resolving the issue within 10 business days from the date of OHA's notice of non-approval of the first Revised Plan of Resolution.
 - (2) OHA shall provide approval or specific advice on revising the County's revised Plan of Resolution within 10 business days from the date of the meeting under

subsection 11(h)(4)(b) above, unless the timeframe is extended by the mutual written agreement of the County and OHA.

- (3) OHA shall continue to work with the County and review any subsequently submitted Revised Plans of Resolution, and shall respond to the County with approval or non-approval of that Plan within 10 business days of receiving it. If the County and OHA agree that further revisions will not resolve the barriers or allow the County to provide the Services to the Individual, no further revisions will be required.

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**EXHIBIT F
GENERAL TERMS AND CONDITIONS**

1. Disbursement and Recovery of Financial Assistance.

- a. Disbursement Generally.** Subject to the conditions precedent set forth below, OHA shall disburse the financial assistance described in the Financial Assistance Award to County in accordance with the procedures set forth below and, as applicable, in the Service Descriptions and the Financial Assistance Award. Disbursement procedures may vary by Service.
- (1) Disbursement of Financial Assistance Awarded for Services in Financial Assistance Award.** As set forth in the Service Description for a particular Service, OHA will generally disburse financial assistance that is described in the Financial Assistance Award to County in monthly allotments in advance of actual delivery of the Service.
- (2) Disbursements Remain Subject to Recovery.** All disbursements of financial assistance under this Agreement, including disbursements made directly to Providers, remain subject to recovery from County, in accordance with Recovery of Financial Assistance section below.
- b. Conditions Precedent to Disbursement.** OHA’s obligation to disburse financial assistance to County under this Agreement is subject to satisfaction, with respect to each disbursement, of each of the following conditions precedent:
- (1)** No County default, as described in Section 6 of Exhibit G, “Standard Terms and Conditions,” has occurred.
- (2)** County’s representations and warranties, as set forth in Section 4 of Exhibit G, “Standard Terms and Conditions,” are true and correct on the date of disbursement with the same effect as though made on the date of disbursement.
- c. Recovery of Financial Assistance.**
- (1) Notice of Underexpenditure, Overexpenditure.** If OHA believes there has been an Underexpenditure or Overexpenditure (as defined in Exhibit A “Definitions”) of moneys disbursed under this Agreement, OHA shall provide County with written notice thereof, with a detailed spreadsheet providing supporting data of an under or over expenditure, and OHA and County shall engage in the process described in the Recovery of Underexpenditure or Overexpenditure section below. If OHA believes there has been a Misexpenditure (as defined in Exhibit A “Definitions”) of moneys disbursed to County under this Agreement, OHA shall provide County with written notice thereof and OHA and County shall engage in the process described in Recovery of Misexpenditures section below.

(2) **Recovery of Underexpenditure or Overexpenditure.**

- (a) **County's Response.** County shall have 90 calendar days from the effective date of the notice of Underexpenditure or Overexpenditure or from the date of receipt of the notice, whichever is later, to pay OHA in full or notify OHA that it wishes to engage in the appeals process set forth in the Appeals Process section below. If County fails to respond within that 90 calendar-day time period, County shall promptly pay the noticed Underexpenditure or Overexpenditure.
- (b) **Appeals Process.** Upon receipt of the final notice, if County notifies OHA that it wishes to engage in the Appeals Process, County and OHA shall engage in non-binding discussions to give the County an opportunity to present reasons why it believes that there was no Underexpenditure or Overexpenditure, or that the amount of the Underexpenditure or Overexpenditure was different than the amount identified by OHA, and to give OHA the opportunity to reconsider its notice. County and OHA may negotiate an appropriate apportionment of responsibility for the repayment of an Underexpenditure or Overexpenditure. At County request, OHA will meet and negotiate with County in good faith concerning appropriate apportionment of responsibility for repayment of an Underexpenditure or Overexpenditure. In determining an appropriate apportionment of responsibility, County and OHA may consider any relevant factors. An example of a relevant factor is the extent to which either party contributed to an interpretation of a statute, regulation or rule prior to the expenditure that was officially reinterpreted after the expenditure. If OHA and County reach agreement on the amount owed to OHA, County shall promptly repay that amount to OHA by issuing payment to OHA or by directing OHA to withhold future payments pursuant to the Recovery from Future Payment section below. If OHA and County are unable to agree to whether there has been an Underexpenditure or Overexpenditure or as to the amount owed, the parties may agree to consider further appropriate dispute resolution processes, including, subject to State of Oregon Department of Justice and County Counsel approval, arbitration. If both parties are unable to agree to further dispute resolution, the parties shall proceed according to the procedures described in the Recovery from Future Payments section below.
- (c) **Recovery from Future Payments.** To the extent that OHA is entitled to recover an Underexpenditure or Overexpenditure pursuant to this Recovery of Underexpenditure or Overexpenditure section, OHA may recover the Underexpenditure or Overexpenditure by offsetting the amount thereof against future amounts owed to County by OHA, including, but not limited to, any amount owed to County by OHA under any other agreement between County and OHA, present or future. OHA shall provide County written notice of its intent to recover the amount of the Underexpenditure or Overexpenditure from amounts owed County by OHA as set forth in this Section and shall identify the amounts, which OHA intends to offset, (including the agreements, if any, under which the amounts owed arose and from those from which OHA wishes to deduct payments). County shall then have 14 calendar days from the date of OHA's notice in which to request the deduction be made from other amounts owed to County by OHA and

identified by County. OHA shall comply with County's request for alternate offset. In the event that OHA and County are unable to agree on which specific amounts, owed to County by OHA, OHA may offset in order to recover the amount of the Underexpenditure or Overexpenditure, OHA may select the particular agreements, between OHA and County, and amounts from which it will recover the Underexpenditure or Overexpenditure, after providing notice to the County and subject to the following limitations: OHA shall first look to amounts owed to County (but unpaid) under this Agreement. If that amount is insufficient, then OHA may look to any other amounts currently owing or owed in the future to County by OHA. In no case, without the prior consent of County, shall OHA deduct from any one payment due to County under the agreement from which OHA is offsetting funds an amount in excess of twenty-five percent (25%) of that payment. OHA may look to as many future payments as necessary in order to fully recover the amount of the Underexpenditure or Overexpenditure.

(3) Recovery of Misexpenditure.

- (a)** If OHA believes there has been a Misexpenditure (as defined in Exhibit A "Definitions") of money disbursed to County under this Agreement, OHA shall provide to County a written notice of recovery, with a detailed spreadsheet providing supporting data of the Misexpenditure attached, and OHA and County shall engage in the process described in the Appeal Process section below.
- (b) County's Response.** From the effective date of the Misexpenditure notice or from the date of receipt of notice, whichever is later, County shall have the lesser of 60 calendar days; or if a Misexpenditure relates to a federal government request for reimbursement, 30 calendar days fewer than the number of days (if any) OHA has to appeal a final written decision from the federal government, to either:
 - i.** Make a payment to OHA in the full amount of the Misexpenditure as identified by OHA in the notice; or
 - ii.** Notify OHA that County wishes to repay the amount of the Misexpenditure, as identified by OHA in the notice, from future payments pursuant to the Recovery from Future Payments section below; or
 - iii.** Notify OHA that it wishes to engage in the applicable appeal process, as set forth in the Appeal Process section below.

If County fails to respond within the time required by this Section, OHA may recover the amount of the Misexpenditure identified in the notice from future payments as set forth in Recovery from Future Payment section below.

- (c) **Appeal Process.** If County notifies OHA that it wishes to engage in an appeal process with respect to a notice of Misexpenditure from OHA, the parties shall comply with the following procedures, as applicable:
- i. **Appeal from OHA-Identified Misexpenditure.** If OHA’s notice of Misexpenditure is based on a Misexpenditure solely of the type described in Section 20(b) or (c) of Exhibit A, “Definitions,” County and OHA shall engage in the process described in this Appeal Process section to resolve a dispute regarding the notice of Misexpenditure. First, County and OHA shall engage in non-binding discussions, to give the County an opportunity to present reasons why it believes that there is, in fact, no Misexpenditure or that the amount of the Misexpenditure is different than the amount identified by OHA in the notice, and to give OHA the opportunity to reconsider its notice. County and OHA may negotiate an appropriate apportionment of responsibility for the repayment of the Misexpenditure. At County’s request, OHA will meet and negotiate with County in good faith concerning appropriate apportionment of responsibility for repayment of the Misexpenditure. In determining an appropriate apportionment of responsibility, County and OHA may consider any relevant factors. An example of a relevant factor is the extent to which either party contributed to an interpretation of a statute, regulation or rule prior to the expenditure that was officially reinterpreted after the expenditure. If OHA and County reach agreement on the amount owed to OHA, County shall promptly repay that amount to OHA by issuing payment to OHA or by directing OHA to withhold future payments pursuant to the Recovery from Future Payments section below. If OHA and County continue to disagree as to whether there has been a Misexpenditure or as to the amount owed, the parties may agree to consider further appropriate dispute resolution processes, including, subject to State of Oregon Department of Justice and County Counsel approval, arbitration.
 - ii. **Appeal from Federal-Identified Misexpenditure.**
 - A. If OHA’s notice of Misexpenditure is based on a Misexpenditure of the type described in Section 20(a) of Exhibit A, “Definitions,” and the relevant federal agency provides a process either by statute or administrative rule to appeal the determination of improper use of federal funds, the notice of disallowance or other federal identification of improper use of funds, and if the disallowance is not based on a federal or state court judgment founded in allegations of Medicaid fraud or abuse, then County may, 30 calendar days prior to the applicable federal appeals deadline, request that OHA appeal the determination of improper use, notice of disallowance or other federal identification of improper use of funds in accordance with the process established or adopted by the federal agency. If County so requests that OHA appeal the determination of improper use of federal

funds, federal notice of disallowance or other federal identification of improper use of funds, the amount in controversy shall, at the option of County, be retained by the County or returned to OHA pending the final federal decision resulting from the initial appeal. If the County requests, prior to the deadline set forth above, that OHA appeal, OHA shall appeal the determination of improper use, notice of disallowance or other federal identification of improper use of funds in accordance with the established process and shall pursue the appeal until a decision is issued by the Departmental Grant Appeals Board of the Department of Health and Human Services (the “Grant Appeals Board”) pursuant to the process for appeal set forth in 45 C.F.R. Subtitle A, Part 16, or an equivalent decision is issued under the appeal process established or adopted by the federal agency. County and OHA shall cooperate with each other in pursuing the appeal. If the Grant Appeals Board or its equivalent denies the appeal then either County, OHA, or both may, at their discretion, pursue further appeals. Regardless of any further appeals, within 90 calendar days of the date the federal decision resulting from the initial appeal is final, County shall repay to OHA the amount of the Misexpenditure (reduced, if at all, as a result of the appeal) by issuing payment to OHA or by directing OHA to withhold future payments pursuant to Recovery from Future Payments section below. To the extent that County retained any of the amount in controversy while the appeal was pending, the County shall also pay to OHA the interest, if any, charged by the federal government on such amount.

- B.** If the relevant federal agency does not provide a process either by statute or administrative rule to appeal the determination of improper use of federal funds, the notice of disallowance or other federal identification of improper use of funds or County does not request that OHA pursue an appeal 30 calendar days prior to the applicable federal appeals deadline, and if OHA does not appeal, within 90 calendar days of the date the federal determination of improper use of federal funds, the federal notice of disallowance or other federal identification of improper use of funds is final, County shall repay to OHA the amount of the Misexpenditure by issuing a payment to OHA or by directing OHA to withhold future payments pursuant to the Recovery from Future Payments section below.

- C.** If County does not request that OHA pursue an appeal of the determination of improper use of federal funds, the notice of disallowance or other federal identification of improper use of funds 30 calendar days prior to the applicable federal appeals deadline but OHA nevertheless appeals, County shall repay to OHA the amount of the Misexpenditure (reduced, if at all, as a result of the appeal), within 90 calendar days of the date the federal decision resulting from the appeal is final, by issuing payment to OHA or by directing OHA to withhold future payments pursuant to the Recovery from Future Payments section below.
- D.** Notwithstanding County's Response section above, if the Misexpenditure was expressly authorized by OHA rule or an OHA writing that applied when the expenditure was made but was prohibited by federal statutes or regulations that applied when the expenditure was made, County will not be responsible for repaying the amount of the Misexpenditure to OHA, provided that:
- I.** Where post-expenditure official reinterpretation of federal statutes or regulations results in a Misexpenditure, County and OHA will meet and negotiate in good faith an appropriate apportionment of responsibility between them for repayment of the Misexpenditure.
 - II.** For purposes of this Section, an OHA writing must interpret this Agreement or OHA rule and be signed by the Director of OHA, the Director of Health Systems Division or the Section Director.

OHA shall designate an alternate officer in the event the Health Systems Division is abolished. Upon County's request, OHA shall notify County of the names of the individual officers listed above. OHA shall send OHA writings described in this paragraph to County by mail and email and to CMHP directors by email.
 - III.** The OHA writing must be in response to a request from County for expenditure authorization or a statement intended to provide official guidance to County or counties generally for making expenditures under this Agreement. The writing must not be contrary to this Agreement or contrary to law or other applicable authority that is clearly established at the time of the OHA writing.

- IV. If the OHA writing is in response to a request from County for expenditure authorization, the County's request must be in writing and signed by the director of a County department with the authority to make such a request or by the County Counsel. It must identify the supporting data, provisions of this Agreement and provisions of applicable law relevant to determining if the expenditure should be authorized.
- V. An OHA writing expires on the date stated in the writing, or if no expiration date is stated, six years from the date of the writing. An expired OHA writing continues to apply to County expenditures that were made in compliance with the writing and during the term of the writing.
- VI. OHA may revoke or revise an OHA writing at any time if it determines in its sole discretion that the writing allowed expenditure in violation of this Agreement, law, or any other applicable authority. However, County is not responsible for a misexpenditure that was based on an OHA writing that was effective at the time of the misexpenditure.
- VII. OHA rule does not authorize an expenditure that this Agreement prohibits.

- (d) **Recovery from Future Payments.** To the extent that OHA is entitled to recover a Misexpenditure pursuant to the Appeal Process section above, OHA may recover the Misexpenditure by offsetting the amount thereof against future amounts owed to County by OHA, including, but not limited to, any amount owed to County by OHA under this Agreement or any amount owed to County by OHA under any other agreement between County and OHA, present or future. OHA shall provide County written notice of its intent to recover the amount of the Misexpenditure from amounts owed County by OHA as set forth in this Section, and shall identify the amounts owed by OHA which OHA intends to offset (including the agreements, if any, under which the amounts owed arose and from those from which OHA wishes to deduct payments). County shall then have 14 calendar days from the date of OHA's notice to request the deduction be made from other amounts owed to County by OHA and identified by County. OHA shall comply with County's request for alternate offset. In the event that OHA and County are unable to agree on which specific amounts, owed to County by OHA, OHA may offset in order to recover the amount of the Misexpenditure, then OHA may select the particular agreements between OHA and County and amounts from which it will recover the amount of the Misexpenditure, after providing notice to the County, and subject to the following limitations: OHA shall first look to amounts owed to County (but unpaid) under this Agreement. If that amount is insufficient, then OHA may look to any other amounts currently owing or owed in the future to County by OHA. In no case, without the prior consent of County,

shall OHA deduct from any one payment due County under the agreement from which OHA is offsetting funds an amount in excess of twenty-five percent (25%) of that payment. OHA may look to as many future payments as necessary in order to fully recover the amount of the Misexpenditure.

(4) Additional Provisions related to parties' rights and obligations with respect to Underexpenditures, Overexpenditures and Misexpenditures.

- (a)** County shall cooperate with OHA in the Agreement Settlement process.
- (b)** OHA's right to recover Underexpenditures, Overexpenditures and Misexpenditures from County under this Agreement is not subject to or conditioned upon County's recovery of any money from any other entity.
- (c)** If the exercise of OHA's right to offset under this provision requires the County to complete a re-budgeting process, nothing in this provision shall be construed to prevent the County from fully complying with its budgeting procedures and obligations, or from implementing decisions resulting from those procedures and obligations.
- (d)** Nothing in this provision shall be construed as a requirement or agreement by the County to negotiate and execute any future contract with OHA.
- (e)** Nothing in this Section shall be construed as a waiver by either party of any process or remedy that might otherwise be available.

2. Use of Financial Assistance. County shall use the financial assistance disbursed to County under this Agreement solely to cover actual Allowable Costs reasonably and necessarily incurred to deliver Services during the term of this Agreement.

3. Award Adjustments

- a.** County may use funds awarded in a Program Area to cover actual Allowable Costs reasonably and necessarily incurred to deliver Services in that Program Area, from the Effective Date of this Agreement through the termination or expiration of this Agreement.
 - (1)** In addition to the financial assistance provided to County under this Agreement expressly for those Services, County may reallocate up to 10 percent (10%) of the aggregate financial assistance awarded to County at the time the use occurs (as such award is reflected in the Financial Assistance Award without giving effect to any prior adjustments under this Award Adjustments section and other than from Federal Funds) for other Services in that Program Area. The only Service Elements subject to this Award Adjustments section (1) and eligible for this 10% reallocation are: MHS 16, MHS 16A, MHS 17, MHS 20, MHS 30, MHS 31, MHS 34, MHS 35, MHS 35A, MHS 36, MHS 38, MHS 39, and A&D 63, A&D 64, A&D 66, and A&D 67.
 - (2)** In addition, to the financial assistance provided to County under this Agreement expressly for those Services, the County may reallocate up to 25 percent (25%) of the aggregate financial assistance awarded to County at the time the use occurs (as such award is reflected in the Financial Assistance Award without giving effect to any prior adjustments under this Award Adjustments section and other than Federal Funds) for other Services in that Program Area. The only Service Element subject to this Award Adjustments section (2) and eligible for the 25% reallocation are: MHS 01, MHS 04, MHS 24, and MHS 28.

(3) If County uses financial assistance described in the Financial Assistance Award in reliance on this Award Adjustments section (1) or (2) above, County shall promptly notify OHA in writing of such use.

b. Financial assistance disbursed to County under this Agreement that County would be entitled to retain if used prior to the termination or expiration of this Agreement (as calculated in accordance with the methodologies set forth in the applicable Service Descriptions), may be retained by County even if not used prior to the termination or expiration of this Agreement provided that other provisions of this Agreement do not require the financial assistance to be used by County prior to the termination or expiration of this Agreement and provided further that County uses the financial assistance solely to deliver future Services for the purpose it was originally awarded.

4. Amendments Proposed by OHA.

a. **Amendments of Financial Assistance Award.** County shall review all proposed amendments to the Financial Assistance Award prepared and presented to County by OHA in accordance with this Section. Amendments to the Financial Assistance Award will be presented to County in electronic form. OHA may withdraw a proposed amendment by and effective upon written notice to County. If not sooner accepted or rejected by County, or withdrawn by OHA, a proposed amendment shall be deemed rejected by County 60 calendar days after County's receipt thereof and OHA's offer to amend the Financial Assistance Award shall be automatically revoked. If County chooses to accept a proposed amendment presented in electronic form, County shall return the proposed amendment to OHA signed by the County Financial Assistance Administrator. Upon OHA's actual physical receipt and signature of a proposed amendment signed by the County Financial Assistance Administrator but otherwise unaltered, the proposed amendment shall be considered accepted by the parties and the Financial Assistance Award, as amended by the proposed amendment, shall become the Financial Assistance Award under this Agreement. If County returns a proposed amendment altered in any way (other than by signature of the County Financial Assistance Administrator), OHA may, in its discretion, accept the proposed amendment as altered by County but only if the County Financial Assistance Administrator has initialed each alteration. A proposed amendment altered by County and returned to OHA shall be considered accepted by OHA on the date OHA initials each alteration and on that date the Financial Assistance Award, as amended by the proposed amendment (as altered), shall become the Financial Assistance Award.

b. **Other Amendments.** County shall review all proposed amendments to this Agreement prepared and presented to County by OHA, other than those described in the previous subsection a., promptly after County's receipt thereof. If County does not accept a proposed amendment within 60 calendar days of County's receipt thereof, County shall be deemed to have rejected the proposed amendment and the offer to amend the Agreement, as set forth in the proposed amendment, shall be automatically revoked. If County chooses to accept the proposed amendment, County shall return the proposed amendment to OHA signed by a duly authorized County official. Upon OHA's actual physical receipt and signature of a proposed amendment signed by a duly authorized County official but otherwise unaltered, the proposed amendment shall be considered accepted by the parties and this Agreement shall be considered amended as set forth in the accepted amendment. If County returns a proposed amendment altered in any way (other than by signature of a duly authorized County official), OHA may, in its discretion, accept the proposed

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amendment as altered by County but only if a duly authorized County official has initialed each alternation. A proposed amendment altered by County and returned to OHA shall be considered accepted by OHA on the date OHA initials each alteration and on that date this Agreement shall be considered amended as set forth in the accepted amendment.

5. **Provider Contracts.** Except when the Service expressly requires the Service or a portion thereof to be delivered by County directly and subject to the Provider Monitoring section below, County may use financial assistance provided under this Agreement for a particular Service to purchase that Service, or a portion thereof, from a third person or entity (a “Provider”) through a contract (a “Provider Contract”). Subject to the Provider Monitoring section below, County may permit a Provider to purchase the Service, or a portion thereof, from another person or entity under a subcontract and such subcontractors shall also be considered Providers for purposes of this Agreement and those subcontracts shall be considered Provider Contracts under this Agreement. County shall not permit any person or entity to be a Provider unless the person or entity holds all licenses, certificates, authorizations, and other approvals required by applicable law to deliver the Service. If County purchases a Service, or portion thereof, from a Provider, the Provider Contract must be in writing, identify for sub-recipients the amount of federal funds included in the Provider Contract, provide the CFDA number, and contain each of the provisions set forth in Exhibit I, “Required Provider Contract Provisions,” in substantially the form set forth therein, in addition to any other provisions that must be included to comply with applicable law, that must be included in a Provider Contract under the terms of this Agreement or that are necessary to implement Service delivery in accordance with the applicable Service Descriptions, Specialized Service Requirements and Special Conditions. County shall maintain an originally executed copy of each Provider Contract at its office and shall furnish a copy of any Provider Contract to OHA upon request.
6. **Provider Monitoring.** County shall monitor each Provider’s delivery of Services and promptly report to OHA when County identifies a deficiency in a Provider’s delivery of a Service or in a Provider’s compliance with the Provider Contract between the Provider and County. County shall promptly take all necessary action to remedy any identified deficiency on the part of the Provider. County shall also monitor the fiscal performance of each Provider and shall take all lawful management and legal action necessary to pursue this responsibility. In the event of a deficiency in a Provider’s delivery of a Service or in a Provider’s compliance with the Provider Contract between the Provider and County, nothing in this Agreement shall limit or qualify any right or authority OHA has under state or federal law to take action directly against the Provider.
7. **Alternative Formats and Translation of Written Materials, Interpreter Services.**

In connection with the delivery of Service Element services, County shall make available to Client, without charge, upon the Client’s reasonable request:

- a. All written materials related to the services provided to the Client in alternate formats, including accessible electronic formats, brailled documents, and large print upon request. If County does not have access to such alternate formats, then County can request them from OHA.
- b. All written materials related to the services provided to the Client in the Client’s language. If County does not have access to such languages, then County can request written materials in the Client’s language from OHA.
- c. Oral interpretation services related to the services provided to the Client in the Client’s language.
- d. Sign language interpretation services and telephone communications access services related to the services provided to the Client. County shall work with OHA if it does not

have staff that fluently speak the language of an eligible Client, including qualified Sign Language Interpreters for Client's who are deaf or hard of hearing and whose preferred mode of communication is sign language.

For purposes of the foregoing, "written materials" means materials created by County, in connection with the Service being provided to the requestor. The County may develop its own forms and materials and with such forms and materials the County shall be responsible for making them available to a Client, without charge to the Client in the prevalent non-English language(s) within the County service area. OHA shall be responsible for making its forms and materials available, without charge to the Client or County, in the prevalent non-English language(s) within the County service area.

8. **Reporting Requirements.** If County delivers a Service directly, County shall prepare and furnish the following information to OHA when that Service is delivered:
 - a. Client, Service, and financial information as specified in the Service Description.
 - b. All additional information and reports that OHA reasonably requests.
9. **Operation of CMHP.** County shall operate or contract for the operation of a CMHP during the term of this Agreement. If County uses funds provided under this Agreement for a particular Service, County shall include that Service in its CMHP from the date it begins using the funds for that Service until the earlier of: (a) termination or expiration of this Agreement; (b) termination by OHA of OHA's obligation to provide financial assistance for that Service in accordance with Exhibit G, Termination section; or (c) termination by the County, in accordance with Exhibit G, Termination section, of County's obligation to include in its CMHP a Program Area that includes that Service.
10. **OHA Reports.**
 - a. To the extent resources are available to OHA to prepare and deliver the information, OHA shall, during the term of this Agreement, provide County with the following reports:
 - (1) Summary reports to County and County's Providers from MOTS data as reported to OHA under this Agreement; and
 - (2) Monthly reports to County that detail disbursement of financial assistance under the Financial Assistance Award in Exhibit C for the delivery of Services.
 - b. OHA shall prepare and send to each Provider to whom OHA makes direct payments on behalf of County under this Agreement during a calendar year, an IRS Form 1099 for that year specifying the total payments made by OHA to that Provider.
11. **Technical Assistance.** During the term of this Agreement, OHA shall provide technical assistance to County in the delivery of Services to the extent resources are available to OHA for this purpose. If the provision of technical assistance to the County concerns a Provider, OHA may require, as a condition to providing the assistance, that County take all action with respect to the Provider reasonably necessary to facilitate the technical assistance.
12. **Payment of Certain Expenses.** If OHA requests that an employee of County or a Provider or a citizen of County attend OHA training or an OHA conference or business meeting and County has obligated itself to reimburse the individual for travel expenses incurred by the individual in attending the training or conference, OHA may pay those travel expenses on behalf of County but only at the rates and in accordance with the reimbursement procedures set forth in the Oregon Accounting Manual (<https://www.oregon.gov/das/Financial/Acctng/Pages/oam.aspx>) under

40.10.00 as of the date the expense was incurred and only to the extent that OHA determines funds are available for such reimbursement.

- 13. Effect of Amendments Reducing Financial Assistance.** If County and OHA amend this Agreement to reduce the amount of financial assistance awarded for a particular Service, County is not required by this Agreement to utilize other County funds to replace the funds no longer received under this Agreement as a result of the amendment and County may, from and after the date of the amendment, reduce the quantity of that Service included in its CMHP commensurate with the amount of the reduction in financial assistance awarded for that Service. Nothing in the preceding sentence shall affect County’s obligations under this Agreement with respect to financial assistance actually disbursed by OHA under this Agreement or with respect to Services actually delivered.
- 14. Resolution of Disputes over Additional Financial Assistance Owed County After Termination or Expiration.** If, after termination or expiration of this Agreement, County believes that OHA disbursements of financial assistance under this Agreement for a particular Service are less than the amount of financial assistance that OHA is obligated to provide to County under this Agreement for that Service, as determined in accordance with the applicable financial assistance calculation methodology, County shall provide OHA with written notice thereof. OHA shall have 90 calendar days from the effective date of County's notice to pay County in full or notify County that it wishes to engage in a dispute resolution process. If OHA notifies County that it wishes to engage in a dispute resolution process, County and OHA's Chief Health Systems Officer for the Health Systems Division shall engage in non-binding discussion to give OHA an opportunity to present reasons why it believes that it does not owe County any additional financial assistance or that the amount owed is different than the amount identified by County in its notices, and to give County the opportunity to reconsider its notice. If OHA and County reach agreement on the additional amount owed to County, OHA shall promptly pay that amount to County. If OHA and County continue to disagree as to the amount owed, the parties may agree to consider further appropriate dispute resolution processes, including, subject to Department of Justice and County Counsel approval, binding arbitration. Nothing in this Section shall preclude the County from raising underpayment concerns at any time prior to termination or expiration of this Agreement under Alternative Dispute Resolution below.
- 15. Alternative Dispute Resolution.** The parties should attempt in good faith to resolve any dispute arising out of this agreement. This may be done at any management level, including at a level higher than persons directly responsible for administration of the agreement. In addition, the parties may agree to utilize a jointly selected mediator or arbitrator (for non-binding arbitration) to resolve the dispute short of litigation.
- 16. Purchase and Disposition of Equipment.**

 - a.** For purposes of this Section, “Equipment” means tangible, non-expendable personal property having a useful life of more than one year and a net acquisition cost of more than \$5,000 per unit. However, for purposes of information technology equipment, the monetary threshold does not apply (except as provided below for Software and storage devices). Information technology equipment shall be tracked for the mandatory line categories listed below:

 - (1)** Network;
 - (2)** Personal Computer;
 - (3)** Printer/Plotter;

- (4) Server;
 - (5) Storage device that will contain client information;
 - (6) Storage device that will not contain client information, when the acquisition cost is \$100 or more; and
 - (7) Software, when the acquisition cost is \$100 or more.
- b. For any Equipment authorized by OHA for purchase with funds from this Agreement, ownership shall be in the name of the County and County is required to accurately maintain the following Equipment inventory records:
- (1) Description of the Equipment;
 - (2) Serial number;
 - (3) Where Equipment was purchased;
 - (4) Acquisition cost and date; and
 - (5) Location, use, and condition of the Equipment.

County shall provide the Equipment inventory list electronically to the Agreement Administrator at hsd.contracts@odhsoha.oregon.gov no later than 45 calendar days following the end of this Agreement. County shall be responsible to safeguard any Equipment and maintain the Equipment in good repair and condition while in the possession of County or any Providers. County shall depreciate all Equipment, with a value of more than \$5,000, using the straight-line method.

- c. Upon termination of this Agreement, or any Service thereof, for any reason whatsoever, County shall, upon request by OHA, immediately, or at such later date specified by OHA, tender to OHA any and all Equipment purchased with funds under this Agreement as OHA may require to be returned to the State. At OHA's direction, County may be required to deliver said Equipment to a subsequent contractor for that contractor's use in the delivery of Services formerly provided by County. Upon mutual agreement, in lieu of requiring County to tender the Equipment to OHA or to a subsequent contractor, OHA may require County to pay to OHA the current value of the Equipment. Equipment value will be determined as of the date of Agreement or Service termination.
 - d. If funds from this Agreement are authorized by OHA to be used as a portion of the purchase price of Equipment, requirements relating to title, maintenance, Equipment inventory reporting and residual value shall be negotiated, and the agreement reflected in a Special Condition authorizing the purchase.
 - e. Notwithstanding anything herein to the contrary, County shall comply with 45 CFR 75.320, which generally describes the required maintenance, documentation, and allowed disposition of equipment purchased with federal grant funds.
17. Nothing in this Agreement shall cause or require County or OHA to act in violation of state or federal constitutions, statutes, regulations, or rules. The parties intend this limitation to apply in addition to any other limitation in this Agreement, including limitations in Disbursement and Recovery of Financial Assistance above.

**2024-2025 INTERGOVERNMENTAL AGREEMENT
FOR THE FINANCING OF COMMUNITY MENTAL HEALTH, ADDICTION TREATMENT,
RECOVERY, & PREVENTION, AND PROBLEM GAMBLING SERVICES**

**EXHIBIT G
STANDARD TERMS AND CONDITIONS**

1. **Governing Law, Consent to Jurisdiction.** This Agreement shall be governed by and construed in accordance with the laws of the State of Oregon without regard to principles of conflicts of law. Any claim, action, suit or proceeding (collectively, "Claim") between the parties that arises from or relates to this Agreement shall be brought and conducted solely and exclusively within a circuit court for the State of Oregon of proper jurisdiction. THE PARTIES, BY EXECUTION OF THIS AGREEMENT, HEREBY CONSENT TO THE IN PERSONAM JURISDICTION OF SAID COURTS. Except as provided in this section, neither party waives any form of defense or immunity, whether sovereign immunity, governmental immunity, immunity based on the eleventh amendment to the Constitution of the United States or otherwise, from any Claim or from the jurisdiction of any court. The parties acknowledge that this is a binding and enforceable agreement and, to the extent permitted by law, expressly waive any defense alleging that either party does not have the right to seek judicial enforcement of this Agreement.
2. **Compliance with Law.** Both parties shall comply with laws, regulations, and executive orders to which they are subject and which are applicable to the Agreement or to the delivery of Services. Without limiting the generality of the foregoing, both parties expressly agree to comply with the following laws, rules, regulations and executive orders to the extent they are applicable to the Agreement: (a) OAR 943-005-0000 through 943-005-0070, prohibiting discrimination against Individuals with disabilities, as may be revised, and all applicable requirements of state civil rights and rehabilitation statutes, rules and regulations; (b) all state laws governing operation of Community Mental Health Programs, including without limitation, all administrative rules adopted by OHA related to Community Mental Health Programs or related to client rights; (c) all state laws requiring reporting of Client abuse; and (d) ORS 659A.400 to 659A.409, ORS 659A.145, (e) 45 CFR 164 Subpart C, and all regulations and administrative rules established pursuant to those laws in the construction, remodeling, maintenance and operation of any structures and facilities, and in the conduct of all programs, services and training associated with the delivery of Services. These laws, regulations and executive orders are incorporated by reference herein to the extent that they are applicable to the Agreement and required by law to be so incorporated. All employers, including County and OHA that employ subject workers who provide Services in the State of Oregon shall comply with ORS 656.017 and provide the required Workers' Compensation coverage, unless such employers are exempt under ORS 656.126.
3. **Independent Contractors.** The parties agree and acknowledge that their relationship is that of independent contracting parties and that County is not an officer, employee, or agent of the State of Oregon as those terms are used in ORS 30.265 or otherwise.
4. **Representations and Warranties.**
 - a. County represents and warrants as follows:
 - (1) **Organization and Authority.** County is a political subdivision of the State of Oregon duly organized and validly existing under the laws of the State of Oregon. County has full power, authority, and legal right to make this Agreement and to incur and perform its obligations hereunder.

- (2) **Due Authorization.** The making and performance by County of this Agreement: (a) have been duly authorized by all necessary action by County; (b) do not and will not violate any provision of any applicable law, rule, regulation, or order of any court, regulatory commission, board, or other administrative agency or any provision of County's charter or other organizational document; and (c) do not and will not result in the breach of, or constitute a default or require any consent under any other agreement or instrument to which County is a party or by which County may be bound or affected. No authorization, consent, license, approval of, filing or registration with or notification to any governmental body or regulatory or supervisory authority is required for the execution, delivery, or performance by County of this Agreement.
- (3) **Binding Obligation.** This Agreement has been duly executed and delivered by County and constitutes a legal, valid, and binding obligation of County, enforceable in accordance with its terms subject to the laws of bankruptcy, insolvency, or other similar laws affecting the enforcement of creditors' rights generally.
- (4) County has the skill and knowledge possessed by well-informed members of its industry, trade or profession and County will apply that skill and knowledge with care and diligence to perform the Services in a professional manner and in accordance with standards prevalent in County's industry, trade, or profession;
- (5) County shall, at all times during the term of this Agreement, be qualified, professionally competent, and duly licensed to perform the Services; and
- (6) County prepared its proposal related to this Agreement, if any, independently from all other proposers, and without collusion, fraud, or other dishonesty.
- (7) **Services.** To the extent Services are performed by County, the delivery of each Service will comply with the terms and conditions of this Agreement and meet the standards for such Service as set forth herein, including but not limited to, any terms, conditions, standards, and requirements set forth in the Financial Assistance Award, applicable Service Description, and applicable Specialized Service Requirement.

b. OHA represents and warrants as follows:

- (1) **Organization and Authority.** OHA has full power, authority, and legal right to make this Agreement and to incur and perform its obligations hereunder.
- (2) **Due Authorization.** The making and performance by OHA of this Agreement: (a) have been duly authorized by all necessary action by OHA; (b) do not and will not violate any provision of any applicable law, rule, regulation, or order of any court, regulatory commission, board, or other administrative agency; and (c) do not and will not result in the breach of, or constitute a default or require any consent under any other agreement or instrument to which OHA is a party or by which OHA may be bound or affected. No authorization, consent, license, approval of, filing or registration with or notification to any governmental body or regulatory or supervisory authority is required for the execution, delivery, or performance by OHA of this Agreement, other than approval by the Department of Justice if required by law.
- (3) **Binding Obligation.** This Agreement has been duly executed and delivered by OHA and constitutes a legal, valid, and binding obligation of OHA, enforceable in

accordance with its terms subject to the laws of bankruptcy, insolvency, or other similar laws affecting the enforcement of creditors' rights generally.

- c. **Warranties Cumulative.** The warranties set forth in this section are in addition to, and not in lieu of, any other warranties provided.

5. Ownership of Intellectual Property.

- a. Except as otherwise expressly provided herein, or as otherwise required by state or federal law, OHA will not own the right, title and interest in any intellectual property created or delivered by County or a Provider in connection with the Services. With respect to that portion of the intellectual property that the County owns, County grants to OHA a perpetual, worldwide, non-exclusive, royalty-free and irrevocable license, subject to any provisions in the Agreement that restrict or prohibit dissemination or disclosure of information, to: (1) use, reproduce, prepare derivative works based upon, distribute copies of, perform and display the intellectual property; (2) authorize third parties to exercise the rights set forth in Section 5.a.(1) on OHA's behalf; and (3) sublicense to third parties the rights set forth in Section 5.a.(1).
- b. If state or federal law requires that OHA or County grant to the United States a license to any intellectual property, or if state or federal law requires that OHA or the United States own the intellectual property, then County shall execute such further documents and instruments as OHA may reasonably request in order to make any such grant or to assign ownership in the intellectual property to the United States or OHA. To the extent that OHA becomes the owner of any intellectual property created or delivered by County in connection with the Services, OHA will grant a perpetual, worldwide, non-exclusive, royalty-free, and irrevocable license, subject to any provisions in the Agreement that restrict or prohibit dissemination or disclosure of information, to County to use, copy, distribute, display, build upon and improve the intellectual property.
- c. County shall include in its Provider Contracts terms and conditions necessary to require that Providers execute such further documents and instruments as OHA may reasonably request in order to make any grant of license or assignment of ownership that may be required by federal or state law.

6. County Default. County shall be in default under this Agreement upon the occurrence of any of the following events:

- a. County fails to perform, observe, or discharge any of its covenants, agreements or obligations set forth herein;
- b. Any representation, warranty or statement made by County herein or in any documents or reports made in connection herewith or relied upon by OHA to measure the delivery of Services, the expenditure of financial assistance or the performance by County is untrue in any material respect when made;

- c. County: (1) applies for or consents to the appointment of, or taking of possession by, a receiver, custodian, trustee, or liquidator of itself or all of its property; (2) admits in writing its inability, or is generally unable, to pay its debts as they become due; (3) makes a general assignment for the benefit of its creditors; (4) is adjudicated a bankrupt or insolvent; (5) commences a voluntary case under the Federal Bankruptcy Code (as now or hereafter in effect); (6) files a petition seeking to take advantage of any other law relating to bankruptcy, insolvency, reorganization, winding-up, or composition or adjustment of debts; (7) fails to controvert in a timely and appropriate manner, or acquiesces in writing to, any petition filed against it in an involuntary case under the Bankruptcy Code; or (8) takes any action for the purpose of effecting any of the foregoing;
- d. A proceeding or case is commenced, without the application or consent of County, in any court of competent jurisdiction, seeking: (1) the liquidation, dissolution or winding-up, or the composition or readjustment of debts, of County; (2) the appointment of a trustee, receiver, custodian, liquidator, or the like of County or of all or any substantial part of its assets; or (3) similar relief in respect to County under any law relating to bankruptcy, insolvency, reorganization, winding-up, or composition or adjustment of debts, and such proceeding or case continues undismissed, or an order, judgment, or decree approving or ordering any of the foregoing is entered and continues unstayed and in effect for a period of sixty consecutive days, or an order for relief against County is entered in an involuntary case under the Federal Bankruptcy Code (as now or hereafter in effect); or
- e. The delivery of any Service fails to comply with the terms and conditions of this Agreement or fails to meet the standards for Service as set forth herein, including but not limited to, any terms, condition, standards, and requirements set forth in the Financial Assistance Award and applicable Service Description.

7. **OHA Default.** OHA shall be in default under this Agreement upon the occurrence of any of the following events:

- a. OHA fails to perform, observe, or discharge any of its covenants, agreements, or obligations set forth herein; or
- b. Any representation, warranty or statement made by OHA herein or in any documents or reports made in connection herewith or relied upon by County to measure performance by OHA is untrue in any material respect when made.

8. **Termination.**

- a. **County Termination.** County may terminate this Agreement in its entirety or may terminate its obligation to include a particular Program Area in its CMHP:
 - (1) For its convenience, upon at least three calendar months advance written notice to OHA, with the termination effective as of the first day of the month following the notice period;
 - (2) Upon 45 calendar days advance written notice to OHA, if County does not obtain funding, appropriations, and other expenditure authorizations from County's governing body, federal, state, or other sources sufficient to permit County to satisfy its performance obligations under this Agreement, as determined by County in the reasonable exercise of its administrative discretion;
 - (3) Upon 30 calendar days advance written notice to OHA, if OHA is in default under this Agreement and such default remains uncured at the end of said 30 calendar day period or such longer period, if any, as County may specify in the notice; or

- (4) Immediately upon written notice to OHA, if Oregon statutes or federal laws, regulations or guidelines are modified, changed, or interpreted by the Oregon Legislative Assembly, the federal government, or a court in such a way that County no longer has the authority to meet its obligations under this Agreement.
- b. **OHA Termination.** OHA may terminate this Agreement in its entirety or may terminate its obligation to provide financial assistance under this Agreement for one or more particular Services described in the Financial Assistance Award:
- (1) For its convenience, upon at least three calendar months advance written notice to County, with the termination effective as of the first day of the month following the notice period;
 - (2) Upon 45 calendar days advance written notice to County, if OHA does not obtain funding, appropriations, and other expenditure authorizations from federal, state, or other sources sufficient to meet the payment obligations of OHA under this Agreement, as determined by OHA in the reasonable exercise of its administrative discretion. Notwithstanding the preceding sentence, OHA may terminate this Agreement in its entirety or may terminate its obligation to provide financial assistance under this Agreement for one or more particular Services, immediately upon written notice to County or at such other time as it may determine if action by the Oregon Legislative Assembly or Emergency Board reduces OHA’s legislative authorization for expenditure of funds to such a degree that OHA will no longer have sufficient expenditure authority to meet its payment obligations under this Agreement, as determined by OHA in the reasonable exercise of its administrative discretion, and the effective date for such reduction in expenditure authorization is less than 45 calendar days from the date the action is taken;
 - (3) Immediately upon written notice to County if Oregon statutes or federal laws, regulations or guidelines are modified, changed, or interpreted by the Oregon Legislative Assembly, the federal government, or a court in such a way that OHA no longer has the authority to meet its obligations under this Agreement or no longer has the authority to provide the financial assistance from the funding source it had planned to use;
 - (4) Upon 30 calendar days advance written notice to County, if County is in default under this Agreement and such default remains uncured at the end of said 30 calendar day period or such longer period, if any, as OHA may specify in the notice;
 - (5) Immediately upon written notice to County, if any license or certificate required by law or regulation to be held by County or a Provider to deliver a Service described in the Financial Assistance Award is for any reason denied, revoked, suspended, not renewed, or changed in such a way that County or a Provider no longer meets requirements to deliver the Service. This termination right may only be exercised with respect to the particular Service or Services impacted by loss of necessary licensure or certification; or
 - (6) Immediately upon written notice to County, if OHA reasonably determines that County or any of its Providers have endangered or are endangering the health or safety of a Client or others in performing the Services covered in this Agreement.
- c. OHA and County agree that this Agreement extends to September 1, 2025, but only for the purpose of amendments to adjust the allocated budget (Exhibit C, “Financial Assistance

Award”) for Services performed, or not performed, by County during the 2024calendar year and first quarter of the 2025-2027 biennium, prior to July 1, 2025. If there is more than one amendment modifying the Financial Assistance Award, the amendment shall be applied to the Financial Assistance Award in the order in which the amendments are executed by County and OHA. In no event is the County authorized to provide any Services under this Agreement, and County is not required to provide any Services under this Agreement, after June 30, 2025.

9. Effect of Termination.

a. Entire Agreement.

- (1) Upon termination of this Agreement in its entirety, OHA shall have no further obligation to pay or disburse financial assistance to County under this Agreement, whether or not OHA has paid or disbursed to County all financial assistance described in the Financial Assistance Award except: (a) with respect to funds described in the Financial Assistance Award, to the extent OHA’s disbursement of financial assistance for a particular Service, the financial assistance for which is calculated on a rate per unit of service or service capacity basis, is less than the applicable rate multiplied by the number of applicable units of Service or Service capacity of that type performed or made available from the effective date of this Agreement through the termination date; and (b) with respect to funds described in the Financial Assistance Award, to the extent OHA’s disbursement of financial assistance for a particular Service, the financial assistance for which is calculated on a cost reimbursement basis, is less than the cumulative actual Allowable Costs reasonably and necessarily incurred with respect to delivery of that Service, from the effective date of this Agreement through the termination date.
- (2) Upon termination of this Agreement in its entirety, County shall have no further obligation under this Agreement to operate a CMHP.

b. Individual Program Area or Service.

- (1) Upon termination of OHA’s obligation to provide financial assistance under this Agreement for a particular Service, OHA shall have no further obligation to pay or disburse any financial assistance to County under this Agreement for that Service, whether or not OHA has paid or disbursed to County all financial assistance described in the Financial Assistance Award for that Service except: (a) with respect to funds described in the Financial Assistance Award and if the financial assistance for that Service is calculated on a rate per unit of service or service capacity basis, to the extent that OHA’s prior disbursement of financial assistance for that Service is less than the applicable rate multiplied by the number of applicable units of Service or Service capacity of that type performed or made available during the period from the first day of the period for which the funds were awarded through the earlier of the termination of OHA’s obligation to provide financial assistance for that Service or the last day of the period for which the funds were awarded; and (b) with respect to funds described in the Financial Assistance Award and if the financial assistance for that Service is calculated on a cost reimbursement basis, to the extent that OHA’s prior disbursement of financial assistance for that Service is less than the cumulative actual Allowable Costs reasonably and necessarily incurred by County with respect to delivery of that Service, during the period from the effective date of this Agreement through the termination of OHA’s obligation to provide financial assistance for that Service.

- (2) Upon termination of OHA's obligation to provide financial assistance under this Agreement for a particular Service, County shall have no further obligation under this Agreement to include that Service in its CMHP.
- (3) Upon termination of County's obligation to include a Program Area in its CMHP, OHA shall have (a) no further obligation to pay or disburse financial assistance to
- (4) County under this Agreement for System Management and Coordination – Community Mental Health Services (MHS 01) and System Management and Coordination - Addiction Treatment, Recovery, & Prevention, and Problem Gambling Services (A&D 03) in that Program Area whether or not OHA has paid or disbursed to County all financial assistance described in the Financial Assistance Award for local administration of Services in that Program Area; and (b) no further obligation to pay or disburse any financial assistance to County under this Agreement for Services in that Program Area, whether or not OHA has paid or disbursed to County all financial assistance described in the Financial Assistance Award for those Services except: (1) with respect to funds described in the Financial Assistance Award, to the extent OHA's disbursement of financial assistance for a particular Service falling within that Program Area, the financial assistance for which is calculated on a rate per unit of service or service capacity basis, is less than the applicable rate multiplied by the number of applicable units of Service or Service capacity of that type performed or made available during the period from the Effective Date of this Agreement through the termination of County's obligation to include the Program Area, in which that Service falls, in County's CMHP; and (2) with respect to funds described in the Financial Assistance Award, to the extent OHA's disbursement of financial assistance for a particular Service falling within that Program Area, the financial assistance for which is calculated on a cost reimbursement basis, is less than the cumulative actual Allowable Costs reasonably and necessarily incurred by County with respect to delivery of that Service, during the period from the Effective Date of this Agreement through the termination of County's obligation to include the Program Area, in which that Service falls, in County's CMHP.
- (5) Upon termination of County's obligation to include a Program Area in its CMHP, County shall have no further obligation under this Agreement to include that Program Area in its CMHP.

c. Disbursement Limitations. Notwithstanding subsections (a) and (b) above:

- (1) Under no circumstances will OHA be obligated to provide financial assistance to County for a particular Service in excess of the amount awarded under this Agreement for that Service as set forth in the Financial Assistance Award; and
- (2) Under no circumstances will OHA be obligated to provide financial assistance to County from funds described in the Financial Assistance Award in an amount greater than the amount due County under the Financial Assistance Award for Services, as determined in accordance with the financial assistance calculation methodologies in the applicable Services Descriptions.

d. Survival. Exercise of a termination right set forth in the Termination section of this Exhibit or expiration of this Agreement in accordance with its terms, shall not affect County's right to receive financial assistance to which it is entitled hereunder, as described in subsections a. and b. above and as determined through the Agreement Settlement process, or County's right to invoke the dispute resolution processes under Sections 14 and 15 of Exhibit F.

Notwithstanding subsections a. and b. above, exercise of the termination rights in Section 8 of this Exhibit or expiration of this Agreement in accordance with its terms, shall not affect County's obligations under this Agreement or OHA's right to enforce this Agreement against County in accordance with its terms, with respect to financial assistance actually disbursed by OHA under this Agreement, or with respect to Services actually delivered. Specifically, but without limiting the generality of the preceding sentence, exercise of a termination right set forth in Section 8 of this Exhibit or expiration of this Agreement in accordance with its terms shall not affect County's representations and warranties, reporting obligations, record-keeping and access obligations, confidentiality obligations, obligation to comply with applicable federal requirements, the restrictions and limitations on County's use of financial assistance actually disbursed by OHA hereunder, County's obligation to cooperate with OHA in the Agreement Settlement process, or OHA's right to recover from County, in accordance with the terms of this Agreement, any financial assistance disbursed by OHA under this Agreement that is identified as an Underexpenditure, Overexpenditure or Misexpenditure. If a termination right set forth in Section 8 of this Exhibit is exercised, both parties shall make reasonable, good faith efforts to minimize unnecessary disruption or other problems associated with the termination.

10. **Insurance.** County shall require Providers to maintain insurance as set forth in Exhibit J, "Provider Insurance Requirements," which is attached hereto.
11. **Records Maintenance; Access and Confidentiality.**
 - a. **Access to Records and Facilities.** OHA, the Secretary of State's Office of the State of Oregon, the Federal Government, and their duly authorized representatives shall have access to the books, documents, papers and records of the County that are directly related to this Agreement, the financial assistance provided hereunder, or any Service for the purpose of making audits, examinations, excerpts, copies and transcriptions. In addition, County shall permit authorized representatives of OHA to perform site reviews of all Services delivered by County.
 - b. **Retention of Records.** County shall retain and keep accessible all books, documents, papers, and records that are directly related to this Agreement, the financial assistance provided hereunder or any Service, for a minimum of six years, or such longer period as may be required by other provisions of this Agreement or applicable law, following the termination or expiration of this Agreement. If there are unresolved audit or Agreement Settlement questions at the end of the applicable retention period, County shall retain the records until the questions are resolved.
 - c. **Expenditure Records.** County shall document the use and expenditure of all financial assistance paid by OHA under this Agreement. Unless applicable federal law requires County to utilize a different accounting system, County shall create and maintain all use and expenditure records in accordance with generally accepted accounting principles and in sufficient detail to permit OHA to verify how the financial assistance paid by OHA under this Agreement was used or expended.
 - d. **Client Records.** If County delivers a Service directly, County shall create and maintain a Client record for each Client who receives that Service, unless the Service Description precludes delivery of the Service on an individual Client basis and reporting of Service commencement and termination information is not required by the Service Description. The Client record shall contain:
 - (1) Client identification;
 - (2) Problem assessment;

- (3) Treatment, training, or care plan;
- (4) Medical information when appropriate; and
- (5) Progress notes including Service termination summary and current assessment or evaluation instrument as designated by OHA in administrative rules.

County shall retain Client records in accordance with OAR 166-150-0005 through 166-150-0215 (State Archivist). Unless OAR 166-150-0005 through 166-150-0215 requires a longer retention period, Client records must be retained for a minimum of six years from termination or expiration of this Agreement.

- e. **Safeguarding of Client Information.** County shall maintain the confidentiality of Client records as required by applicable state and federal law, including without limitation, ORS 179.495 to 179.509 45 CFR Part 205, 42 CFR Part 2, any administrative rule adopted by OHA implementing the foregoing laws, and any written policies made available to County by OHA. County shall create and maintain written policies and procedures related to the disclosure of Client information, and shall make such policies and procedures available to OHA for review and inspection as reasonably requested by OHA.
12. **Information Privacy/Security/Access.** If the Services performed under this Agreement requires County or its Provider(s) to access or otherwise use any OHA Information Asset or Network and Information System to which security and privacy requirements apply, and OHA grants County, its Provider(s), or both access to such OHA Information Assets or Network and Information Systems, County shall comply and require its Provider(s) to which such access has been granted to comply with the terms and conditions applicable to such access or use, including OAR 943-014-0300 through OAR 943-014-0320, as such rules may be revised from time to time. For purposes of this section, “Information Asset” and “Network and Information System” have the meaning set forth in OAR 943-014-0305, as such rule may be revised from time to time.
 13. **Force Majeure.** Neither OHA nor County shall be held responsible for delay or default caused by fire, civil unrest, labor unrest, natural causes, or war which is beyond the reasonable control of OHA or County, respectively. Each party shall, however, make all reasonable efforts to remove or eliminate such cause of delay or default and shall, upon the cessation of the cause, diligently pursue performance of its obligations under this Agreement. Either party may terminate this Agreement upon written notice to the other party after reasonably determining that the delay or default will likely prevent successful performance of this Agreement.
 14. **Assignment of Agreement, Successors in Interest.**
 - a. County shall not assign or transfer its interest in this Agreement without prior written approval of OHA. Any such assignment or transfer, if approved, is subject to such conditions and provisions as OHA may deem necessary. No approval by OHA of any assignment or transfer of interest shall be deemed to create any obligation of OHA in addition to those set forth in this Agreement.
 - b. The provisions of this Agreement shall be binding upon and shall inure to the benefit of the parties to this Agreement, and their respective successors and permitted assigns.
 15. **No Third Party Beneficiaries.** OHA and County are the only parties to this Agreement and are the only parties entitled to enforce its terms. The parties agree that County’s performance under this Agreement is solely for the benefit of OHA to assist and enable OHA to accomplish its statutory mission. Nothing in this Agreement gives, is intended to give, or shall be construed to give or provide any benefit or right, whether directly, indirectly, or otherwise, to third persons any greater than the rights and benefits enjoyed by the general public unless such third persons are

individually identified by name herein and expressly described as intended beneficiaries of the terms of this Agreement.

16. **Amendment.** No amendment, modification or change of terms of this Agreement shall bind either party unless in writing and signed by both parties and when required by the Department of Justice. Such amendment, modification, or change, if made, shall be effective only in the specific instance and for the specific purpose given.
17. **Severability.** The parties agree that if any term or provision of this Agreement is declared by a court of competent jurisdiction to be illegal or in conflict with any law, the validity of the remaining terms and provisions shall not be affected, and the rights and obligations of the parties shall be construed and enforced as if the Agreement did not contain the particular term or provision held to be invalid.
18. **Notice.** Except as otherwise expressly provided in this Agreement, any communications between the parties hereto or notices to be given hereunder shall be given in writing by personal delivery, facsimile, or mailing the same, postage prepaid to County or OHA at the address or number set forth below, or to such other addresses or numbers as either party may indicate pursuant to this section. Any communication or notice so addressed and mailed shall be effective five calendar days after mailing. Any communication or notice delivered by facsimile shall be effective on the day the transmitting machine generates a receipt of the successful transmission, if transmission was during normal business hours of the recipient, or on the next business day, if transmission was outside normal business hours of the recipient. To be effective against the other party, any notice transmitted by facsimile must be confirmed by telephone notice to the other party at number listed below. Any communication or notice given by personal delivery shall be effective when actually delivered to the addressee.

OHA: Office of Contracts & Procurement
500 Summer Street NE, 5th floor
Salem, OR 97301
Telephone: 503-945-5818 Facsimile: 503-378-4324
E-mail address: _____

COUNTY: Contact Name: _____
Title: _____
Street Address: _____
City, State Zip: _____
Telephone: _____ Facsimile: _____
E-mail address: _____

19. **Headings.** The headings and captions to sections of this Agreement have been inserted for identification and reference purposes only and shall not be used to construe the meaning or to interpret this Agreement.
20. **Counterparts.** This Agreement and any subsequent amendments may be executed in several counterparts, all of which when taken together shall constitute one agreement binding on all parties, notwithstanding that all parties are not signatories to the same counterpart. Each copy of this Agreement and any amendments so executed shall constitute an original.
21. **Integration and Waiver.** This Agreement, including all Exhibits, constitutes the entire Agreement between the parties on the subject matter hereof. There are no understandings, agreements, or representations, oral or written, not specified herein regarding this Agreement. The failure of either party to enforce any provision of this Agreement shall not constitute a waiver by

that party of that or any other provision. No waiver or consent shall be effective unless in writing and signed by the party against whom it is asserted.

22. **Construction.** This Agreement is the product of extensive negotiations between OHA and representatives of county governments. The provisions of this Agreement are to be interpreted and their legal effects determined as a whole. An arbitrator or court interpreting this Agreement shall give a reasonable, lawful, and effective meaning to the Agreement to the extent possible, consistent with the public interest.

23. **Contribution.** If any third party makes any claim or brings any action, suit or proceeding alleging a tort as now or hereafter defined in ORS 30.260 ("Third Party Claim") against a party (the "Notified Party") with respect to which the other party ("Other Party") may have liability, the Notified Party must promptly notify the Other Party in writing of the Third Party Claim and deliver to the Other Party a copy of the claim, process, and all legal pleadings with respect to the Third Party Claim. Either party is entitled to participate in the defense of a Third-Party Claim, and to defend a Third-Party Claim with counsel of its own choosing. Receipt by the Other Party of the notice and copies required in this paragraph and meaningful opportunity for the Other Party to participate in the investigation, defense, and settlement of the Third-Party Claim with counsel of its own choosing are conditions precedent to the Other Party's liability with respect to the Third-Party Claim.

With respect to a Third-Party Claim for which the State is jointly liable with the County (or would be if joined in the Third-Party Claim), the State shall contribute to the amount of expenses (including attorneys' fees), judgments, fines and amounts paid in settlement actually and reasonably incurred and paid or payable by the County in such proportion as is appropriate to reflect the relative fault of the State on the one hand and of the County on the other hand in connection with the events which resulted in such expenses, judgments, fines or settlement amounts, as well as any other relevant equitable considerations. The relative fault of the State on the one hand and of the County on the other hand shall be determined by reference to, among other things, the parties' relative intent, knowledge, access to information and opportunity to correct or prevent the circumstances resulting in such expenses, judgments, fines, or settlement amounts. The State's contribution amount in any instance is capped to the same extent it would have been capped under Oregon law if the State had sole liability in the proceeding.

With respect to a Third Party Claim for which the County is jointly liable with the State (or would be if joined in the Third Party Claim), the County shall contribute to the amount of expenses (including attorneys' fees), judgments, fines and amounts paid in settlement actually and reasonably incurred and paid or payable by the State in such proportion as is appropriate to reflect the relative fault of the County on the one hand and of the State on the other hand in connection with the events which resulted in such expenses, judgments, fines or settlement amounts, as well as any other relevant equitable considerations. The relative fault of the County on the one hand and of the State on the other hand shall be determined by reference to, among other things, the parties' relative intent, knowledge, access to information and opportunity to correct or prevent the circumstances resulting in such expenses, judgments, fines, or settlement amounts. The County's contribution amount in any instance is capped to the same extent it would have been capped under Oregon law if it had sole liability in the proceeding.

24. **Indemnification by Providers.** County shall take all reasonable steps to cause its Provider(s) that are not units of local government as defined in ORS 190.003, if any, to indemnify, defend, save and hold harmless the State of Oregon and its officers, employees and agents ("Indemnitee") from and against any and all claims, actions, liabilities, damages, losses, or expenses (including attorneys' fees) arising from a tort (as now or hereafter defined in ORS 30.260) caused, or alleged to be caused, in whole or in part, by the negligent or willful acts or omissions of County's

Provider or any of the officers, agents, employees or subcontractors of the contractor("Claims"). It is the specific intention of the parties that the Indemnatee shall, in all instances, except for Claims arising solely from the negligent or willful acts or omissions of the Indemnatee, be indemnified by the contractor from and against any and all Claims.

**2024-2025 INTERGOVERNMENTAL AGREEMENT
FOR THE FINANCING OF COMMUNITY MENTAL HEALTH, ADDICTION TREATMENT,
RECOVERY, & PREVENTION, AND PROBLEM GAMBLING SERVICES**

**EXHIBIT H
REQUIRED FEDERAL TERMS AND CONDITIONS**

In addition to the requirements of section 2 of Exhibit G, County shall comply, and as indicated, require all Providers to comply with the following federal requirements when federal funding is being used. For purposes of this Agreement, all references to federal and state laws are references to federal and state laws as they may be amended from time to time.

- 1. Miscellaneous Federal Provisions.** County shall comply and require all Providers to comply with all federal laws, regulations, and executive orders applicable to the Agreement or to the delivery of Services. Without limiting the generality of the foregoing, County expressly agrees to comply and require all Providers to comply with the following laws, regulations and executive orders to the extent they are applicable to the Agreement: (a) Title VI and VII of the Civil Rights Act of 1964, as amended, (b) Sections 503 and 504 of the Rehabilitation Act of 1973, as amended, (c) the Americans with Disabilities Act of 1990, as amended, (d) Executive Order 11246, as amended, (e) the Health Insurance Portability and Accountability Act of 1996, as amended, (f) the Age Discrimination in Employment Act of 1967, as amended, and the Age Discrimination Act of 1975, as amended, (g) the Vietnam Era Veterans' Readjustment Assistance Act of 1974, as amended, (h) all regulations and administrative rules established pursuant to the foregoing laws, (i) all other applicable requirements of federal civil rights and rehabilitation statutes, rules and regulations, and (j) all federal law governing operation of Community Mental Health Programs, including without limitation, all federal laws requiring reporting of Client abuse. These laws, regulations and executive orders are incorporated by reference herein to the extent that they are applicable to the Agreement and required by law to be so incorporated. No federal funds may be used to provide Services in violation of 42 U.S.C. 14402.
- 2. Equal Employment Opportunity.** If this Agreement, including amendments, is for more than \$10,000, then County shall comply and require all Providers to comply with Executive Order 11246, entitled "Equal Employment Opportunity," as amended by Executive Order 11375, and as supplemented in U.S. Department of Labor regulations (41 CFR Part 60).
- 3. Clean Air, Clean Water, EPA Regulations.** If this Agreement, including amendments, exceeds \$100,000 then County shall comply and require all Providers to comply with all applicable standards, orders, or requirements issued under Section 306 of the Clean Air Act (42 U.S.C. 7606), the Federal Water Pollution Control Act as amended (commonly known as the Clean Water Act) (33 U.S.C. 1251 to 1387), specifically including, but not limited to Section 508 (33 U.S.C. 1368), Executive Order 11738, and Environmental Protection Agency regulations (2 CFR Part 1532), which prohibit the use under non-exempt Federal contracts, grants or loans of facilities included on the EPA List of Violating Facilities. Violations shall be reported to OHA, United States Department of Health and Human Services and the appropriate Regional Office of the Environmental Protection Agency. County shall include and require all Providers to include in all contracts with subcontractors receiving more than \$100,000, language requiring the subcontractor to comply with the federal laws identified in this section.

4. **Energy Efficiency** . County shall comply and require all Providers to comply with applicable mandatory standards and policies relating to energy efficiency that are contained in the Oregon energy conservation plan issued in compliance with the Energy Policy and Conservation Act 42 U.S.C. 6201 et. seq. (Pub. L. 94-163).
5. **Truth in Lobbying**. By signing this Agreement, the County certifies, to the best of the County’s knowledge and belief that:
- a. No federal appropriated funds have been paid or will be paid, by or on behalf of County, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any federal contract, the making of any federal grant, the making of any federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment or modification of any federal contract, grant, loan or cooperative agreement.
 - b. If any funds other than federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this federal contract, grant, loan or cooperative agreement, the County shall complete and submit Standard Form LLL, “Disclosure Form to Report Lobbying” in accordance with its instructions.
 - c. The County shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients and subcontractors shall certify and disclose accordingly.
 - d. This certification is a material representation of fact upon which reliance was placed when this Agreement was made or entered into. Submission of this certification is a prerequisite for making or entering into this Agreement imposed by section 1352, Title 31 of the U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.
 - e. No part of any federal funds paid to County under this Agreement shall be used, other than for normal and recognized executive legislative relationships, for publicity or propaganda purposes, for the preparation, distribution, or use of any kit, pamphlet, booklet, publication, electronic communication, radio, television, or video presentation designed to support or defeat the enactment of legislation before the United States Congress or any State or local legislature itself, or designed to support or defeat any proposed or pending regulation, administrative action, or order issued by the executive branch of any State or local government.
 - f. No part of any federal funds paid to County under this Agreement shall be used to pay the salary or expenses of any grant or contract recipient, or agent acting for such recipient, related to any activity designed to influence the enactment of legislation, appropriations, regulation, administrative action, or Executive order proposed or pending before the United States Congress or any State government, State legislature or local legislature or legislative body, other than for normal and recognized executive-legislative relationships or participation by an agency or officer of a State, local or tribal government in policymaking and administrative processes within the executive branch of that government.
 - g. The prohibitions in subsections (e) and (f) of this section shall include any activity to advocate or promote any proposed, pending, or future Federal, State, or local tax increase,

or any proposed, pending, or future requirement or restriction on any legal consumer product, including its sale or marketing, including but not limited to the advocacy or promotion of gun control.

h. No part of any federal funds paid to County under this Agreement may be used for any activity that promotes the legalization of any drug or other substance included in schedule I of the schedules of controlled substances established under section 202 of the Controlled Substances Act except for normal and recognized executive congressional communications. This limitation shall not apply when there is significant medical evidence of a therapeutic advantage to the use of such drug or other substance or that federally sponsored clinical trials are being conducted to determine therapeutic advantage.

- 6. Resource Conservation and Recovery.** County shall comply and require all Providers to comply with all mandatory standards and policies that relate to resource conservation and recovery pursuant to the Resource Conservation and Recovery Act (codified at 42 U.S.C. 6901 et. seq.). Section 6002 of that Act (codified at 42 U.S.C. 6962) requires that preference be given in procurement programs to the purchase of specific products containing recycled materials identified in guidelines developed by the Environmental Protection Agency. Current guidelines are set forth in 40 CFR Part 247.
- 7. Audits.** Sub recipients, as defined in 45 CFR 75.2, which includes, but is not limited to County, shall comply, and County shall require all Providers to comply, with applicable Code of Federal Regulations (CFR) governing expenditure of federal funds including, but not limited to, if a sub-recipient expends \$500,000 or more in Federal funds (from all sources) in its fiscal year beginning prior to December 26, 2014, a sub-recipient shall have a single organization-wide audit conducted in accordance with the Single Audit Act. If a sub-recipient expends \$750,000 or more in federal funds (from all sources) in a fiscal year beginning on or after December 26, 2014, it shall have a single organization-wide audit conducted in accordance with the provisions of 45 CFR part 75, subpart F. Copies of all audits must be submitted to OHA within 30 calendar days of completion. If a sub recipient expends less than \$500,000 in Federal funds in a fiscal year beginning prior to December 26, 2014, or less than \$750,000 in a fiscal year beginning on or after that date, it is exempt from Federal audit requirements for that year. Records must be available for review or audit by appropriate officials.
- 8. Debarment and Suspension.** County shall not permit any person or entity to be a Provider if the person or entity is listed on the non-procurement portion of the General Service Administration's "List of Parties Excluded from Federal Procurement or Non-procurement Programs" in accordance with Executive Orders No. 12549 and No. 12689, "Debarment and Suspension". (See 2 CFR Part 180). This list contains the names of parties debarred, suspended, or otherwise excluded by agencies, and contractors declared ineligible under statutory authority other than Executive Order No. 12549. Providers with awards that exceed the simplified acquisition threshold shall provide the required certification regarding their exclusion status and that of their principals prior to award.

9. **Drug-Free Workplace.** County shall comply and require all Providers to comply with the following provisions to maintain a drug-free workplace: (i) County certifies that it will provide a drug-free workplace by publishing a statement notifying its employees that the unlawful manufacture, distribution, dispensation, possession or use of a controlled substance, except as may be present in lawfully prescribed or over-the-counter medications, is prohibited in County's workplace or while providing Services to OHA clients. County's notice shall specify the actions that will be taken by County against its employees for violation of such prohibitions; (ii) Establish a drug-free awareness program to inform its employees about: The dangers of drug abuse in the workplace, County's policy of maintaining a drug-free workplace, any available drug counseling, rehabilitation, and employee assistance programs, and the penalties that may be imposed upon employees for drug abuse violations; (iii) Provide each employee to be engaged in the performance of Services under this Agreement a copy of the statement mentioned in paragraph (i) above; (iv) Notify each employee in the statement required by paragraph (i) above that, as a condition of employment to provide services under this Agreement, the employee will: abide by the terms of the statement, and notify the employer of any criminal drug statute conviction for a violation occurring in the workplace no later than five (5) calendar days after such conviction; (v) Notify OHA within ten (10) calendar days after receiving notice under subparagraph (iv) above from an employee or otherwise receiving actual notice of such conviction; (vi) Impose a sanction on, or require the satisfactory participation in a drug abuse assistance or rehabilitation program by any employee who is so convicted as required by Section 5154 of the Drug-Free Workplace Act of 1988; (vii) Make a good-faith effort to continue a drug-free workplace through implementation of subparagraphs (i) through (vi) above; (viii) Require any Provider to comply with subparagraphs (i) through (vii) above; (ix) Neither County, or any of County's employees, officers, agents or Providers may provide any Service required under this Agreement while under the influence of drugs. For purposes of this provision, "under the influence" means observed abnormal behavior or impairments in mental or physical performance leading a reasonable person to believe the County or County's employee, officer, agent, or Provider has used a controlled substance, prescription or non-prescription medication that impairs the County or County's employee, officer, agent, or Provider's performance of essential job function or creates a direct threat to OHA clients or others. Examples of abnormal behavior include, but are not limited to hallucinations, paranoia, or violent outbursts. Examples of impairments in physical or mental performance include, but are not limited to slurred speech, difficulty walking or performing job activities; and (x) Violation of any provision of this subsection may result in termination of this Agreement.
10. **Pro-Children Act.** County shall comply and require all Providers to comply with the Pro-Children Act of 1994 (codified at 20 U.S.C. Section 6081 et. seq.).
11. **Medicaid Services.** To the extent County provides any Service in which costs are paid in whole or in part by Medicaid, County shall comply with all applicable federal and state laws and regulation pertaining to the provision of Medicaid Services under the Medicaid Act, Title XIX, 42 U.S.C. Section 1396 et. seq., including without limitation:
- a. Keep such records as are necessary to fully disclose the extent of the services provided to Individuals receiving Medicaid assistance and shall furnish such information to any state or federal agency responsible for administering the Medicaid program regarding any payments claimed by such person or institution for providing Medicaid Services as the state or federal agency may from time to time request. 42 U.S.C. Section 1396a (a) (27); 42 CFR Part 431.107(b)(1) & (2).
 - b. Comply with all disclosure requirements of 42 CFR Part 1002.3(a) and 42 CFR 455 Subpart (B).

- c. Maintain written notices and procedures respecting advance directives in compliance with 42 U.S.C. Section 1396 (a) (57) and (w), 42 CFR Part 431.107 (b) (4), and 42 CFR Part 489 subpart I.
 - d. Certify when submitting any claim for the provision of Medicaid Services that the information submitted is true, accurate and complete. County shall acknowledge County's understanding that payment of the claim will be from federal and state funds and that any falsification or concealment of a material fact may be prosecuted under federal and state laws.
 - e. Entities receiving \$5 million or more annually (under this Agreement and any other Medicaid agreement) for furnishing Medicaid health care items or services shall, as a condition of receiving such payments, adopt written fraud, waste and abuse policies and procedures and inform employees, Providers and agents about the policies and procedures in compliance with Section 6032 of the Deficit Reduction Act of 2005, 42 U.S.C. § 1396a (a) (68).
12. **ADA.** County shall comply with Title II of the Americans with Disabilities Act of 1990 (codified at 42 U.S.C. 12131 et. seq.) in the construction, remodeling, maintenance and operation of any structures and facilities, and in the conduct of all programs, services and training associated with the delivery of Services.
13. **Agency-Based Voter Registration.** If applicable, County shall comply with the Agency-based Voter Registration sections of the National Voter Registration Act of 1993 that require voter registration opportunities be offered where an Individual may apply for or receive an application for public assistance.
14. **Disclosure.**
- a. 42 CFR 455.104 requires the State Medicaid agency to obtain the following information from any provider of Medicaid or CHIP services, including fiscal agents of providers and managed care entities: (1) the name and address (including the primary business address, every business location and P.O. Box address) of any person (Individual or corporation) with an ownership or control interest in the provider, fiscal agent or managed care entity; (2) in the case of an Individual, the date of birth and Social Security Number, or, in the case of a corporation, the tax identification number of the entity, with an ownership interest in the provider, fiscal agent or managed care entity or of any subcontractor in which the provider, fiscal agent or managed care entity has a 5% or more interest; (3) whether the person (Individual or corporation) with an ownership or control interest in the provider, fiscal agent or managed care entity is related to another person with ownership or control interest in the provider, fiscal agent or managed care entity as a spouse, parent, child or sibling, or whether the person (Individual or corporation) with an ownership or control interest in any subcontractor in which the provider, fiscal agent or managed care entity has a 5% or more interest is related to another person with ownership or control interest in the provider, fiscal agent or managed care entity as a spouse, parent, child or sibling; (4) the name of any other provider, fiscal agent or managed care entity in which an owner of the provider, fiscal agent or managed care entity has an ownership or control interest; and, (5) the name, address, date of birth and Social Security Number of any managing employee of the provider, fiscal agent or managed care entity.

- b. 42 CFR 455.434 requires as a condition of enrollment as a Medicaid or CHIP provider, to consent to criminal background checks, including fingerprinting when required to do so under state law, or by the category of the provider based on risk of fraud, waste, and abuse under federal law. As such, a provider must disclose any person with a 5% or greater direct or indirect ownership interest in the provider who has been convicted of a criminal offense related to that person's involvement with the Medicare, Medicaid, or title XXI program in the last 10 years.
- c. OHA reserves the right to take such action required by law, or where OHA has discretion, it deems appropriate, based on the information received (or the failure to receive) from the provider, fiscal agent, or managed care entity.

15. Special Federal Requirements Applicable to Addiction Treatment, Recovery, & Prevention Services for Counties receiving Substance Abuse Prevention and Treatment (SAPT) Block Grant funds.

a. Order for Admissions:

- (1) Pregnant women who inject drugs;
- (2) Pregnant substance abusers;
- (3) Other Individuals who inject drugs; and
- (4) All others.

b. Women's or Parent's Services. If County provides A&D 61 and A&D 62 Services, County must:

- (1) Treat the family as a unit and admit both women or parent and their children if appropriate.
- (2) Provide or arrange for the following services to pregnant women and women with dependent children:
 - (a) Primary medical care, including referral for prenatal care;
 - (b) Pediatric care, including immunizations, for their children;
 - (c) Gender-specific treatment and other therapeutic interventions, e.g., sexual and physical abuse counseling, parenting training, and childcare;
 - (d) Therapeutic interventions for children in custody of women or parent in treatment, which address, but are not limited to, the children's developmental needs and issues of abuse and neglect; and
 - (e) Appropriate case management services and transportation to ensure that women or parents and their children have access to the services in (a) through (d) above.

c. Pregnant Women. If County provides any Addiction Treatment, Recovery, & Prevention Services other than A&D 84, Problem Gambling, Client Finding Outreach Services, County must:

- (1) Within the priority categories, if any, set forth in a particular Service Description, give preference in admission to pregnant women in need of treatment, who seek or are referred for and would benefit from such Services, within 48 hours;

- (2) If County has insufficient capacity to provide treatment Services to a pregnant woman, County must refer the women to another Provider with capacity or if no available treatment capacity can be located, the outpatient Provider that the Individual is enrolled with will ensure that Interim Services are being offered. Counseling on the effects of alcohol and drug use on the fetus must be given within 48 hours, including a referral for prenatal care; and
 - (3) Perform outreach to inform pregnant women of the availability of treatment Services targeted to them and the fact that pregnant women receive preference in admission to these programs.
- d. Intravenous Drug Abusers.** If County provides any Addiction Treatment, Recovery, & Prevention Services, other than A&D 84 Problem Gambling, Client Finding Outreach Services, County must:
- (1) Within the priority categories, if any, set forth in a particular Service Description and subject to the preference for pregnant women described above, give preference in admission to intravenous drug abusers;
 - (2) Programs that receive funding under the grant and that treat Individuals for intravenous substance abuse, upon reaching 90 percent of its capacity to admit Individuals to the program, must provide notification of that fact to the State within 7 calendar days;
 - (3) If County receives a request for admission to treatment from an intravenous drug abuser, County must, unless it succeeds in referring the Individual to another Provider with treatment capacity, admit the Individual to treatment not later than:
 - (a) 14 calendar days after the request for admission to County is made;
 - (b) 120 calendar days after the date of such request if no Provider has the capacity to admit the Individual on the date of such request and, if Interim Services are made available not less than 48 hours after such request; or
 - (c) If County has insufficient capacity to provide treatment Services to an intravenous drug abuser, refer the intravenous drug abuser to another Provider with capacity or if no available treatment capacity can be located, the outpatient provider that the Individual is enrolled with will ensure that interim services are being offered. If the Individual is not enrolled in outpatient treatment and is on a waitlist for residential treatment, the provider from the county of the Individual's residence that is referring the Individual to residential services will make available counseling and education about human immunodeficiency virus (HIV) and tuberculosis(TB), risk of sharing needles, risks of transmission to sexual partners and infant, steps to ensure HIV and TB transmission does not occur, referral for HIV or TB treatment services, if necessary, within 48 hours.
- e. Infectious Diseases.** If County provides any Addiction Treatment, Recovery, & Prevention Services, other than A&D 84 Problem Gambling, Client Finding Outreach Services, County must:
- (1) Complete a risk assessment for infectious disease including Human Immunodeficiency Virus (HIV) and tuberculosis, as well as sexually transmitted

diseases, based on protocols established by OHA, for every Individual seeking Services from County; and

- (2) Routinely make tuberculosis services available to each Individual receiving Services for alcohol/drug abuse either directly or through other arrangements with public or non-profit entities and, if County denies an Individual admission on the basis of lack of capacity, refer the Individual to another provider of tuberculosis Services.
- (3) For purposes of (2) above, “tuberculosis services” means:
 - (a) Counseling the Individual with respect to tuberculosis;
 - (b) Testing to determine whether the Individual has contracted such disease and testing to determine the form of treatment for the disease that is appropriate for the Individual; and
 - (c) Appropriate treatment services.
- f. **OHA Referrals.** If County provides any Addiction Treatment, Recovery, & Prevention Services, other than A&D 84 Problem Gambling, Client Finding Outreach Services, County must, within the priority categories, if any, set forth in a particular Service Description and subject to the preference for pregnant women and intravenous drug users described above, give preference in Addiction Treatment, Recovery, & Prevention and Problem Gambling Service delivery to persons referred by OHA.
- g. **Barriers to Treatment.** Where there is a barrier to delivery of any Addiction Treatment, Recovery, & Prevention, and Problem Gambling Service due to culture, gender, language, illiteracy, or disability, County shall develop support services available to address or overcome the barrier, including:
 - (1) Providing, if needed, hearing impaired or foreign language interpreters.
 - (2) Providing translation of written materials to appropriate language or method of communication (except as provided in Exhibit F, “General Terms and Conditions,” Section 7., “Alternative Formats and Translation of Written Materials, Interpreter Services”).
 - (3) Providing devices that assist in minimizing the impact of the barrier.
 - (4) Not charging clients for the costs of measures, such as interpreters, that are required to provide nondiscriminatory treatment.
- h. **Misrepresentation.** County shall not knowingly or willfully make or cause to be made any false statement or representation of a material fact in connection with the furnishing of items or Services for which payments may be made by OHA.
- i. **Oregon Residency.** Addiction Treatment, Recovery, & Prevention, and Problem Gambling Services funded through this Agreement may only be provided to residents of Oregon. Residents of Oregon are Individuals who live in Oregon. There is no minimum amount of time an Individual must live in Oregon to qualify as a resident so long as the Individual intends to remain in Oregon. A child’s residence is not dependent on the residence of his or her parents. A child living in Oregon may meet the residency requirement if the caretaker relative with whom the child is living is an Oregon resident.
- j. **Tobacco Use.** If County has Addiction Treatment, Recovery, & Prevention Services treatment capacity that has been designated for children, adolescents, pregnant women, and women with dependent children, County must implement a policy to eliminate smoking

and other use of tobacco at the facilities where the Services are delivered and on the grounds of such facilities.

- k. **Client Authorization.** County must comply with 42 CFR Part 2 when delivering an Addiction Treatment, Recovery, & Prevention Service that includes disclosure of Client information for purposes of eligibility determination. County must obtain Client authorization for disclosure of billing information, to the extent and in the manner required by 42 CFR Part 2, before a Disbursement Claim is submitted with respect to delivery of an Addiction Treatment, Recovery, & Prevention Service to that Individual.

16. Special Federal Requirements Applicable To Addiction Treatment, Recovery, & Prevention Services for Counties Receiving Temporary Assistance for Needy Families (TANF) Grant Funds.

Funding requirements. TANF may only be used for families receiving TANF, and for families at risk of receiving TANF, and for the purpose of providing housing services (room and board) for Individuals who are dependent children ages 18 years old or younger whose parent is in adult addiction residential treatment, so that the children may reside with their parent in the same treatment facility. Families at-risk of receiving TANF must:

- a. Include a dependent child age 18 years of age or under, who is living with a parent or caretaker relative. "Caretaker relative" means a blood relative of the child; stepmother, stepfather, stepbrother, or stepsister; or an individual who has legally adopted the child.
- b. Be an Oregon resident.
- c. Have income at or below 250% of the Federal Poverty Level.

Use of TANF block grant funds and state expenditures counted towards TANF MOE must meet the requirements of 45 CFR Part 263. Only non-medical Services may be provided with TANF Block Grant funds.

- 17. Community Mental Health Block Grant.** All funds, if any, awarded under this Agreement for Community Mental Health Services are subject to the federal use restrictions and requirements set forth in Catalog of Federal Domestic Assistance Number 93.958 and to the federal statutory and regulatory restrictions imposed by or pursuant to the Community Mental Health Block Grant portion of the Public Health Services Act, 42 U.S.C. 300x-1 *et. seq.*, and County shall comply with those restrictions.

- 18. Substance Abuse Prevention and Treatment.** To the extent County provides any Service in which costs are paid in whole or in part by the Substance Abuse, Prevention, and Treatment Block Grant, County shall comply with federal rules and statutes pertaining to the Substance Abuse, Prevention, and Treatment Block Grant, including the reporting provisions of the Public Health Services Act (42 U.S.C. 300x through 300x-66) and 45 CFR 96.130 regarding the sale of tobacco products. Regardless of funding source, to the extent County provides any substance abuse prevention or treatment services, County shall comply with the confidentiality requirements of 42 CFR Part 2. CMHP may not use the funds received under this Agreement for inherently religious activities, as described in 45 CFR Part 87.

- 19. Information Required by 2 CFR Subtitle B with guidance at 2 CFR Part 200.** All required data elements in accordance with 45 CFR 75.352 are available at:

<http://www.oregon.gov/oha/hsd/amh/Pages/federal-reporting.aspx>.

- 20. Super Circular Requirements.** 2 CFR Part 200, or the equivalent applicable provision adopted by the awarding federal agency in 2 CFR Subtitle B, including but not limited to the following: Page 451

- a. **Property Standards.** 2 CFR 200.313, or the equivalent applicable provision adopted by the awarding federal agency in 2 CFR Subtitle B, which generally describes the required maintenance, documentation, and allowed disposition of equipment purchased with federal funds.
- b. **Procurement Standards.** When procuring goods or services (including professional consulting services), applicable state procurement regulations found in the Oregon Public Contracting Code, ORS chapters 279A, 279B and 279C or 2 CFR §§ 200.318 through 200.326, or the equivalent applicable provision adopted by the awarding federal agency in 2 CFR Subtitle B, as applicable.
- c. **Contract Provisions.** The contract provisions listed in 2 CFR Part 200, Appendix II, or the equivalent applicable provision adopted by the awarding federal agency in 2 CFR Subtitle B, that are hereby incorporated into this Exhibit, are, to the extent applicable, obligations of Recipient, and Recipient shall also include these contract provisions in its contracts with non-Federal entities.

**2024-2025 INTERGOVERNMENTAL AGREEMENT
FOR THE FINANCING OF COMMUNITY MENTAL HEALTH, ADDICTION TREATMENT,
RECOVERY, & PREVENTION, AND PROBLEM GAMBLING SERVICES**

**EXHIBIT I
REQUIRED PROVIDER CONTRACT PROVISIONS**

- 1. Expenditure of Funds.** Provider may expend the funds paid to Provider under this Contract solely on the delivery of _____, subject to the following limitations (in addition to any other restrictions or limitations imposed by this Contract):
 - a.** Provider may not expend on the delivery of _____ any funds paid to Provider under this Contract in excess of the amount reasonable and necessary to provide quality delivery of _____.
 - b.** If this Contract requires Provider to deliver more than one service, Provider may not expend funds paid to Provider under this Contract for a particular service on the delivery of any other service.
 - c.** If this Contract requires Provider to deliver Addiction Treatment, Recovery, & Prevention, and Problem Gambling Services, Provider may not use the funds paid to Provider under this Contract for such services to:
 - (1)** Provide inpatient hospital services;
 - (2)** Make cash payments to intended recipients of health services;
 - (3)** Purchase or improve land, to purchase, construct or permanently improve (other than minor remodeling) any building or other facility or to purchase major medical equipment;
 - (4)** Satisfy any requirement for expenditure of non-federal funds as a condition for receipt of federal funds (whether the federal funds are received under this Contract or otherwise); or
 - (5)** Carry out any program prohibited by section 245(b) of the Health Omnibus Programs Extension Act of 1988 (codified at 42 U.S.C. 300ee-5), which generally prohibits funds provided under this Agreement from being used to provide Individuals with hypodermic needles or syringes so that such Individuals may use illegal drugs, unless the Surgeon General of the Public Health Service determines that a demonstration needle exchange program would be effective in reducing drug abuse.
 - d.** Provider may expend funds paid to Provider under this Contract only in accordance with OMB Circulars or 45 CFR Part 75, as applicable on Allowable Costs. If Provider receives \$500,000 or more in Federal funds (from all sources) in its fiscal year beginning prior to December 26, 2014, it shall have a single organization-wide audit conducted in accordance with the Single Audit Act. If Provider expends \$750,000 or more in federal funds (from all sources) in a fiscal year beginning on or after December 26, 2014, it shall have a single organization-wide audit conducted in accordance with the provisions of 45 CFR part 75, subpart F. If Provider expends less than \$500,000 in Federal funds in a fiscal year beginning prior to December 26, 2014, or less than \$750,000 in a fiscal year beginning on or after that date, it is exempt from Federal audit requirements for that year. Records must be available for review or audit by appropriate officials. Provider, if subject to this

requirement, shall at Provider's own expense submit to OHA a copy of, or electronic link to, its annual audit subject to this requirement covering the funds expended under this Agreement and shall submit or cause to be submitted to OHA the annual audit of any subrecipient(s), contractor(s), or subcontractor(s) of Provider responsible for the financial management of funds received under this Agreement. Copies of all audits must be submitted to OHA within 30 calendar days of completion. Audit costs for audits not required in accordance with the Single Audit Act are unallowable. Provider may not use the funds received under this Agreement for inherently religious activities, as described in 45 CFR Part 87.

2. **Records Maintenance, Access, and Confidentiality.**

- a. **Access to Records and Facilities.** County, the Oregon Health Authority, the Secretary of State's Office of the State of Oregon, the Federal Government, and their duly authorized representatives shall have access to the books, documents, papers, and records of Provider that are directly related to this Contract, the funds paid to Provider hereunder, or any services delivered hereunder for the purpose of making audits, examinations, excerpts, copies, and transcriptions. In addition, Provider shall permit authorized representatives of County and the Oregon Health Authority to perform site reviews of all services delivered by Provider hereunder.
- b. **Retention of Records.** Provider shall retain and keep accessible all books, documents, papers, and records, that are directly related to this Contract, the funds paid to Provider hereunder or to any services delivered hereunder, for a minimum of 6 years, or such longer period as may be required by other provisions of this Contract or applicable law, following the termination or expiration of this Contract. If there are unresolved audit or other questions at the end of the six-year period, Provider shall retain the records until the questions are resolved.
- c. **Expenditure Records.** Provider shall document the expenditure of all funds paid to Provider under this Contract. Unless applicable federal law requires Provider to utilize a different accounting system, Provider shall create and maintain all expenditure records in accordance with generally accepted accounting principles and in sufficient detail to permit County and the Oregon Health Authority to verify how the funds paid to Provider under this Contract were expended.
- d. **Client Records.** Unless otherwise specified in this Contract, Provider shall create and maintain a client record for each client who receives services under this Contract. The client record must contain:
 - (1) Client identification;
 - (2) Problem assessment;
 - (3) Treatment, training and/or care plan;
 - (4) Medical information when appropriate; and
 - (5) Progress notes including service termination summary and current assessment or evaluation instrument as designated by the Oregon Health Authority in administrative rules.

Provider shall retain client records in accordance with OAR 166-150-0005 through 166-150-0215 (State Archivist). Unless OAR 166-150-0005 through 166-150-0215 requires a longer retention period, client records must be retained for a minimum of six years from termination or expiration of this contract.

e. **Safeguarding of Client Information.** Provider shall maintain the confidentiality of client records as required by applicable state and federal law, including without limitation, ORS 179.495 to 179.507, 45 CFR Part 205, 42 CFR Part 2, any administrative rule adopted by the Oregon Health Authority, implementing the foregoing laws, and any written policies made available to Provider by County or by the Oregon Health Authority. Provider shall create and maintain written policies and procedures related to the disclosure of client information, and shall make such policies and procedures available to County and the Oregon Health Authority for review and inspection as reasonably requested by County or the Oregon Health Authority.

f. **Data Reporting.**

All Individuals receiving Services with funds provided under this Contract must be enrolled and that Individual's record maintained in the Measures and Outcome Tracking System (MOTS) as specified in OHA's MOTS Reference Manual located at: <http://www.oregon.gov/oha/hsd/amh-mots/Pages/index.aspx>, and the "Who Reports in MOTS Policy" as follows:

Which Behavioral Health Providers are Required to Report in MOTS?

The data collection system for the Health Systems Division (HSD) is the Measures and Outcomes Tracking System or MOTS. In general, behavioral health providers who are either licensed or have a letter of approval from the HSD (or the former Addictions & Mental Health Division [AMH]), and receive public funds to provide treatment services are required to report to MOTS. In addition to the general rule above, there are four basic ways to classify who is required to submit data to MOTS:

- (1) Providers with HSD contracts that deliver treatment services (this includes Community Mental Health Programs [CMHP], Local Mental Health Authorities [LMHA] and other types of community behavioral health providers); these programs should all have a license or letter of approval from the HSD or AMH;
- (2) Providers that are subcontractors (can be a subcontractor of a CMHP or other entity that holds a contract with HSD or OHA, such as a Mental Health Organization [MHO], or a Coordinated Care Organization [CCO]);
- (3) Providers that HSD does not contract with but are required to submit data to MOTS by State/Federal statute or rule; these include DUII providers and methadone maintenance providers; and
- (4) Providers that contract with other governmental agencies (e.g., Oregon Youth Authority [OYA] or the Department of Corrections [DOC] to deliver mental health and/or substance abuse services).

Note: Primary care physicians that provide a single service on behalf of the CMHP are not required to report the MOTS status or service level data.

If there are any questions, contact MOTS Support at MOTS.Support@odhsoha.oregon.gov.

3. **Alternative Formats of Written Materials, Interpreter Services.**

In connection with the delivery of Service Element Services, Provider shall make available to Client, without charge, upon the Client's reasonable request:

- a. All written materials related to the services provided to the Client in alternate formats, including accessible electronic formats, brailled documents, and large print upon request. If Provider does not have access to such alternate formats, then Provider can request written materials in the Client's preferred format from OHA.
- b. All written materials related to the services provided to the Client in the Client's language. If Provider does not have access to such languages, then Provider can request written materials in the Client's language from OHA.
- c. Oral interpretation services related to the services provided to the Client in the Client's language.
- d. Sign language interpretation services and telephone communications access services related to the services provided to the Client. Provider shall work with OHA if it does not have staff that fluently speak the language of an eligible Client, including qualified Sign Language Interpreters for Client's who are deaf or hard of hearing and whose preferred mode of communication is sign language.

For purposes of the foregoing, "written materials" means materials created by Provider, in connection with the Service being provided to the requestor. The Provider may develop its own forms and materials and with such forms and materials the Provider shall be responsible for making them available to a Client, without charge to the Client in the prevalent non-English language(s) within the County service area. OHA shall be responsible for making its forms and materials available, without charge to the Client or Provider, in the prevalent non-English language(s) within the Providers service area.

4. **Reporting Requirements.** Provider shall prepare and furnish the following information to County and the Oregon Health Authority when a service is delivered under this Contract:
 - a. Client, service, and financial information as specified in the applicable Service Description attached hereto and incorporated herein by this reference.
 - b. All additional information and reports that County or the Oregon Health Authority reasonably requests, including, but not limited to, the information or disclosure described in Exhibit H, Required Federal Terms and Conditions, Section 14. "Disclosure."
5. **Compliance with Law.** Provider shall comply with all state and local laws, regulations, executive orders, and ordinances applicable to the Contract or to the delivery of services hereunder. Without limiting the generality of the foregoing, Provider expressly agrees to comply with the following laws, regulations and executive orders to the extent they are applicable to the Contract: (a) all applicable requirements of state civil rights and rehabilitation statutes, rules and regulations; (b) all state laws governing operation of community mental health programs, including without limitation, all administrative rules adopted by the Oregon Health Authority related to community mental health programs or related to client rights, OAR 943-005-0000 through 943-005-0070, prohibiting discrimination against Individuals with disabilities; (c) all state laws requiring reporting of client abuse; and (d) ORS 659A.400 to 659A.409, ORS 659A.145 and all regulations and administrative rules established pursuant to those laws in the construction, remodeling, maintenance and operation of any structures and facilities, and in the conduct of all programs, services and training associated with the delivery of services under this Contract. These laws, regulations and executive orders are incorporated by reference herein to the extent that they are applicable to the Contract and required by law to be so incorporated. All employers, including Provider, that employ subject workers who provide services in the State of Oregon shall comply with ORS 656.017 and provide the required Workers' Compensation coverage, unless such employers are exempt under ORS 656.126. In addition, Provider shall comply, as if it were County

thereunder, with the federal requirements set forth in Exhibit H “Required Federal Terms and Conditions,” to the certain 2024-2025 Intergovernmental Agreement for the Financing of Community Mental Health, Addiction Treatment, Recovery, & Prevention, and Problem Gambling Services between County and the Oregon Health Authority dated as of 1/1/2024, which Exhibit is incorporated herein by this reference. For purposes of this Contract, all references in this Contract to federal and state laws are references to federal and state laws as they may be amended from time to time.

6. Unless Provider is a State of Oregon governmental agency, Provider agrees that it is an independent contractor and not an agent of the State of Oregon, the Oregon Health Authority or County.
7. To the extent permitted by applicable law, Provider shall defend (in the case of the state of Oregon and the Oregon Health Authority, subject to ORS Chapter 180), save and hold harmless the State of Oregon, the Oregon Health Authority, County, and their officers, employees, and agents from and against all claims, suits, actions, losses, damages, liabilities, costs and expenses of any nature whatsoever resulting from, arising out of or relating to the operations of the Provider, including but not limited to the activities of Provider or its officers, employees, subcontractors or agents under this Contract.
8. Provider understands that Provider may be prosecuted under applicable federal and state criminal and civil laws for submitting false claims, concealing material facts, misrepresentation, falsifying data system input, other acts of misrepresentation, or conspiracy to engage therein.
9. Provider shall only conduct transactions that are authorized by the County for transactions with the Oregon Health Authority that involve County funds directly related to this Contract.
10. First tier Provider(s) that are not units of local government as defined in ORS 190.003 shall obtain, at Provider’s expense, and maintain in effect with respect to all occurrences taking place during the term of the contract, insurance requirements as specified in Exhibit J “Provider Insurance Requirements,” of the certain 2024-2025 Intergovernmental Agreement for the Financing of Community Mental Health, Addiction Treatment, Recovery, & Prevention, and Problem Gambling Services between County and the Oregon Health Authority dated as of 1/1/2024, which Exhibit is incorporated herein by this reference.
11. Provider(s) that are not units of local government as defined in ORS 190.003, shall indemnify, defend, save and hold harmless the State of Oregon and its officers, employees and agents (“Indemnitee”) from and against any and all claims, actions, liabilities, damages, losses, or expenses (including attorneys’ fees) arising from a tort (as now or hereafter defined in ORS 30.260) caused, or alleged to be caused, in whole or in part, by the negligent or willful acts or omissions of Provider or any of the officers, agents, employees or subcontractors of the contractor (“Claims”). It is the specific intention of the parties that the Indemnitee shall, in all instances, except for Claims arising solely from the negligent or willful acts or omissions of the Indemnitee, be indemnified by the Provider from and against any and all Claims.
12. Provider shall include sections 1 through 11, in substantially the form set forth above, in all permitted Provider Contracts under this Agreement.

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**EXHIBIT J
PROVIDER INSURANCE REQUIREMENTS**

County shall require its first tier Providers(s) that are not units of local government as defined in ORS 190.003, if any, to: i) obtain insurance specified under TYPES AND AMOUNTS and meeting the requirements under ADDITIONAL INSURED, "TAIL" COVERAGE, NOTICE OF CANCELLATION OR CHANGE, and CERTIFICATES OF INSURANCE before the Providers perform under contracts between County and the Providers (the "Provider Contracts"); and ii) maintain the insurance in full force throughout the duration of the Provider Contracts. The insurance must be provided by insurance companies or entities that are authorized to transact the business of insurance and issue coverage in the State of Oregon and that are acceptable to OHA. County shall not authorize Providers to begin work under the Provider Contracts until the insurance is in full force. Thereafter, County shall monitor continued compliance with the insurance requirements on an annual or more frequent basis. County shall incorporate appropriate provisions in the Provider Contracts permitting it to enforce Provider compliance with the insurance requirements and shall take all reasonable steps to enforce such compliance. Examples of "reasonable steps" include issuing stop work orders (or the equivalent) until the insurance is in full force or terminating the Provider Contracts as permitted by the Provider Contracts, or pursuing legal action to enforce the insurance requirements. In no event shall County permit a Provider to work under a Provider Contract when the County is aware that the Provider is not in compliance with the insurance requirements. As used in this section, a "first tier" Provider is a Provider with whom the County directly enters into a Provider Contract. It does not include a subcontractor with whom the Provider enters into a contract.

TYPES AND AMOUNTS.

1. **Workers Compensation:** Must be in compliance with ORS 656.017, which requires all employers that employ subject workers, as defined in ORS 656.027, to provide workers' compensation coverage for those workers, unless they meet the requirement for an exemption under ORS 656.126(2).

2. **Professional Liability:** **Required by OHA** **Not required by OHA.**

Professional Liability Insurance covering any damages caused by an error, omission or any negligent acts related to the services to be provided under the Provider Contract, with limits not less than the following, as determined by OHA, or such lesser amount as OHA approves in writing:

Per occurrence for all claimants for claims arising out of a single accident or occurrence:

Provider Contract containing the following Services:	Required Insurance Amount:
A&D 60, A&D 62, A&D 63, A&D 64, A&D 66, A&D 80, A&D 81, A&D 83, A&D 84, MHS 01, MHS 04, MHS 05, MHS 09, MHS 10, MHS 12, MHS 13, MHS 15, MHS 16, MHS 16A, MHS 20, MHS 24, MHS 25, MHS 25A, MHS 26, MHS 26A, MHS 30, MHS 34, MHS 35, MHS 35A, MHS 36, MHS 37, MHS 38, MHS 39	\$1,000,000
A&D 61, A&D 67, MHS 27, MHS 28, MHS 31	\$2,000,000

3. **Commercial General Liability:** **Required by OHA** **Not required by OHA.**

Commercial General Liability Insurance covering bodily injury, death, and property damage in a form and with coverages that are satisfactory to OHA. This insurance shall include personal injury liability, products and completed operations. Coverage shall be written on an occurrence form basis, with not less than the following amounts as determined by OHA, or such lesser amount as OHA approves in writing:

Bodily Injury, Death and Property Damage:

Per occurrence for all claimants for claims arising out of a single accident or occurrence:

Provider Contract containing the following services:	Required Insurance Amount:
A&D 60, A&D 61, A&D 62, A&D 63, A&D 64, A&D 66, A&D 80, A&D 81, A&D 83, A&D 84, MHS 01, MHS 04, MHS 05, MHS 09, MHS 10, MHS 12, MHS 13, MHS 15, MHS 16, MHS 16A, MHS 20, MHS 24, MHS 25, MHS 25A, MHS 26, MHS 26A, MHS 27, MHS 28, MHS 30, MHS 31, MHS 34, MHS 35, MHS 35A, MHS 36, MHS 37, MHS 38, MHS 39	\$1,000,000

4. **Automobile Liability:** **Required by OHA** **Not required by OHA.**

Automobile Liability Insurance covering all owned, non-owned and hired vehicles. This coverage may be written in combination with the Commercial General Liability Insurance (with separate limits for “Commercial General Liability” and “Automobile Liability”). Automobile Liability Insurance must be in not less than the following amounts as determined by OHA, or such lesser amount as OHA approves in writing:

Bodily Injury, Death and Property Damage:

Per occurrence for all claimants for claims arising out of a single accident or occurrence:

Provider Contract not-to-exceed under this Agreement:	Required Insurance Amount:
A&D 61, A&D 62, A&D 63, A&D 66, A&D 81, A&D 83, A&D 84, MHS 04, MHS 09, MHS 12, MHS 13, MHS 15, MHS 16, MHS 16A, MHS 20, MHS 24, MHS 25, MHS 25A, MHS 26, MHS 26A, MHS 30, MHS 34, MHS 36, MHS 37, MHS 39,	\$1,000,000
MHS 27, MHS 28	\$2,000,000

5. **Additional Insured.** The Commercial General Liability insurance and Automobile Liability insurance must include the State of Oregon, its officers, employees, and agents as Additional Insureds but only with respect to the Provider's activities to be performed under the Provider Contract. Coverage must be primary and non-contributory with any other insurance and self-insurance.
6. **Notice of Cancellation or Change.** The Provider or its insurer must provide written notice to County at least 30 calendar days before cancellation of, material change to, potential exhaustion of aggregate limits of, or non-renewal of the required insurance coverage(s).
7. **“Tail” Coverage.** If any of the required insurance policies is on a “claims made” basis, such as professional liability insurance, the Provider shall maintain either “tail” coverage or continuous “claims made” liability coverage, provided the effective date of the continuous “claims made” coverage is on or before the effective date of the Provider Contract, for a minimum of 24 months following the later of : (i) the Provider’s completion and County ’s acceptance of all Services required under the Provider Contract; or (ii) the expiration of all warranty periods provided under the Provider Contract. Notwithstanding the foregoing 24-month requirement, if the Provider elects to maintain “tail” coverage and if the maximum time period “tail” coverage reasonably available in the marketplace is less than the 24-month period described above, then the Provider may request and OHA may grant approval of the maximum “tail” coverage period reasonably available in the marketplace. If OHA approval is granted, the Provider shall maintain “tail” coverage for the maximum time period that “tail” coverage is reasonably available in the marketplace.
8. **Certificate(s) of Insurance.** County shall obtain from the Provider a certificate(s) of insurance for all required insurance before the Provider performs under the Provider Contract. The certificate(s) or an attached endorsement must specify: i) all entities and individuals who are endorsed on the policy as Additional Insured; and ii) for insurance on a “claims made” basis, the extended reporting period applicable to “tail” or continuous “claims made” coverage.

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**EXHIBIT K
START-UP PROCEDURES**

**Addiction Treatment, Recovery, & Prevention, and Problem Gambling (Service Element A&D 60)
Community Mental Health (Service Element MHS 37)**

INTRODUCTION

Start-Up funds are awarded for expenses necessary to begin, expand, or improve services. These expenses are distinct from routine operating expenses incurred in the course of providing ongoing services.

Start-Up funds are typically disbursed prior to initiation of services. Funds are used to cover costs such as employee salaries and training, furnishings and supplies, renovation of facilities under \$10,000, and purchase of vehicles and other capital items that will be needed to provide the services planned and delivered at the specified sites.

Requirements for Start-Up Payment

Payment of Start-Up funds is subject to the following requirements and any Special Conditions which are specified in Exhibit C.

1. Basis and Method of Payment

- a. Funds are paid for actual allowable expenses up to the limit specified for Start-Up. Allowable expenses for each service element are limited to those listed under Allowable Start-Up Expenditures in this Exhibit. OHA must approve payment for all Start-Up funds.
- b. After execution of this Agreement or any amendment(s) awarding Program Start-Up funds, County may request an advance of funds it anticipates using in the subsequent 120 calendar days.
- c. A request for payment of Start-Up funds may only be made using forms and procedures prescribed by OHA. Special instructions are applicable as follows:
 - (1) When OHA Start-Up funds in the amount of \$1,000 and above are to be used for purchase of a vehicle, as security for the County's performance of its obligations under this Agreement, the County grants to OHA a security interest in, all of the County's right, title, and interest in and to the goods, i.e., the vehicle. The County agrees that from time to time, at its expense, the County will promptly execute and deliver all further instruments and documents, and take all further action, that may be necessary or desirable, or that OHA may reasonably request, in order to perfect and protect the security interest granted under this Agreement or to enable OHA to exercise and enforce its rights and remedies under this Agreement with respect to the vehicle. County must forward a copy of the title registration application showing Health Systems Division as the Security Interest Holder to OHA within 5 calendar days of the acquisition from the seller. File Security Interest Holder information as follows:

Oregon Health Authority
Health Systems Division
500 Summer Street NE, E86
Salem, OR 97301

- (2) When County requests payment of Start-Up funds, the request must be made on forms prescribed by OHA.

2. Special Written Approval Authorizations

When using Start-Up funds the following circumstances require special written authorization from OHA prior to acquisition. These circumstances should be communicated to OHA within 14 calendar days of the anticipated acquisition date.

a. WHEN LEASING:

- (1) Acquisition of real property, vehicles, or capital items pursuant to a Lease;
- (2) Acquisition of real property, vehicles, or capital items where another party, in addition to OHA, will also become a secured party (lienholder) at the time of acquisition; and
- (3) Renovations or alterations of real property where County is not the owner of the property and OHA has no security interest in the property.

b. OTHER:

A change in the intended use of Start-Up funds or a change in the amount or date of anticipated acquisition indicated on County's request for payment of Start-Up funds, for those acquisitions requiring OHA's interest to be secured.

3. Release of Payments

Following review and approval of County's request for payment of Start-Up funds and any ancillary documentation, OHA will issue an advance of funds to County as applicable. These funds will generally be issued as a separate check on a weekly basis; however, requests processed in time for the monthly allotment process will be included in the allotment. The request for funds should be communicated to OHA within 14 calendar days of the anticipated acquisition date. Approval of special requests will be made on a limited basis only.

County will keep a copy of all Requests for Payment of Start-Up funds and report actual expenditures to OHA on the same form using procedures prescribed by OHA.

4. Start-Up Expenditure Documentation Maintained by County

County shall maintain an Expenditure Report for Start-Up payments. County also is responsible for requiring its Providers to comply with expenditure reporting requirements and furnishing evidence of filing OHA's security interest on applicable items. OHA may inspect these reports. The reports must include the following by service element:

- a. The amount advanced;
- b. The amount expended on each allowable category, and the amount expended on each item listed as required in Special Written Approval Authorizations above and pre-approved by OHA; and
- c. Copies of all Provider Contracts awarding Start-Up funds. Such Provider Contracts must require Providers to have executed dedicated use agreements and the other security documentation described in this Exhibit.

County must maintain supporting documentation for all expenditures (i.e., receipts).

5. Expenditure Reports to OHA

County must submit Start-Up expenditure reports separately for each OHA Start-Up request. Expenditure reports are due within 45 calendar days following the termination or expiration of the Agreement. County shall report actual expenditure of Start-Up funds, using forms and procedures prescribed by OHA, and forward expenditure reports to OHA.

6. Recovery of Start-Up Funds

In the event County fails to submit an expenditure report when due for itself or its Provider(s), fails to submit security interests, vehicle titles, or other instrument as required by OHA to secure the State's interest, or reports unauthorized expenditures, or reports under expenditures without accompanying repayment, OHA may act, at its option, to recover Start-Up funds as follows:

- a. Bill County for subject funds;
- b. Following 30 calendar days nonresponse to the billing, initiate an allotment reduction schedule against any current payments or advances being made to County; or
- c. Take other action needed to obtain payment.

7. Dedicated Use Requirement

Vehicles costing \$1,000 or more must be used to provide the service for which OHA approved the Start-Up funds. Dedicated use must continue for the useful life of the vehicle or five years whichever is less.

8. Removal of Liens

The following steps describe the process for removal of liens:

To release a vehicle title on which OHA is listed security interest holder, County or any of its' Providers, must make a request in writing to OHA. The request must specify why the vehicle is being disposed of and the intended use of any funds realized from the transaction.

If approved, the original title is signed off by OHA and forwarded to County.

ALLOWABLE START-UP EXPENDITURES

Community Mental Health, Addiction Treatment, Recovery, & Prevention, and Problem Gambling

1. **Policies:** Start-Up funds:

- a. Must be expended consistent with County's request for payment of Start-Up funds, and/or any required itemized budget, as approved by OHA.
- b. Must be expended only for items and services listed below.
- c. Must not be used for personnel costs, facility costs (as defined below) or equipment lease costs (including vehicle leases) in any month in which the provider receives OHA-funded service payments, or room and board payments for clients.
- d. Are subject to dedicated use requirements and other procedures for securing the State's interest, as described within this Exhibit.

Exceptions to the policies stated above and/or the itemized list below must be approved in writing by HSD.

2. **Allowable Costs**

- a. **Personnel Costs:** Costs for personnel hired to work at program/facility incurred prior to the date clients are enrolled.
 - (1) Salaries and wages up to 2 months for Program Administrator and up to 2 weeks for program staff, or as otherwise approved by OHA;
 - (2) OPE costs; and
 - (3) Professional contract services (e.g., Psychiatrist, Specialized Treatment Providers, etc.).
- b. **Facility Costs:** Up to 2 months prior to opening, or as otherwise approved by OHA.
 - (1) Lease/mortgage payments and deposits;
 - (2) Property taxes and maintenance fees not included in lease or mortgage payments;
 - (3) Utility costs, including hook-up fees;
 - (4) Equipment rental costs; and
 - (5) Initial insurance premiums (general liability and professional liability insurance).
- c. **Program Staff Training:** Up to 2 weeks for program staff, or as otherwise approved by OHA:
 - (1) Training materials;
 - (2) Training fees;
 - (3) Trainer fees; and
 - (4) Travel costs (excluding out of state).
- d. **Services and Supplies:**
 - (1) Program and office supplies; and
 - (2) Initial supplies of food, maintenance, and housekeeping items.

e. **Capital Outlay:**

- (1) Furnishings and equipment appropriate for the type of service being provided, e.g., household furnishings and appliances for residential programs;
- (2) Technical or adaptive equipment needed by clients but not available through the Adult and Family Services (client medical card), Vocational Rehabilitation, or other appropriate service agency;
- (3) Office furnishings and equipment proportionate to size of residential program/staff being implemented;
- (4) Vehicle purchases or down payments; lease payments and deposits; as well as costs for purchase and/or installation of necessary adaptive equipment such as lifts or ramps; and
- (5) Renovation of real property costing less than \$10,000.

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**EXHIBIT L
CATALOG OF FEDERAL DOMESTIC ASSISTANCE (CFDA) NUMBER LISTING**

Crook County				
Service Description #	Service Description Name	Vendor or Sub-recipient	All Funding Sources	CFDA #
MHS 01	System Management and Coordination		N/A	
A&D 60	Start-Up - Addictions Services		N/A	
A&D 61	Adult Substance Use Disorder Residential Treatment Services		N/A	
A&D 62	Supported Capacity For Dependent Children Whose Parents Are In Adult Substance Use Disorder Residential Treatment		N/A	
A&D 63	Peer Delivered Services		N/A	
A&D 64	Housing Assistance		N/A	
A&D 66	Community Behavioral And Substance Use Disorder Services	Subrecipient	SAPT	93.959
A&D 67	Substance Use Disorder Residential & Day Treatment Capacity		N/A	
A&D 80	Problem Gambling Prevention Services		N/A	
A&D 81	Problem Gambling Treatment Services		N/A	
A&D 82	Problem Gambling Residential Services		N/A	
A&D 83	Problem Gambling Respite Treatment Services		N/A	
A&D 84	Problem Gambling Client Finding Referral Pathways Outreach Services		N/A	Page 467

MHS 04	Aid and Assist Client Services		N/A	
MHS 05	Assertive Community Treatment Services (ACT)		N/A	
MHS 09	Jail Diversion Services		N/A	
MHS 10	Mental Health Promotion and Prevention Services		N/A	
MHS 12	Rental Assistance Program Services		N/A	
MHS 13	School-Based Mental Health Services		N/A	
MHS 15	Young Adult Hub Programs (YAHP)		N/A	
MHS 17	Non-OHP Community and Residential Assistance		N/A	
MHS 20	Non-Residential Community Mental Health Services For Child , Youth and Adults	Subrecipient	MHBG	93.958
MHS 24	Acute and Intermediate Psychiatric Inpatient Services		N/A	
MHS 25	Community MH Crisis Services for Adults and Children		N/A	
MHS 25A	Mobile Response and Stabilization Services (MRSS) for Children, Young Adults and their Families		N/A	
MHS 26	Non-Residential Mental Health Services for Youth & Young Adults In Transition		N/A	
MHS 26A	Non-Residential Mental Health Services For Youth & Young Adults in Transition - Early Assessment and Support Alliance (EASA)		N/A	
MHS 28	Residential Treatment Services		N/A	
MHS 28A	Secure Residential Treatment Facility		N/A	
MHS 30	Monitoring, Security and Supervision Services for Individuals under the Jurisdiction of the Adult and Juvenile Panels of the Psychiatric Security Review Board		N/A	
MHS 35	Older or Disabled Adult Mental Health Services		N/A	
MHS 35A	Older or Disabled Adult Mental Health Services - GERO-Specialist		N/A	Page 468

MHS 35B	Older or Disabled Adult Mental Health Services - APD Residential		N/A	
MHS 37	Start-Up - Community Mental Health		N/A	
MHS 38	Supported Employment Services		N/A	
MHS 39	Projects For Assistance In Transition From Homelessness Services (PATH)		N/A	