

## **PURCHASE OF SERVICE AGREEMENT**

THIS PURCHASE OF SERVICE AGREEMENT (hereinafter "Agreement"), made and entered into on the <sup>2nd</sup> 9<sup>th</sup> day of July, 2019, by and between the **LEXINGTON-FAYETTE URBAN COUNTY GOVERNMENT**, an urban county government of the Commonwealth of Kentucky created pursuant to KRS chapter 67A (hereinafter "Government"), 200 East Main Street, Lexington, Kentucky 40507, on behalf of its Department of Social Services (hereinafter "Sponsor"), and, **SHEPHERD'S HOUSE, INC.** with offices located at **635 Maxwellton Court, Lexington, Kentucky 40508**, (hereinafter "Organization").

### **RECITALS**

WHEREAS, the Government and the Sponsor desire to provide to strengthen and enhance Community Wellness and Safety, by supporting programs and services addressing Mental Health, Substance Misuse Disorder, and Violence Prevention.

WHEREAS, the Government and the Sponsor solicited Requests for Proposals from public organizations and private non-profit organizations to provide this service through RFP No. 11-2019 – Extended Social Resources (ESR) Grant Program; Priority Area: Community Wellness & Safety;

WHEREAS, the Organization submitted a proposal which was deemed by the Government and Sponsor to be one of the best and most responsive proposals to implement and/or provide these services.

### **WITNESSETH**

NOW, THEREFORE, in consideration of the mutual promises and covenants herein expressed, the Government and the Organization agree as follows:

1. This Agreement shall include the following additional documents, which are attached hereto as exhibits and incorporated herein by reference as if fully stated:

a. Exhibit A – RFP No. 11 – 2019, consisting of 19 pages

- b. Exhibit B – Organization's Formal Response to RFP No. 11 – 2019,  
consisting of 8 pages

In the event of a conflict between and among the provisions of these documents the provisions of this Agreement shall prevail, followed by Exhibit A, and then Exhibit B.

2. Government hereby retains Organization for the period beginning on **July 1, 2019**, and continuing for a period of one (1) year from that date. The Government may terminate this Agreement at any time and for any reason by providing the Organization with at least thirty (30) days written notice of termination. In such case this Agreement shall terminate thirty (30) days from the date notice is given to the Organization.

3. Government shall pay Organization the sum of **NINETY THOUSAND and 00/100 Dollars (\$90,000)** for the services required by this Agreement, said services being more particularly described in Exhibit B attached hereto and incorporated herein by reference as Exhibit A, one-half (1/2<sup>th</sup>) of which shall be payable in August 2019 or shortly thereafter upon receipt of an invoice, with , one-half (1/2<sup>th</sup>) payable in January 2020 or shortly thereafter upon receipt of an invoice, and detailed mid-year and year-end program reports. **First biannual invoice shall be submitted by August 5<sup>th</sup>, 2019, and second biannual invoice and first six-month detailed program report shall be due January 13<sup>th</sup>, 2020. A year-end program report shall be submitted by July 17<sup>th</sup>, 2020.** Reports shall reflect the services and programs directly related to the funding provided by Lexington Fayette Urban County Government with emphasis on measurable outcomes, and specifically outlined in the funding application. Forms for both the quarterly financial and program reports will be provided.

4. In the event of termination of this Agreement by Government as provided for in paragraph 1 above, Organization shall be entitled to that portion of total compensation due under this Agreement as the service rendered bears to the service required herein.

5. Organization shall perform all duties and services included in the Exhibit B – Addendum, attached hereto faithfully and satisfactorily at the time, place and for the duration prescribed herein. Compensation paid pursuant to this Agreement shall be used exclusively for the services set forth in the Addendum and for no other purpose. Any alteration in the nature of such services and duties constitutes an amendment to this Agreement and must be in writing signed by both parties. Organization shall keep itself fully informed of all federal and state laws and all municipal ordinances and regulations in any manner affecting the work or performance of this Agreement, and shall at all times observe and comply with such laws, ordinances and regulations, whether or not such laws, ordinances or regulations are mentioned herein, and

6. Organization shall indemnify, defend and hold harmless Government, its officers, agents and employees, from and against any and all liabilities, claims, demands, losses, damages, costs, and/or expenses arising out of, from, relating to, and/or based on the Organization's violation of any such laws, ordinances or regulations or Organization's breach of this Agreement.

7. Organization represents that it has filed all federal, state and local income tax returns required by law in the legally prescribed time and manner. This Agreement shall not become effective unless and until copies of all of the executed originals of the aforementioned tax returns filed for the Organization have been registered for the current tax year by the Organization in the office of the Sponsor, and the Organization shall not be compensated unless and until such registration has taken place.

8. The Organization shall, on such forms as the Sponsor shall provide, submit to Sponsor an annual report and financial statement which summarize the previous year's activities regarding the services enumerated in the addendum attached hereto.

9. Books of accounts shall be kept by the Organization and entries shall be made therein of all money, goods, effects, debts, sales, purchases, receipts, payments and any other transactions of the Organization. The books of accounts, together with all bonds, notes, bills, letters and other writings belonging to the Organization, shall be maintained at the principal place of business of the Organization as set forth in this Agreement. Government shall have free and complete access to the books, papers and affairs of the Organization, that relate to the performance of this Agreement, at all reasonable times, and if it desires, it may have the books and papers of the Organization, that relate to the performance of this Agreement, audited and examined by auditors, accountants or attorneys. Any examination shall be at the expense of the Government.

10. Government may designate such persons as may be necessary to monitor and evaluate the services rendered by the Organization. The Government, its agents and employees, shall, at all times, have unrestricted access to all places where or in which the services required hereunder are being carried on and conducted. Inspection and monitoring of the work by these authorities shall in no manner be presumed to relieve in any degree the responsibility or obligations of Organization, nor to constitute the Organization as an agent of the Government.

11. Organization shall provide equal opportunity in employment for all qualified persons, shall prohibit discrimination in employment because of race, color, creed, national origin, sex or age, and shall cause each of its subcontracting agencies to do so. This program of equal employment opportunity shall apply to every aspect of its employment policies and practices.

12. Organization shall adopt a written sexual harassment policy, which shall, at a minimum, contain a statement of current law; a list of prohibited behaviors; a complaint process; and a procedure which provides for a confidential investigation of all complaints.

The policy shall be given to all employees and clients and shall be posted at all locations where Organization conducts business. The policy shall be submitted to Sponsor for review within thirty (30) days of the execution of this Agreement.

13. Organization agrees that it shall apply all funds received by it from the Urban County Government in accordance with the following investment policy guidelines:

A. Objectives: Capital preservation with surety of income. Reasonable competitive income consistent with high investment quality and purpose of funds. All investments shall conform with state and local law and regulations and these policies.

B. Investment Funds Management: The governing board may elect to either:

(1) Manage its investment through its executive director where the size or complexity of funds to be managed is deemed by the board to be within the training, expertise and/or available time capacity of the executive director and the operating staff; or

(2) Utilize the professional investment management facilities of a local bank trust department acting in a fiduciary capacity within the same approved investment policies and federal, state, local and trust laws and regulation. The trust department may utilize its regular short-term one hundred percent (100%) US Treasury Fund for daily funds investment.

The election of option 1 or 2 should be made consistent with the relative cost incurred and in the case of option 2 the cost shall be competitive among local trust departments.

C. Investment Policies - - Safety and Prudence.

(1) Short-term liquidity funds shall be invested in "riskless" investment, i.e., deposits in Kentucky commercial banks or savings and loan associations that are fully federally insured or deposits collateralized by U.S. Treasury securities with a current market value of at least one hundred percent (100%), or in direct obligations of U.S. Treasury securities.

Investments shall be diversified according to maturity in order to meet projected cash flow needs.

Collateral pledged to secure uninsured deposits shall be held at a federal reserve bank with the receipt providing absolute control by the agency.

(2) Retirement funds, endowment funds, long-term capital reserve funds and any other special funds may be held and invested by a local bank trust department under investment objectives and diversification in accordance with the individual nature of the funds and pursuant to the "prudent man" investment rule as well as general trust law.

(3) All investments shall be reviewed monthly by a finance or investment committee of the agency.

(4) Local brokerage firms may hold and invest funds provided that investments are located within Kentucky and are full insured.

D. Audit - - All investments shall be audited at least annually by independent certified public accountant who shall express an opinion as to whether or not investments during the year audited have conformed with state and local law and regulation and with the approved investment policies.

14. This Agreement, and Exhibits incorporated herein, contains the entire agreement between the parties, and no statement, promises or inducements made by either party or agent of either party that is not contained in this written Agreement shall be valid and binding; and this Agreement may not be enlarged, modified or altered except in writing signed by the parties and endorsed hereon.

15. Organization shall not assign any interest, obligation, or benefit of this Agreement or transfer any interest in the same, whether by assignment or novation, without prior written consent of LFUCG.

16. Organization expressly agrees to abide by the General Conditions and Risk Management Provisions included in Exhibit A which is attached hereto and incorporated herein by reference.

17. This Agreement shall be governed by and construed in accordance with the laws of the Commonwealth of Kentucky. Organization acknowledges and agrees that any claims,

legal proceedings or litigation arising in connection with this Agreement or the Services provided hereunder shall be brought solely in Fayette County, Kentucky.

18. If any particular provision of this Agreement is determined to be invalid or unenforceable, that determination will not affect any other provision hereto, which will be construed in all respects as if the invalid or unenforceable provision were omitted.

19. Notice – Any written notice required by the Agreement shall be delivered by certified mail, return receipt requested, to the following:

For Organization:

Shepherd's House, Inc.  
435 Maxwellton Ct.  
Lexington, Ky 40508

Attn: Jerod Thomas

For Government:

Lexington-Fayette Urban County Gov.  
200 East Main Street  
Lexington, Kentucky 40507

Attn: Chris Ford, Commissioner  
Department of Social Services

IN WITNESS WHEREOF, the parties have executed this Agreement at Lexington,  
Kentucky, the day and year first above written.

LEXINGTON-FAYETTE URBAN  
COUNTY GOVERNMENT

SHEPHERD'S HOUSE, INC.

BY:

Linda Gorton  
Linda Gorton, Mayor

BY:

Title:

Jerod Thomas  
PRESIDENT / CEO

ATTEST:

[Signature]  
Clerk of the Urban  
County Council





# Lexington-Fayette Urban County Government

## Request for Proposal

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The Lexington-Fayette Urban County Government hereby requests proposals for **RFP #11-2019 Community Wellness & Safety – Extended Social Resources (ESR) Grant Program** to be provided in accordance with terms, conditions and specifications established herein.

Proposals will be received **online only** at <https://lexingtonky.ionwave.net> until **2:00 PM**, prevailing local time, on **April 19, 2019**.

Proposals received after the date and time set for opening proposals will not be considered for award of a contract/grant. It is the sole responsibility of the Proposer to assure that his/her proposal is submitted online before the date and time set for opening proposals.

Additional copies of this Request For Proposals are available from the Division of Central Purchasing, Room 338 Government Center, 200 East Main Street, Lexington, KY 40507, (859)-258-3320, at no charge.

Proposals, once submitted, may not be withdrawn for a period of sixty (60) calendar days.

The Lexington-Fayette Urban County Government reserves the right to reject any or all proposals, and to waive technicalities and informalities when such waiver is determined by the Lexington-Fayette Urban County Government to be in its best interest.

Electronic signature online at <https://lexingtonky.ionwave.net> constitutes acceptance by the Proposer of terms, conditions and requirements set forth herein.

Pre-Proposal Meeting will be held on **Monday, April 8<sup>th</sup>, 2019 at 8:30AM** at the Phoenix Building 3rd Floor Conference Room, 100 East Vine Street, Lexington, KY 40507.

Minor exceptions may not eliminate the proposal. Any exceptions to the specifications established herein shall be listed in detail on a separate sheet and attached hereto. The Lexington-Fayette Urban County Government shall determine whether any exception is minor.

***Please do not contact any LFUCG staff member or any other person involved in the selection process other than the designated contact person(s) regarding the project contemplated under this RFP while this RFP is open and a selection has not been finalized. Any attempt to do so may result in disqualification of the firm's submittal for consideration.***

### **Laws and Regulations**

All applicable state laws, municipal ordinances and regulations of all authorities having jurisdiction over the project shall apply to the contract, and shall be deemed to be incorporated herein by reference.

### **Equal Employment Opportunity**

The Entity (regardless of whether construction contractor, non-construction contractor or supplier) agrees to provide equal opportunity in employment for all qualified persons, to prohibit discrimination in employment because of race, color, creed, national origin, sex or age, and to promote equal employment through a positive, continuing program from itself and each of its subcontracting agents. This program of equal employment opportunity shall apply to every aspect of its employment policies and practices.

### **Kentucky Equal Employment Opportunity Act**

The Kentucky Equal Employment Opportunity Act of 1978 (KRS 45.560-45.640) requires that any "county, city, town, school district, water district, hospital district, or other political subdivision of the state shall include in directly or indirectly publicly funded contracts for supplies, materials, services, or equipment hereinafter entered into the following provisions:

"During the performance of this contract, the contractor agrees as follows:

- (1) The contractor will not discriminate against any employee or applicant for employment because of race, color, religion, sex, age, or national origin;
- (2) The contractor will state in all solicitations or advertisements for employees placed by or on behalf of the contractors that all qualified applicants will receive consideration for employment without regard to race, color, religion, sex, age, or national origin;

(3) The contractor will post notices in conspicuous places, available to employees and applicants for employment, setting forth the provision of the nondiscrimination clauses required by this section; and

(4) The contractor will send a notice to each labor union or representative of workers with which he has a collective bargaining agreement or other contract or understanding advising the labor union or workers' representative of the contractor's commitments under the nondiscrimination clauses."

The Act further provides:

"KRS 45.610. Hiring minorities -- Information required

(1) For the length of the contract, each contractor shall hire minorities from other sources within the drawing area, should the union with which he has collective bargaining agreements be unwilling to supply sufficient minorities to satisfy the agreed upon goals and timetables.

(2) Each contractor shall, for the length of the contract, furnish such information as required by KRS 45.560 to KRS 45.640 and by such rules, regulations and orders issued pursuant thereto and will permit access to all books and records pertaining to his employment practices and work sites by the contracting agency and the department for purposes of investigation to ascertain compliance with KRS 45.560 to 45.640 and such rules, regulations and orders issued pursuant thereto.

KRS 45.620. Action against contractor -- Hiring of minority contractor or subcontractor

(1) If any contractor is found by the department to have engaged in an unlawful practice under this chapter during the course of performing under a contract or subcontract covered under KRS 45.560 to 45.640, the department shall so certify to the contracting agency and such certification shall be binding upon the contracting agency unless it is reversed in the course of judicial review.

(2) If the contractor is found to have committed an unlawful practice under KRS 45.560 to 45.640, the contracting agency may cancel or terminate the contract, conditioned upon a program for future compliance approved by the contracting agency and the department. The contracting agency may declare such a contractor ineligible to bid on further contracts with that agency until such time as the

contractor complies in full with the requirements of KRS 45.560 to 45.640.

(3) The equal employment provisions of KRS 45.560 to 45.640 may be met in part by a contractor by subcontracting to a minority contractor or subcontractor. For the provisions of KRS 45.560 to 45.640, a minority contractor or subcontractor shall mean a business that is owned and controlled by one or more persons disadvantaged by racial or ethnic circumstances.

KRS 45.630 Termination of existing employee not required, when

Any provision of KRS 45.560 to 45.640 notwithstanding, no contractor shall be required to terminate an existing employee upon proof that employee was employed prior to the date of the contract.

KRS 45.640 Minimum skills

Nothing in KRS 45.560 to 45.640 shall require a contractor to hire anyone who fails to demonstrate the minimum skills required to perform a particular job."

It is recommended that all of the provisions above quoted be included as special conditions in each contract. In the case of a contract exceeding \$250,000, the contractor is required to furnish evidence that his workforce in Kentucky is representative of the available workforce in the area from which he draws employees, or to supply an Affirmative Action plan which will achieve such representation during the life of the contract.

### **LFUCG Non-Appropriation Clause**

Contractor acknowledges that the LFUCG is a governmental entity, and the contract validity is based upon the availability of public funding under the authority of its statutory mandate.

In the event that public funds are unavailable and not appropriated for the performance of the LFUCG's obligations under this contract, then this contract shall automatically expire without penalty to the LFUCG thirty (30) days after written notice to Contractor of the unavailability and non-appropriation of public funds. It is expressly agreed that the LFUCG shall not activate this non-appropriation provision for its convenience or to circumvent the requirements of this contract, but only as an emergency fiscal measure during a substantial fiscal crisis, which affects generally its governmental operations.

In the event of a change in the LFUCG's statutory authority, mandate and mandated functions, by state and federal legislative or regulatory action, which adversely affects the LFUCG's authority to continue its obligations under this contract, then this contract shall automatically terminate without penalty to the LFUCG upon written notice to Contractor of such limitation or change in the LFUCG's legal authority.

### AFFIDAVIT

Comes the Affiant, \_\_\_\_\_, and after being first duly sworn, states under penalty of perjury as follows:

1. His/her name is Jerod Thomas and he/she is the individual submitting the proposal or is the authorized representative of Shepherds House, Inc., the entity submitting the proposal (hereinafter referred to as "Proposer").

2. Proposer will pay all taxes and fees, which are owed to the Lexington-Fayette Urban County Government at the time the proposal is submitted, prior to award of the contract and will maintain a "current" status in regard to those taxes and fees during the life of the contract.

3. Proposer will obtain a Lexington-Fayette Urban County Government business license, if applicable, prior to award of the contract.

4. Proposer has authorized the Division of Central Purchasing to verify the above-mentioned information with the Division of Revenue and to disclose to the Urban County Council that taxes and/or fees are delinquent or that a business license has not been obtained.

5. Proposer has not knowingly violated any provision of the campaign finance laws of the Commonwealth of Kentucky within the past five (5) years and the award of a contract to the Proposer will not violate any provision of the campaign finance laws of the Commonwealth.

6. Proposer has not knowingly violated any provision of Chapter 25 of the Lexington-Fayette Urban County Government Code of Ordinances, known as "Ethics Act."

**Continued on next page**

7. Proposer acknowledges that "knowingly" for purposes of this Affidavit means, with respect to conduct or to circumstances described by a statute or ordinance defining an offense, that a person is aware or should have been aware that his conduct is of that nature or that the circumstance exists.

Further, Affiant sayeth naught.

Jared Thomas, PRESIDENT / CEO

STATE OF Kentucky

COUNTY OF Fayette

The foregoing instrument was subscribed, sworn to and acknowledged before me by Jared Thomas on this the 13 day of June, 2019.

My Commission expires: Oct. 7, 2019

[Signature], Notary Public - State At Large  
NOTARY PUBLIC, STATE AT LARGE

## EQUAL OPPORTUNITY AGREEMENT

### The Law

- Title VII of the Civil Rights Act of 1964 (amended 1972) states that it is unlawful for an employer to discriminate in employment because of race, color, religion, sex, age (40-70 years) or national origin.
- Executive Order No. 11246 on Nondiscrimination under Federal contract prohibits employment discrimination by contractor and sub-contractor doing business with the Federal Government or recipients of Federal funds. This order was later amended by Executive Order No. 11375 to prohibit discrimination on the basis of sex.
- Section 503 of the Rehabilitation Act of 1973 states:

*The Contractor will not discriminate against any employee or applicant for employment because of physical or mental disability.*

- Section 2012 of the Vietnam Era Veterans Readjustment Act of 1973 requires Affirmative Action on behalf of disabled veterans and veterans of the Vietnam Era by contractors having Federal contracts.
- Section 206(A) of Executive Order 12086, Consolidation of Contract Compliance Functions for Equal Employment Opportunity, states:

*The Secretary of Labor may investigate the employment practices of any Government contractor or sub-contractor to determine whether or not the contractual provisions specified in Section 202 of this order have been violated.*

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The Lexington-Fayette Urban County Government practices Equal Opportunity in recruiting, hiring and promoting. It is the Government's intent to affirmatively provide employment opportunities for those individuals who have previously not been allowed to enter into the mainstream of society. Because of its importance to the local Government, this policy carries the full endorsement of the Mayor, Commissioners, Directors and all supervisory personnel. In following this commitment to Equal Employment Opportunity and because the Government is the benefactor of the Federal funds, it is both against the Urban County Government policy and illegal for the Government to let contracts to companies which knowingly or unknowingly practice discrimination in their employment practices. Violation of the above mentioned ordinances may cause a contract to be canceled and the contractors may be declared ineligible for future consideration.

Please sign this statement in the appropriate space acknowledging that you have read and understand the provisions contained herein. Return this document as part of your application packet.

### Bidders

*I/We agree to comply with the Civil Rights Laws listed above that govern employment rights of minorities, women, Vietnam veterans, handicapped and aged persons.*

Isaac Thomas  
Signature

SHEPHERD'S HOUSE  
Name of Business



# WORKFORCE ANALYSIS FORM

Name of Organization: Shepherds House, Inc.

| Categories          | Total | White<br>(Not Hispanic or Latino) |   | Hispanic or Latino |   | Black or African-American<br>(Not Hispanic or Latino) |   | Native Hawaiian and Other Pacific Islander<br>(Not Hispanic or Latino) |   | Asian<br>(Not Hispanic or Latino) |   | American Indian or Alaskan Native<br>(not Hispanic or Latino) |   | Two or more races<br>(Not Hispanic or Latino) |   | Total |   |
|---------------------|-------|-----------------------------------|---|--------------------|---|-------------------------------------------------------|---|------------------------------------------------------------------------|---|-----------------------------------|---|---------------------------------------------------------------|---|-----------------------------------------------|---|-------|---|
|                     |       | M                                 | F | M                  | F | M                                                     | F | M                                                                      | F | M                                 | F | M                                                             | F | M                                             | F | M     | F |
| Administrators      | 3     | 2                                 |   |                    |   | 1                                                     |   |                                                                        |   |                                   |   |                                                               |   |                                               |   |       |   |
| Professionals       | 1     |                                   | 1 |                    |   |                                                       |   |                                                                        |   |                                   |   |                                                               |   |                                               |   |       |   |
| Superintendents     |       |                                   |   |                    |   |                                                       |   |                                                                        |   |                                   |   |                                                               |   |                                               |   |       |   |
| Supervisors         | 2     | 1                                 | 1 |                    |   |                                                       |   |                                                                        |   |                                   |   |                                                               |   |                                               |   |       |   |
| Foremen             |       |                                   |   |                    |   |                                                       |   |                                                                        |   |                                   |   |                                                               |   |                                               |   |       |   |
| Technicians         | 6     | 6                                 |   |                    |   |                                                       |   |                                                                        |   |                                   |   |                                                               |   |                                               |   |       |   |
| Protective Service  |       |                                   |   |                    |   |                                                       |   |                                                                        |   |                                   |   |                                                               |   |                                               |   |       |   |
| Para-Professionals  |       |                                   |   |                    |   |                                                       |   |                                                                        |   |                                   |   |                                                               |   |                                               |   |       |   |
| Office/Clerical     | 1     |                                   |   |                    |   |                                                       | 1 |                                                                        |   |                                   |   |                                                               |   |                                               |   |       |   |
| Skilled Craft       |       |                                   |   |                    |   |                                                       |   |                                                                        |   |                                   |   |                                                               |   |                                               |   |       |   |
| Service/Maintenance |       |                                   |   |                    |   |                                                       |   |                                                                        |   |                                   |   |                                                               |   |                                               |   |       |   |
| Total:              | 13    | 9                                 | 2 |                    |   | 1                                                     | 1 |                                                                        |   |                                   |   |                                                               |   |                                               |   |       |   |

Prepared by: Chris Chaffin, COO Date: 6 / 13 / 19  
 (Name and Title) Revised 2015-Dec-15

## **GENERAL PROVISIONS**

1. Each Respondent shall comply with all Federal, State & Local regulations concerning this type of service or good.

The Respondent agrees to comply with all statutes, rules, and regulations governing safe and healthful working conditions, including the Occupational Health and Safety Act of 1970, 29 U.S.C. 650 *et. seq.*, as amended, and KRS Chapter 338. The Respondent also agrees to notify the LFUCG in writing immediately upon detection of any unsafe and/or unhealthful working conditions at the job site. The Respondent agrees to indemnify, defend and hold the LFUCG harmless from all penalties, fines or other expenses arising out of the alleged violation of said laws.

2. Failure to submit ALL forms and information required in this RFP may be grounds for disqualification.
3. Addenda: All addenda, if any, shall be considered in making the proposal, and such addenda shall be made a part of this RFP. Before submitting a proposal, it is incumbent upon each proposer to be informed as to whether any addenda have been issued, and the failure to cover in the bid any such addenda may result in disqualification of that proposal.
4. Proposal Reservations: LFUCG reserves the right to reject any or all proposals, to award in whole or part, and to waive minor immaterial defects in proposals. LFUCG may consider any alternative proposal that meets its basic needs.
5. Liability: LFUCG is not responsible for any cost incurred by a Respondent in the preparation of proposals.
6. Changes/Alterations: Respondent may change or withdraw a proposal at any time prior to the opening; however, no oral modifications will be allowed. Only letters, or other formal written requests for modifications or corrections of a previously submitted proposal which is addressed in the same manner as the proposal, and received by LFUCG prior to the scheduled closing time for receipt of proposals, will be accepted. The proposal, when opened, will then be corrected in accordance with such written request(s), provided that the written request is contained in a sealed envelope which is plainly marked "modifications of proposal".
7. Clarification of Submittal: LFUCG reserves the right to obtain clarification of any point in a bid or to obtain additional information from a Respondent.
8. Bribery Clause: By his/her signature on the bid, Respondent certifies that no employee of his/hers, any affiliate or Subcontractor, has bribed or attempted

to bribe an officer or employee of the LFUCG.

9. Additional Information: While not necessary, the Respondent may include any product brochures, software documentation, sample reports, or other documentation that may assist LFUCG in better understanding and evaluating the Respondent's response. Additional documentation shall not serve as a substitute for other documentation which is required by this RFP to be submitted with the proposal,
10. Ambiguity, Conflict or other Errors in RFP: If a Respondent discovers any ambiguity, conflict, discrepancy, omission or other error in the RFP, it shall immediately notify LFUCG of such error in writing and request modification or clarification of the document if allowable by the LFUCG.
11. Agreement to RFP Terms: In submitting this proposal, the Respondent agrees that it has carefully examined the specifications and all provisions relating to the work to be done attached hereto and made part of this proposal. By acceptance of a Contract/Grant under this RFP, proposer states that it understands the meaning, intent and requirements of the RFP and agrees to the same. The successful Respondent shall warrant that it is familiar with and understands all provisions herein and shall warrant that it can comply with them. No additional compensation to Respondent shall be authorized for services or expenses reasonably covered under these provisions that the proposer omits from its Proposal.
12. Cancellation: If the services to be performed hereunder by the Respondent are not performed in an acceptable manner to the LFUCG, the LFUCG may cancel this contract for cause by providing written notice to the proposer, giving at least thirty (30) days notice of the proposed cancellation and the reasons for same. During that time period, the proposer may seek to bring the performance of services hereunder to a level that is acceptable to the LFUCG, and the LFUCG may rescind the cancellation if such action is in its best interest.

#### A. Termination for Cause

- (1) LFUCG may terminate a contract because of the contractor's failure to perform its contractual duties
- (2) If a contractor is determined to be in default, LFUCG shall notify the contractor of the determination in writing, and may include a specified date by which the contractor shall cure the identified deficiencies. LFUCG may proceed with termination if the contractor fails to cure the deficiencies within the specified time.

- (3) A default in performance by a contractor for which a contract may be terminated shall include, but shall not necessarily be limited to:
  - (a) Failure to perform the contract according to its terms, conditions and specifications;
  - (b) Failure to make delivery within the time specified or according to a delivery schedule fixed by the contract;
  - (c) Late payment or nonpayment of bills for labor, materials, supplies, or equipment furnished in connection with a contract for construction services as evidenced by mechanics' liens filed pursuant to the provisions of KRS Chapter 376, or letters of indebtedness received from creditors by the purchasing agency;
  - (d) Failure to diligently advance the work under a contract for construction services;
  - (e) The filing of a bankruptcy petition by or against the contractor; or
  - (f) Actions that endanger the health, safety or welfare of the LFUCG or its citizens.

#### B. At Will Termination

Notwithstanding the above provisions, the LFUCG may terminate this contract at will in accordance with the law upon providing thirty (30) days written notice of that intent, Payment for services or goods received prior to termination shall be made by the LFUCG provided these goods or services were provided in a manner acceptable to the LFUCG. Payment for those goods and services shall not be unreasonably withheld.

- 13. Assignment of Contract: The contractor shall not assign or subcontract any portion of the Contract without the express written consent of LFUCG. Any purported assignment or subcontract in violation hereof shall be void. It is expressly acknowledged that LFUCG shall never be required or obligated to consent to any request for assignment or subcontract; and further that such refusal to consent can be for any or no reason, fully within the sole discretion of LFUCG.
- 14. No Waiver: No failure or delay by LFUCG in exercising any right, remedy, power or privilege hereunder, nor any single or partial exercise thereof, nor the exercise of any other right, remedy, power or privilege shall operate as a waiver hereof or thereof. No failure or delay by LFUCG in exercising any right, remedy, power or privilege under or in respect of this Contract shall affect the rights, remedies, powers or privileges of LFUCG hereunder or shall operate as a waiver thereof.
- 15. Authority to do Business: The Respondent must be a duly organized and

authorized to do business under the laws of Kentucky. Respondent must be in good standing and have full legal capacity to provide the services specified under this Contract. The Respondent must have all necessary right and lawful authority to enter into this Contract for the full term hereof and that proper corporate or other action has been duly taken authorizing the Respondent to enter into this Contract. The Respondent will provide LFUCG with a copy of a corporate resolution authorizing this action and a letter from an attorney confirming that the proposer is authorized to do business in the State of Kentucky if requested. All proposals must be signed by a duly authorized officer, agent or employee of the Respondent.

16. **Governing Law:** This Contract shall be governed by and construed in accordance with the laws of the Commonwealth of Kentucky. In the event of any proceedings regarding this Contract, the Parties agree that the venue shall be the Fayette County Circuit Court or the U.S. District Court for the Eastern District of Kentucky, Lexington Division. All parties expressly consent to personal jurisdiction and venue in such Court for the limited and sole purpose of proceedings relating to this Contract or any rights or obligations arising thereunder. Service of process may be accomplished by following the procedures prescribed by law.
17. **Ability to Meet Obligations:** Respondent affirmatively states that there are no actions, suits or proceedings of any kind pending against Respondent or, to the knowledge of the Respondent, threatened against the Respondent before or by any court, governmental body or agency or other tribunal or authority which would, if adversely determined, have a materially adverse effect on the authority or ability of Respondent to perform its obligations under this Contract, or which question the legality, validity or enforceability hereof or thereof.
18. Contractor understands and agrees that its employees, agents, or subcontractors are not employees of LFUCG for any purpose whatsoever. Contractor is an independent contractor at all times during the performance of the services specified.
19. If any term or provision of this Contract shall be found to be illegal or unenforceable, the remainder of the contract shall remain in full force and such term or provision shall be deemed stricken.

  
Signature

  
Date



Lexington-Fayette Urban County Government  
Request for Proposals

**Extended Social Resources (ESR) Grant Program**  
**Priority Area: Community Wellness & Safety**

**Purpose**

Each fiscal year the Mayor and Urban County Council allocate funds for use by selected 501(c)(3) non-profit partner agencies through the Department of Social Services' Extended Social Resource (ESR) Program. The Lexington-Fayette Urban County Government (hereinafter referred to as "LFUCG") has historically partnered with non-profit agencies for the purpose of providing priority social services to supplement and support the work of the Urban County Government. These agencies are diverse in their missions and work plans, and provide services to the most vulnerable populations in our community.

**Eligibility**

- Eligible Responders shall be a non-profit 501(c)3 organization with a physical presence in Lexington-Fayette County
- Responders shall be registered and have a current, complete agency portrait on GoodGiving.net
- Programs receiving grant funds for Partners for Youth are not eligible to also receive funding from the ESR Grant Program (a Program cannot receive funding from both)
- ESR funds cannot be used to teach, advance, advocate or promote any religion
- Be located in and/or serve Fayette County residents with ESR funds in Fayette County
- Applying organization agrees to comply with all applicable local, state, and federal laws

**Instructions**

Please follow the attached instructions and submit all required forms no later than the deadline indicated below:

**Proposal Deadline – 2:00 PM EST Friday, April 19<sup>th</sup>, 2019.**  
**Proposals received after this deadline or incomplete proposals will not be considered.**

## **1.0 GENERAL INFORMATION & SCOPE**

### **1.1 Background**

Each fiscal year the Mayor and Urban County Council allocate funds for use by selected 501(c)(3) non-profit partner agencies through the Department of Social Services' Extended Social Resource (ESR) Program.

This grant cycle shall cover Fiscal Year 2020 (July 1, 2019—June 30, 2020), and will award grants between the four Funding Priorities, which each have separate required Proposal Submittals and criteria, and awarded on an approximate scale, listed below. Proposers may submit ONE Proposal per Funding Priority Area.

### **Funding Priority Area: Community Wellness & Safety**

Projected funding is 40% of total ESR Grant Program Award

LFUCG seeks to strengthen and enhance Community Wellness and Safety, by supporting programs and services addressing ***Mental Health, Substance Misuse Disorder, and Violence Prevention***. LFUCG intends to award grants for priority-rated programs and services which originate with demonstrated client needs, establish clearly-defined outcomes, and are designed to best practices or evidence-based models.

## **2.0 GENERAL PROVISIONS**

### **2.1 Purpose**

The LFUCG is accepting applications from qualified non-governmental, non-profit agencies with current **501(c)3** tax exempt status and with a physical business or program site location in Fayette County (hereinafter, referred to as "Applicant") for ESR funding for FY2020 (July 1, 2019 – June 30, 2020). This funding is intended to support agency **programs** which respond to the **funding priorities** established herein. **THIS FUNDING IS NOT INTENDED TO SUPPORT GENERAL AGENCY OPERATIONS, other than overhead required to support the subject program.**

### **2.2 Funding Period**

The funding period is from July 1, 2019 through June 30, 2020.

### **2.3 ESR Grant Informational Workshop**

The Department of Social Services conducted a meeting on March 28, 2019 that provided potential proposers with an overview of the proposal and review process, instructions on completing the RFP, and presentation of funding priorities.

### **2.4 Proposal Submission**

All Submissions must be uploaded to the LFUCG procurement website at <https://lexingtonky.ionwave.net> by **FRIDAY, APRIL 19<sup>th</sup>, 2019 before 2:00 PM EST**. The Submission shall include an enclosed form that shall contain the required documents, and respond to one or more established funding priorities.

Proposal submissions containing significant omissions of required information will be considered non-responsive and removed from the RFP funding process on the application deadline date (April 19<sup>th</sup>, 2019). Significant missing responses to questions constitute an incomplete application. The final decision regarding application completeness and penalties will be determined by the LFUCG Division of Central Purchasing in consultation with the Commissioner of Social Services. **All proposals must be written in a clear and concise manner, as there will be no follow-up or clarifications to proposer's Proposal Submittal Form once the evaluation process begins.**



Do not include additional documents or attachments with the Proposal Submittal Form, such as brochures or letters of support. These will be discarded.

If your agency is submitting a proposal for the funding of more than one program in a single priority area, please note that they must be included in a single Proposal Submittal completed and submitted for that priority area RFP. Only one Proposal Submittal per agency per priority area RFP will be accepted.

Submitted Proposal shall be comprised of the attached PDF formatted Proposal Submittal form. This form must be submitted in the original PDF form, and NOT be a scanned version of the original form.

#### 2.5 Acceptance/Rejection of Submissions

The LFUCG reserves the right to reject any proposals which may be considered irregular, show serious omissions, contain unauthorized alteration of the Proposal Submittal form, or are incomplete.

The LFUCG reserves the right to accept or reject any or all applications in whole or in part, with or without cause, to waive technicalities, to implement scoring penalties, or to accept applications or portions thereof which, in the Urban County Government's judgment, best serve the interests of Urban County Government.

**All proposals must be written in a clear and concise manner, as there will be no follow-up or clarifications to proposer's Proposal Submittal Form once the evaluation process begins.**

#### 2.6 Inquiries/Questions

After thoroughly reading this Request for Proposals, Applicants must direct any questions to:

Todd Slatin, Director

Division of Central Purchasing 200 E. Main Street, Lexington, KY 40507

E-mail: [tslatin@lexingtonky.gov](mailto:tslatin@lexingtonky.gov) Phone: (859) 258-3320

**Deadline for questions is Wednesday, April 10<sup>th</sup>, 2019 at 5:00 p.m. EST**

### 3.0 FUNDING PROCESS

#### 3.1 Timeline

This Request for Proposals is being released on **March 29<sup>th</sup>, 2019**, and is made available to the public and all potentially eligible applicants. **An informational and question and answer meeting will be held on Monday, April 8<sup>th</sup>, 2019, at 8:30 a.m. at the Phoenix Building 3<sup>rd</sup> Floor Conference Room, 100 East Vine Street, Lexington, KY 40507.** This meeting will be open to the public and any potentially eligible applicants are invited to attend and ask questions or seek clarification regarding the RFP. Attendance is NOT required in order to submit a proposal and will not affect scoring during the evaluation process.

Completed proposals must be submitted **no later than 2 p.m. on FRIDAY, APRIL 19<sup>th</sup>, 2019**, and late or incomplete proposals will not be accepted or evaluated.

The LFUCG intends to conduct proposal evaluation in April and May 2019 immediately following the proposal due date, with the intention to make funding announcements in late May, 2019. This timeline is subject to change without notice.

Successful applicants may be contacted on or about June 1, 2019, to negotiate a funding agreement with expectations that an award be in place for the funded programs to begin operations by July 1, 2019. No funds may be expended prior to the execution of a funding agreement and grantees will not be reimbursed for pre-award costs.



### 3.2 Evaluation

Proposals will be evaluated by a neutral panel including LFUCG staff and third-party reviewers who have expertise in the field of human services. The scoring criteria are outlined in Section 5.0 Criteria.

### 3.3 Reporting

The funded project will be required to submit quarterly progress reports demonstrating progress toward outcomes established in the proposal and associated funding agreement. Report formats will be determined by the Department of Social Services, as will due dates and submission process. Failure to submit complete reports on time will delay processing of grant payments and may affect the grantee's competitiveness for any future funding opportunities with LFUCG.

## 4.0 PROPOSAL FORMAT

Proposal Submittal Forms must be uploaded to <https://lexingtonky.ionwave.net> before the 2:00 p.m. EST April 19<sup>th</sup>, 2019 deadline. Late submissions will not be considered for funding.

## 5.0 SCORING CRITERIA/EVALUATION

Please see attached **Proposal Submittal form** to respond to the following; the **Proposal Submittal form** is the document that shall be completed with your responses and then uploaded as your RFP submittal. **You will need to save the PDF formatted Proposal Submittal form to your hard drive before beginning to enter responses in it to ensure your responses are saved to the form.**

### ESR Grant Program RFP Criteria

|                                              | <u>Points</u> |
|----------------------------------------------|---------------|
| <b>5.1 Program Proposal &amp; Design</b>     |               |
| 5.1.1 Needs Statement                        | 15            |
| 5.1.2 Service Delivery Model                 | 15            |
| 5.1.3 Client Eligibility & Requirements      | 5             |
| 5.1.4 Evidence-Based/Best Practice           | 10            |
| <b>Subtotal 45</b>                           |               |
| <b>5.2 Program Measures &amp; Evaluation</b> |               |
| 5.2.1 Service Efficacy & Desired Outcomes    | 10            |
| 5.2.2 Client Empowerment & Community Impact  | 10            |
| 5.2.3 Data Assessment & Quality Improvement  | 10            |
| <b>Subtotal 30</b>                           |               |
| <b>5.3 Capacity &amp; Sustainability</b>     |               |
| 5.3.1 Staff Qualifications & Experience      | 5             |
| 5.3.2 Partnership & Resource Leverage        | 5             |
| 5.3.3 Outreach & Inclusion Strategy          | 15            |
| <b>Subtotal 25</b>                           |               |
| <b>TOTAL</b>                                 | <b>100</b>    |

## Funding Priority Area: Community Wellness & Safety

Projected funding is 40% of total ESR Grant Program Award

LFUCG seeks to strengthen and enhance Community Wellness and Safety, by supporting programs and services addressing **Mental Health, Substance Misuse Disorder, and Violence Prevention**. LFUCG intends to award grants for priority-rated programs and services which originate with demonstrated client needs, establish clearly-defined outcomes, and are designed to best practices or evidence-based models. These programs may address one or more of the following areas, but shall not be limited to:

- **Substance Misuse Disorder**, which include prevention of alcohol and drug abuse; prevention and treatment of addictive and mental disorders through programs and services for individuals who suffer from these disorders; and harm reduction.
- **Mental Health**, which is defined as a state of well-being in which every individual realizes his or her own potential, can cope with the normal stresses of life, can work productively and fruitfully, and is able to make a contribution to her or his community. Mental health includes our emotional, psychological, and social well-being. It affects how we think, feel, and act. It also helps determine how we handle stress, relate to others, and make choices. Mental health is important at every stage of life, from childhood and adolescence through adulthood.
- **Violence Prevention**, which include Child Abuse & Neglect Services, Sexual Violence Prevention, Elder Abuse Prevention, Suicide Prevention, Youth Violence Prevention & Intervention, including Gang & Gun Violence, and Intimate Partner Violence Prevention and Stalking.

The term “client” is used throughout this proposal; however we understand that within the context of your work “client” may not mean an individual. For some agencies it may be helpful to think of “client” as whole system (such as a school) or as a neighborhood, group, or community.

### 5.1 Program Proposal & Design

#### 5.1.1 Needs Statement—Purpose of the Program Proposal / Problem Statement

**15 Points**

Using local data, provide a description of the problem in Fayette County. Identify the specific population your program is targeting (i.e. age, geographical region, economic status, etc.) and explain why. Discuss whether this population is under-served or at-risk. Describe your understanding of the local system of services addressing this problem, obstacles and/or opportunities your clients face, and how your agency fits within this system of services.

#### 5.1.2 Service Delivery Model

**15 Points**

What steps will you take or what activities will you provide to assist clients in achieving these goals? Describe each “unit of service” you will provide for clients and how often and how long this service will be provided (e.g. a one-time three-hour training; a weekly one-hour support group for 12 weeks; one 30-minute health exam twice a year; 1-3 hour advocacy services as needed; etc.) How will these services address the problem as identified in the Needs Statement above? Be specific.

#### 5.1.3 Client Eligibility and Requirements

**5 Points**

What eligibility requirements must clients meet to qualify for services? What are the expectations of clients while receiving services? (e.g. client must pay \$30 fee for each class; client must remain sober; client is responsible for chores; nothing other than participation in services; etc.)

#### 5.1.4 Evidence-Based/Best Practice

**10 Points**

Describe the evidence-based or promising practice model on which this service approach is based. Provide particular sources that indicate what you are proposing is best-practice.

## 5.2 Program Measures & Evaluation

### 5.2.1 Service Efficacy & Desired Outcomes

10 Points

What do you hope to help your clients achieve? What are some examples of goals you will set with clients? What is your service philosophy in terms of helping your clients achieve these goals? Describe how you define “successful” completion of services. (e.g. service is complete if: client remains for entire three-hour training; client continues services until judge orders otherwise; etc.) What percentage of clients meet that criteria for success?

### 5.2.2 Client Empowerment & Community Impact

10 Points

Describe what meaningful difference these services make in the lives of people served. What value is added to the community? Provide examples. (e.g. client demonstrates change in attitude; client has behavior change; etc.)

### 5.2.3 Data Assessment & Quality Improvement

10 Points

While it doesn't have to be complicated, evaluation is more than saying “we provided this many ‘units of service.’” How will you know if your services have been effective? How does this relate to the desired outcomes for your clients? How will the information gathered be used to improve your services in the future? Be specific (for example, data collection may be through focus groups, pre-and post-tests, client satisfaction surveys, etc.), and also **be specific regarding sampling size and frequency of evaluation.**

## 5.3 Capacity & Sustainability

### 5.3.1 Staff Qualifications & Experience

5 Points

Provide information on the key/primary individuals that will be involved in the provision of services and demonstrate that they have the capacity to address the stated need. List each position by title and name of employee, if available. Describe the anticipated roles and responsibilities for each person as it relates to this project. Describe the experience, expertise, and capacity of each individual to address the proposed activities.

### 5.3.2 Partnership & Resource Leverage

5 Points

How do your programs and services support our community's comprehensive response to the identified priority area of Community Wellness & Safety? Does your organization have any formal agreements or informal working relationship with other local service programs?

What role does your governing board members, volunteers, and / or donors play in facilitating viable service delivery and program administration? Does your program have any major civic benefactors or corporate sponsors? Describe other secured funding sources and committed operational resources your organization has allocated for the proposed program.

### 5.3.3 Outreach & Inclusion Strategy

15 Points

Demonstrate how the program will ensure services are available and accessible by all potential participants, especially related to language barriers for persons with limited English proficiency; persons with physical or other disabilities; and persons impacted by poverty and economic distress.

Has your organization enacted any policies (or employs any standard operating procedures) to ensure equitable service opportunity and / or benefit program to a diverse cross-section of the greater community?

## 6.0 Program Budget Summary Form

**Proposal Submittal shall be considered incomplete and shall be rejected without completed Budget Summary Form. (Including total amount of ESR grant request.)**



## PROPOSAL SUBMITTAL FORM

### Agency Information

Agency Name: Shepherd's House, Inc.

Mailing Address: 635 Maxwelton Court, Lexington, KY 40508

Street Address: Same

Phone: (859) 252 - 1939

Is your Agency registered with the IRS as a 501(c)3 organization?

☒ Yes ☐ No

*Note: Agencies **must** be registered with the IRS as a 501(c)3 organization to be eligible for ESR Program funding.*

Does your agency have a current profile with Blue Grass Community Foundation's GoodGiving.net?

☒ Yes ☐ No

*Note: Agencies **must** have profiles with GoodGiving.net to be eligible for ESR funding.*

Website Address: www.shepherdshouseinc.com

Agency Representative (typically the Executive Director - Name, Title, Phone, Email):

Jerod Thomas, President, CEO (p) 859-252-1939 (email): jerodthomas@shepherdshouseinc.com

Person Completing Application (Name, Title, Phone, Email):

Kyle Nowka, Director, Behavioral Health (p) 502-303-2980 kyle.nowka@shepherdshouseinc.com

### Program Information

Name of program for which funds are being requested: Behavioral Health & Substance Use Disorder Trea

Total Funding Amount Requested: \$ 310,655

## RFP #11-2019 PROPOSAL SUBMITTAL FORM

- **Save this PDF formatted Proposal Submittal Form to your hard drive before beginning to enter responses in it to ensure your responses are saved to the form.**
- **LIMIT RESPONSES IN TEXT BOXES TO 250 WORDS**
- **REMINDER: All proposals must be written in a clear and concise manner, as there will be no follow-up or clarifications to proposer's submittal form once the evaluation process begins.**

## 5.1 Program Proposal & Design

### 5.1.1 Needs Statement—Purpose of the Program Proposal / Problem Statement

15 Points

Using local data, provide a description of the problem in Fayette County. Identify the specific population your program is targeting (i.e. age, geographical region, economic status, etc.) and explain why. Discuss whether this population is under-served or at-risk. Describe your understanding of the local system of services addressing this problem, obstacles and/or opportunities your clients face, and how your agency fits within this system of services.

Substance Use Disorder (SUD) and Opioid Use Disorder (OUD) are a plague on Fayette County. Kentucky overdose deaths are twice the national average -- the second-worst in the country. Between 2013 and 2017, naloxone administration quadrupled. The amount of heroin seized increased 139,558% (from 8.5g to 11,871g). Addiction is frequently paired with another mental health issue. The coexistence of both is a "co-occurring disorder" or "co-morbidity." Comorbidity implies interactions between illnesses (e.g., OUD and depression) that worsen the course of both if untreated. Low or no-cost treatment facilities rarely offer treatment for co-occurring disorders. This demographic is grossly underserved in accessing mental health and SUD treatment simultaneously. Shepherd's House is a long-term residential recovery facility that serves men age 18 and older presenting with SUD. Most have unstable housing, food insecurity, are below the poverty level, and qualify as homeless. Referred primarily from Department of Corrections and local probation/parole agencies, 85% of our clientele present with co-occurring disorders. In 2019, Shepherd's House achieved Behavioral Health Service Organization (BHSO) licensure. We can now provide residents with intensive mental health services simultaneously with SUD treatment. We have effectively treated men with addictions for 30 years, but we were unable to treat co-occurring disorders until now. This new programming allows us to meet our goal of whole-person recovery. To do so, we require a licensed clinician and two targeted case managers to focus on these special needs clients and connect them to available resources.

### 5.1.2 Service Delivery Model

15 Points

What steps will you take or what activities will you provide to assist clients in achieving these goals? Describe each "unit of service" you will provide for clients and how often and how long this service will be provided (e.g. a one-time three-hour training; a weekly one-hour support group for 12 weeks; one 30-minute health exam twice a year; 1-3 hour advocacy services as needed; etc.) How will these services address the problem as identified in the Needs Statement above? Be specific.

Our service delivery model will be administered by licensed mental health clinicians. Initial intake screening and needs assessment will be administered over approximately 60 to 120 minutes. Accurate mental health and substance abuse diagnoses will also be assessed. A treatment plan will be created including evidence-based practices to treat the diagnoses (taking an additional 30-60 minutes). During the first three months of residency, the clients receive the most intensive treatment, including one to three 60-minute psychotherapy sessions per week. After phase one, from months 4-6, clients receive one 60-minute session per week, and two sessions per month from months 7-12. Additional sessions will be added whenever needed, when therapeutically indicated. Additionally, clients will participate in an Intensive Outpatient Program 3 hours a night, 3 nights per week, for the first 2-1/2 months. This is a structured group setting that allows the clinician to provide additional evidenced-based curriculum/ support to the group to create a therapeutic community and support system among members. This is an essential part of treatment. Also critical in treatment is psycho-education for clients about their diagnoses. This also occurs with a clinician during therapy sessions. As part of treating the whole person, a targeted case manager will link clients to community resources and develop a financial budget to help positive reintegration into society. If a client shows behavior inconsistent with their treatment plan, a mandatory meeting with his treatment team of multiple-disciplinary clinicians and direct care staff members will address and attempt to modify troubling behavior.

### 5.1.3 Client Eligibility and Requirements

5 Points

What eligibility requirements must clients meet to qualify for services? What are the expectations of clients while receiving services? (e.g. client must pay \$30 fee for each class; client must remain sober; client is responsible for chores; nothing other than participation in services; etc.)

To qualify for services at Shepherd's House, men, aged 18 and older, must have accrued 30 days of sobriety and pass a 12-panel drug screen upon admission. Shepherd's House maintains strict guidelines every client must follow. Examples include: remaining sober during residency; completing assigned chores; following all therapeutic requirements of their care plan as recommended by Shepherd's House clinicians (individual and group therapy tailored to each individual client); participate in abstinence-based 12-step or SMART recovery and secure a program sponsor. Additionally, upon employment (not at check-in), each client must pay \$110.00 a week for room and board during their residency at Shepherd's House but this fee is not required at check-in. All clients must seek and obtain employment while at the Shepherd's House, absent physical or mental disabilities or limitations. Accommodations are made for those individuals with physical or mental disabilities. They may be asked to undertake additional chores around the house or do community service to the extent they are able.

Every Shepherd's House resident qualifies for these additional therapeutic services if clinically indicated. As with all services at Shepherd's House, there are no fees for treatment or services.

### 5.1.4 Evidence-Based/Best Practice

10 Points

Describe the evidence-based or promising practice model on which this service approach is based. Provide particular sources that indicate what you are doing is best-practice.

1) Mindfulness-Based Cognitive Therapy (MBCT): MBCT blends features of traditional cognitive therapy and meditative practices to address chronic mental health issues. Through MBCT, clinicians help clients break away from negative thought patterns that contribute to negative mood and actions which, if untreated, may cause a downward spiral in the client's overall wellbeing. Research shows that MBCT is an effective intervention for those who have suffered repeated bouts of depression and / or substance abuse in their lives. The American Medical Association (AMA) has endorsed MBCT as an effective treatment for relapse prevention for SUD.

2) Dialectical Behavior Therapy (DBT): DBT is an evidenced based psychotherapy intervention proven effective in addressing mood disorders, suicidal ideation, and change in behavioral patterns such as self-harm and SUD. DBT provides clients with therapeutic skills in four key areas: mindfulness, distress tolerance; emotion regulation; and interpersonal effectiveness. DBT was the first psychotherapy shown to be effective in treating Bi-Polar Disorder in controlled clinical trials. It has a strong evidence base and is considered one of the most effective evidenced- based treatment options for SUD. According to a peer-reviewed article published in Addiction Science & Clinical Practice, DBT is effective in promoting substance abstinence and reducing the length and adverse reaction to relapse.

3) Targeted-Case Management (TCM): TCM must be delivered by a certified Targeted Case Manager who assists individuals in accessing needed social, educational, employment, medical, and other services within their community. TCM is provided to individuals insured through Medicaid.

## 5.2 Program Measures & Evaluation

### 5.2.1 Service Efficacy & Desired Outcomes

10 Points

What do you hope to help your clients achieve? What are some examples of goals you will set with clients? What is your service philosophy in terms of helping your clients achieve these goals? Describe how you define "successful" completion of services. (e.g. service is complete if: client remains for entire three-hour training; client continues services until judge orders otherwise; etc.) What percentage of clients meet that criteria for success?

Shepherd's House seeks to treat the whole man and provide tools for success in recovery from substance use disorder, and in resolving other mental health issues. We seek to graduate gentlemen who can achieve at their highest capabilities. We aim to provide services that equip our clients to live life on life's terms, dealing with daily ups and downs without using drugs, alcohol, or process addictions to ease discomfort. We will provide tools that foster good mental health for those in early recovery and provide additional therapies as indicated.

Successful clients will transition in the following ways during their residency at Shepherd's House: 1) from unemployment to gainful employment (including paying taxes); 2) from being fiscally irresponsible to becoming current on obligations such as credit card debt or child support; 3) from absent, incarcerated, or abusive parents into nurturing parents with regular timesharing; 4) from probation or parole to successfully completing these programs without additional incarceration; 5) successful completion of the 12-steps; 6) employment for a year or more by graduation; 7) actively participating in unpaid community service; and 8) Consistently and adequately treating mental health issues through recommended therapeutic goals (for example, through psychotherapy, medication, or a combination thereof). These are a few examples of success. They're also tasks that someone in the throes of addiction or with untreated mental health issues can't accomplish. Our goal is to eliminate these barriers that hinder our client's ability to achieve. 85% of Shepherd's House graduates successfully meet the above criteria.

### 5.2.2 Client Empowerment & Community Impact

10 Points

Describe what meaningful difference these services make in the lives of people served. What value is added to the community? Provide examples. (e.g. client demonstrates change in attitude; client has behavior change; etc.)

By engaging in the services we provide, completing the program and graduating from Shepherd's House, clients experience a complete change in cognitive processing and behavior. Many of our clients have serious medical conditions secondary to drug and alcohol addiction. Their medical condition improves by living in a controlled environment where they must remain sober and are connected to a primary care physician who addresses other medical concerns. Many of our clients face serious legal consequences. Seventy-five per cent of our clients enter the program on probation and/or parole and within 12 months have been released from probation and/or parole. Upon admission, 60% of our fathers have no relationship with their children and owe child support arrearage. However, within 6 months of entering the program, our clients have re-engaged and developed a relationship with their children. Within 12 months, they're current on child support obligations. Within 3 months of admission, our clients become active taxpayers through their employment. This contrasts sharply with the 80% of our clientele who, before engaging in our program, present to Shepherd's House reliant on state government money in supervision fees and court costs. The Community is impacted through this program as this grant allows Shepherd's House to expand and improve their services. Additional specifically qualified staff can be added which allows us to treat more individuals. This, in turn, creates additional revenue, which creates a self-sustaining program.

### 5.2.3 Data Assessment & Quality Improvement

10 Points

While it doesn't have to be complicated, evaluation is more than saying "we provided this many 'units of service.'" How will you know if your services have been effective? How does this relate to the desired outcomes for your clients? How will the information gathered be used to improve your services in the future? Be specific (for example, data collection may be through focus groups, pre-and post-tests, client satisfaction surveys, etc.), and also **be specific regarding sampling size and frequency of evaluation.**

Effectiveness of the program will be measured through data collection via pre-test and post-test. The measurement tool used for pre- and post-test assessments will be standardized questionnaires with 10 questions covering topics such as: status and duration of sobriety; basic life skills and employment; current legal circumstances; 12-step engagement; levels of productivity; status of familial relationships; living situation; current financial status (including child support obligation status). This will provide an overall view of quality of life which is impacted by SUD, co-occurring disorders, and the effective treatment thereof. The pre-test will be given upon arrival and post-test at graduation. Additional data will be collected through a client satisfaction survey intermittently throughout client engagement in the program. These pre-determined times will be: upon arrival; 3 months after involvement in intensive services; 6 months post-admission; and at 12 months while still active in the program. We will determine the sustainability of success following the program by requesting clients answer the same questionnaire at one, three, and five years after graduation from the program. Additionally, we will keep statistical data collected from pre- and post-tests to measure our program success rate. Information collected will be evaluated to determine if we need to modify, adjust, or redirect the content of our offered services and in what areas we must offer additional resources based on statistics that indicate either a lack of success or a need for reinforcement and strengthening.

## 5.3 Capacity & Sustainability

### 5.3.1 Staff Qualifications & Experience

5 Points

Provide information on the key/primary individuals that will be involved in the provision of services and demonstrate that they have the capacity to address the stated need. List each position by title and name of employee, if available. Describe the anticipated roles and responsibilities for each person as it relates to this project. Describe the experience, expertise, and capacity of each individual to address the proposed activities.

Connie Milligan, LCSW, is Shepherd's House Behavioral Health Program Director. She has 35 years of experience in the mental health field, which includes expertise in working with people who are justice involved. For much of her career she worked in Community Mental Health moving from direct services into executive leadership positions, as Corporate Director over numerous statewide programs. She is responsible for the development of innovative programs including the KY Mental Health Crisis Network for Jails; KY Suicide Prevention Board; Bluegrass Crisis Line; KY Community Crisis Intervention Board; CIT training for the Bluegrass Region; Bluegrass Re-entry Council; Fayette County Decriminalization Council; and Fayette County Mental Health Court.

Jerod Thomas, M.Ed., CADC, is Chief Executive Officer. Jerod is licensed in Kentucky as a Certified Alcohol and Drug Counselor and is available to facilitate mental health IOP, substance abuse IOP, crisis intervention, and individual therapy.

Kyle Nowka, BS, TCADC, is Program Director for the Shepherd's House IOP. Kyle is licensed in Kentucky as a Temporary Certified Alcohol and Drug Counselor. He holds a degree in business administration from University of Louisville. He serves as a therapist and facilitates the substance abuse Intensive Outpatient Program and Behavioral Health.

Alyssa Dickens, MSW, CSW, is a Mental Health Therapist at Shepherd's House. She graduated from University of Kentucky with a Master's in Social Work. She serves as a therapist and is qualified to provide assessments and case management services.



### 5.3.2 Partnership & Resource Leverage

5 Points

How do your programs and services support our community's comprehensive response to the identified priority area of Community Wellness & Safety? Does your organization have any formal agreements or informal working relationship with other local service programs?

What role does your governing board members, volunteers, and / or donors play in facilitating viable service delivery and program administration? Does your program have any major civic benefactors or corporate sponsors? Describe other secured funding sources and committed operational resources your organization has allocated for the proposed program.

Shepherd's House is a collaborative effort through our work with local agencies to improve community wellness and safety. Drug Courts (Veterans and General) refer clients to us. These clients are frequently incarcerated and moved to the top of our waiting list. We partner with Voices of Hope for telephone recovery support to clients in need. We collaborate with Chrysalis House for Women by referring our client's spouse / intimate partner if she's also addicted to facilitate simultaneous treatment for partners. Chrysalis House reciprocates. We partner with Kentucky Affordable Housing Coalition to assist clients seeking safe, affordable long-term housing.

Shepherd's House is governed by an executive committee of nine men and women, each directly impacted by addiction. This committee possesses a variety of skills and offers professional services when needed. While formal meetings are bi-monthly, ongoing discussions between the staff and board members keep an open dialogue involving daily operations. Board members drop in Shepherd's House regularly. Our primary funding sources are two annual fund-raisers (Run for Recovery and Swing Fore Recovery) and private donations. Shepherd's House has loyal and consistent donors who have evolved since our doors opened in 1989. Individual donations total approximately \$100,000 annually. In 2018, the largest individual and corporate donation was \$10,000. Shepherd's House gratefully receives donations from hundreds of individuals annually from \$50 to \$500 dollars. All of Fayette County benefits from Shepherd's House's long-term treatment solutions for men seeking assistance with SUD (and now co-occurring mental health issues) we've faithfully offered since 1989.

### 5.3.3 Outreach & Inclusion Strategy

15 Points

Demonstrate how the program will ensure services are available and accessible by all potential participants, especially related to language barriers for persons with limited English proficiency; persons with physical or other disabilities; and persons impacted by poverty and economic distress.

Has your organization enacted any policies (or employs any standard operating procedures) to ensure equitable service opportunity and / or benefit program to a diverse cross-section of the greater community?

The Shepherd's House is a licensed Residential Alcohol and Other Drug Entity in Kentucky. We've passed an inspection by the Office of Inspector General certifying our facility as accessible, with appropriate fire exits in the facility. We are centrally located in Lexington on University of Kentucky's main campus. We're close to major bus lines, allowing easy access to our facility from all Lexington communities. Since 90% of Shepherd's House clients fall below the poverty level and many are homeless, the connection to bus routes minimize transportation concerns for our homeless population. If Shepherd's House has clients who are not proficient in English, we will utilize all local resources including interpreting services to bridge the language barrier to provide equal services to all clients. The Shepherd's House is non-discriminatory and through intentional and responsible leadership, will recruit, hire, train and promote all positions within the company regardless of race, ethnicity, national origin, religion, sex, physical disability, age, sexual orientation or status as a disabled veteran.

## 6.0 Program Budget Summary Form Instructions

**Proposal Submittal shall be considered incomplete and shall be rejected without completed Budget Summary Form. (Including total amount of ESR grant request.)**

For organizations requesting funding for more than one program in this RFP, combine into a single Program Budget narrative for the proposal.

Please note that the Program Budget will be part of the grantee agreement with LFUCG and regular tracking and expenditure reporting will be required.

To ensure readability and uniformity, please use the Program Budget form included. Provide brief line-item detail as specified in each section below and verify all calculations.

This section provides a summary of the total proposed Program Budget for FY 2020. It requests the allocation of all projected funding amounts (City and non-City sources) for anticipated FY 2020 program expenditures.

### **Total Program Budget**

Column A should reflect projected expenditures for the entire program (not just the proposed LFUCG ESR grant funding request portion). When the chart is completed this column should equal ESR Grant Funding Request plus other/non-ESR program funding. ( $A=B+C$ )

### **ESR Grant Funding Request**

Column B is the grant amount being requested from this RFP to support this program's services to eligible Fayette County Participants.

### **Non-LFUCG Program Funding**

Column C is the non-LFUCG ESR funding that is allocated to the Total Program Budget ( $A-B = C$ ).

**This form is for the budget for the PROGRAM applying for ESR funds, not the total agency budget.**

For each category identify the amount requested and the amount to be leveraged through other programs or organizations (if applicable).

**Staff Salaries** – Identify the number of Full-time position salaries allocated to the program, and part-time positions allocated to the program, and the amounts of each allocated to Columns A, B, & C.

**Consultant Services** – In the "List Details" box, **briefly** describe any expenses associated with providing expanded supportive services or other services for which the organization intends to contract with another entity. Any of these expenses to be provided by the proposing organization should be included in other line items.

**Space/Facilities** – In the "List Details" box, **briefly** list the basis of the allocation of rental costs, utilities, janitorial costs, and any other facility costs for the Program. Identify any office or program space in an LFUCG owned building, and any other costs (rent, monthly utilities, etc.) reimbursed to LFUCG.

**Scholarships/Stipends** – In the "List Details" box, **briefly** list the type of scholarships or stipends, and include the number of people or organizations to receive funds.

**Operating Expenses** – In the "List Details" box, **briefly** list the costs associated with expenses, supplies, utilities, and any other expense associated directly with the operation of the project.

**Other** – In the "List Details" box, **briefly** list any other costs for the Program not covered above.

# PROGRAM BUDGET SUMMARY

Agency Name Shepherd's House, Inc.

Program Name \_\_\_\_\_

**FY 2020 (July 1, 2019-June 30, 2020) Total Program Budget**

|                                                     |                                                                                                                                                                                                                                                                                              | Column A<br>Total Program<br>Budget [= B+C] | Column B ESR<br>Grant Funding<br>Request | Column C<br>Non-ESR Program<br>Funding [A-B] |
|-----------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------|------------------------------------------|----------------------------------------------|
| <b>1. Staff Salaries for Program</b>                | <b># of<br/>Employees:</b>                                                                                                                                                                                                                                                                   |                                             |                                          |                                              |
| Full-Time (FTE)                                     | 3                                                                                                                                                                                                                                                                                            | 147,600                                     | 104,550                                  | 43,050                                       |
| Part-Time                                           | 3                                                                                                                                                                                                                                                                                            | 145,710                                     | 54,120                                   | 91,590                                       |
| <b>Total Salaries</b>                               |                                                                                                                                                                                                                                                                                              | <b>293,310</b>                              | <b>158,670</b>                           | <b>134,640</b>                               |
| <b>3. Consultant Services</b>                       | <b>\$</b>                                                                                                                                                                                                                                                                                    | <b>7,950</b>                                | <b>4,350</b>                             | <b>3,600</b>                                 |
| <i>list details</i>                                 | HIPAA Training and Security Training Kit; Clinician Supervision Fees.                                                                                                                                                                                                                        |                                             |                                          |                                              |
| <b>4. Space/Facilities</b>                          | <b>\$</b>                                                                                                                                                                                                                                                                                    | <b>0</b>                                    | <b>0</b>                                 | <b>0</b>                                     |
| <i>list details</i>                                 | All clinical sessions and treatment are held at Shepherd's House and therefore no costs will be incurred specifically for the use of the allocated space in the facilities.                                                                                                                  |                                             |                                          |                                              |
| <b>5. Operating Expenses</b>                        | <b>\$</b>                                                                                                                                                                                                                                                                                    | <b>448</b>                                  | <b>224</b>                               | <b>224</b>                                   |
| <i>list details</i>                                 | Library Resources: (1) Desk Reference to the Diagnostic Criteria from DSM-5 American Psychiatric Association;<br>(1) The ASAM Criteria: Treatment Criteria for Addictive, Substance-Related, and Co-Occurring Conditions.                                                                    |                                             |                                          |                                              |
| <b>6. Scholarships / Stipends</b>                   | <b>\$</b>                                                                                                                                                                                                                                                                                    | <b>8,499</b>                                | <b>2,125</b>                             | <b>6,374</b>                                 |
| <i>list details -<br/>numbers &amp;<br/>amounts</i> | (1) Scholarship for a Veteran referred to Shepherd's House from Veteran's Mental Health Court. Shepherd's House requests 25% of the cost of the treatment scholarship be funded through this grant. Shepherd's House will absorb the remaining 75% of the cost of the treatment scholarship. |                                             |                                          |                                              |
| <b>7. Other</b>                                     | <b>\$</b>                                                                                                                                                                                                                                                                                    | <b>448</b>                                  | <b>224</b>                               | <b>224</b>                                   |
| <i>list details</i>                                 | Coffee and light snacks for Intensive Outpatient Programming; journals and binders for clients for course work; projector for Intensive Outpatient Programming.                                                                                                                              |                                             |                                          |                                              |
| <b>8. TOTAL PROGRAM BUDGET</b>                      | <b>\$</b>                                                                                                                                                                                                                                                                                    | <b>310,655</b>                              | <b>165,593</b>                           | <b>145,062</b>                               |

**Cost per Program Participant:** \$ 8,629

I understand that this document in its entirety is incorporated into my grant Agreement with the Lexington-Fayette Urban County Government.

**Authorized Representative** (typed name): Jerod M. Thomas

**Title:** President, CEO, Shepherd's House, Inc.

**Date:** 04/19/2019