

PURCHASE OF SERVICE AGREEMENT

THIS PURCHASE OF SERVICE AGREEMENT (hereinafter "Agreement"), made and entered into on the 27th day of ^{August} MONTH 2021, 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 **NAMI LEXINGTON**, with offices located **498 GEORGETOWN STREET, LEXINGTON KY, 40508**, (hereinafter "Organization").

WITNESSETH

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

1. Government hereby retains Organization for the period beginning on **July 1, 2021**, and continuing for a period of one (1) year from that date unless within that period Government gives the Organization thirty (30) days written notice of termination of this Agreement in which case this Agreement shall terminate thirty (30) days from the date notice is given to the Organization.
2. Government shall pay Organization the sum of **\$50,000** for the services required by this Agreement, said services being more particularly described in the Addendum attached hereto and incorporated herein by reference as Exhibit A, one-half (1/2th) of which shall be payable in September 2021 or shortly thereafter upon receipt of an invoice, with one-half (1/2th) payable in January 2022 or shortly thereafter upon receipt of an invoice and the first six month detailed program report., **The first invoice required by this section shall be submitted by September 17th, 2021. The second invoice and the first six month detailed program report shall be due January 21st 2022. A detailed program report shall be submitted by April 15th, 2022. A year-end program report shall be submitted by July**

22nd, 2022. Failure to submit the April 2022 program report and the July 2022 year-end program report shall result in the Organization repaying one-half (1/2th) of total funds provided under this Agreement. 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.

3. 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.

4. Organization shall perform all duties and services included in the 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

5. 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.

6. 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.

7. 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.

8. 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.

9. 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.

10. 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.

11. 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.

12. This instrument, and the Addendum 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.

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

For Organization:

NAMI Lexington
498 Georgetown St., Ste 100
Lexington KY 40508

Attn: Phill Ganning

For Government:

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

Attn: Kacy Allen-Bryant, 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

NAMI LEXINGTON

BY: Linda Gorton
Linda Gorton, Mayor

BY: Phill Ganning
Title: Executive Director

ATTEST:

Mackenzie Sommer
Clerk of the Urban
County Council



Lexington-Fayette Urban County Government

Request for Proposal

The Lexington-Fayette Urban County Government hereby requests proposals for **RFP #10-2021 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 **May 14, 2021**.

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 **April 30th, 2021 at 10:00AM EST** via Zoom (see section 3.1 in Scope of Work document for meeting link).

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, Phillip Gunning, and after being first duly sworn, states under penalty of perjury as follows:

1. His/her name is Phillip Gunning and he/she is the individual submitting the proposal or is the authorized representative of NAMI Lexington, 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.

Phillip Manning

STATE OF Kentucky

COUNTY OF Madison

The foregoing instrument was subscribed, sworn to and acknowledged before me by Phillip Manning on this the 13th day of May, 2021.

My Commission expires: 4/30/2022

Derm C. Wilcox ID#600178
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:

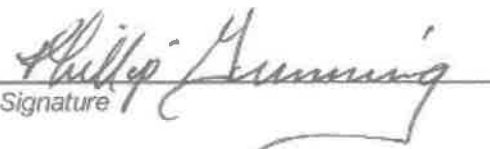
The Secretary of Labor may investigate the employment practices of any Government contractor or sub-contractor to determine whether or not the contractual provisions specified in Section 202 of this order have been violated.

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.


Signature


Name of Business

WORKFORCE ANALYSIS FORM

Name of Organization: NAMI Lexington

Categories	Total	White (Not Hispanic or Latino)		Hispanic or Latino		Black or African-American (Not Hispanic or Latino)		Native Hawaiian and Other Pacific Islander (Not Hispanic or Latino)		Asian (Not Hispanic or Latino)		American Indian or Alaskan Native (not Hispanic or Latino)		Two or more races (Not Hispanic or Latino)		Total	
		M	F	M	F	M	F	M	F	M	F	M	F	M	F	M	F
Administrators		2													1	2	1
Professionals																	
Superintendents																	
Supervisors			4				1										05
Foremen																	
Technicians																	
Protective Service																	
Para-Professionals		5	8		1		1										5 10
Office/Clerical			2														2
Skilled Craft																	
Service/Maintenance																	
Total:		7	14		1		2								1	7	18

Prepared by: Phillip Gunning, Executive Director Date: 5, 12, 2021
 (Name and Title) Revised 2016-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.

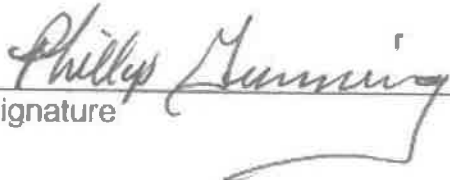
B. At Will Termination

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

5-12-2021
Date



PROPOSAL SUBMITTAL FORM

Agency Information

Agency Name: NAMI Lexington

Mailing Address: 498 Georgetown Street, Suite 100 Lexington KY 40508

Street Address: 498 Georgetown Street, Suite 100 Lexington KY 40508

Phone: (859) 272 - 7891

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 Silver Seal of Transparency or higher profile on GuideStar.org?

Yes No

Note: Agencies **must** have a Silver Seal of Transparency or higher profile with GuideStar.org to be eligible for ESR funding.

Website Address: http://namilexington.org

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

Phill Gunning, Executive Director 859-539-1918 pgunning@namilex.org

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

Phill Gunning, Executive Director 859-539-1918 pgunning@namilex.org

Program Information

Name of program for which funds are being requested: Participation Station

Total Funding Amount Requested: \$ 82,310

RFP #10-2021 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.

The Covid pandemic shined a relentless light on what health advocates have known all along. There are and were debilitating gaps in our healthcare delivery system before Covid. Disparities among Minority Communities and underserved areas such as Serious Mental Illness (SMI) and Substance Use Disorder (SUD) were revealed to be more fragile and extreme than imagined. Evidence mounts that we are failing our most vulnerable. The 2020 Mayor's Commission for Racial Justice & Equality laid open discrimination, language, cultural, access, poor experiences and trust barriers as roots of health inequities. One in five people experience mental health issues. SMI and SUD respect no demographical boundaries.

In 2020, drug overdose deaths rose 42% in Lexington after a trend downward, 51% of citizens 18-45 reported depression and 58% reported anxiety and panic attacks. WARMLINE calls have increased by over 68% and calls to our office 50%. We have experienced a 30% increase in calls from parents worried about their children's mental health. Suicide rates are lower but suicidal ideation, gun violence and trauma are markedly increased adding a toll on mental health and Community wellbeing.

Participation Station was designed as a no/low barrier program to address the very issues outlined above. The program is peer to peer, the ultimate in cultural competence. Services are free, referrals are not required. Peer navigators break down barriers, working alongside participants through challenging systems of care, including social security, insurance, housing, transportation and other complex government programs.

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.

PS provides a trusted environment accessed by many partner organizations involved in mental health and substance use care as well as offering a variety of services designed to engage and assist folks as they 'recover through' SMI and SUD.

1. System Navigators - Help participants identify barriers and issues interfering with their recovery. Helping in areas of housing, food, GED, mental and physical health treatment, legal issues, discrimination and addiction supports. We seek additional supports to fund our multicultural team (MAC) to provide increased outreach to minority communities.
2. Evidence Based Support Groups - Emotions Anonymous, NAMI Connections, Double Trouble in Recovery (DTR) for co-occurring SMI/SUD, LGBTQ+ are held weekly at PS.
3. Educational Tracks – 5 each 45-minute groups offered Monday-Friday. Based on the Psychiatric Rehabilitation Model for recovery, gives teachers and participants (all peers) a sense of meaning and purpose as they build knowledge and skills.
4. The WarmLine – Evidence based telephonic support and SMI/SUD resource line offered 1-4p.m. Monday - Friday and 5-9p.m. Monday – Saturday. Provides much needed support during isolation, a listening ear during times of vulnerability.
5. PS serves as a touchpoint for Community partners to interact with their clients in a familiar setting. Case management, therapy and medication management are typically provided. PS provides inherent social components, daily structure and routine, all invaluable recovery supports. Program participation often leads to employment, self-direction and sufficiency

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.)

Individuals with SMI/SUD can be slow to develop trust due to symptoms and experiences. This tendency is even more pronounced in minority participants and can be a formidable barrier to participating in treatment. This reality was demonstrated throughout the report from the 2020 Mayor's Commission for Racial Justice & Equality. Participation Station leadership recognizes this and incorporates developing trust and culturally competent, sensitive interventions with all participants. The philosophy of the program directs that there are no formal eligibility requirements for participating in our services (no barrier). All services are free of charge and open to any adult in Fayette County.

Participants must agree to abide by the basic rules of the program, treating others with respect, no drug or alcohol use at the program, and no threats or physical violence. This has allowed the program to be accessible and open to individuals who were perhaps too ill or intimidated to function in other more traditional programs. We have found that when participants are not required to participate in a particular program and are welcome to "take their time" in becoming involved, they choose to because of the supportive environment and their personal empowerment to self-determine the intensity of services that they utilize.

Individuals teaching tracks at the program agree to volunteer an hour for each track they are paid to lead. We have found that "getting a check", has done wonders in improving self-esteem and self-image for individuals with little or no successful work history.

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.

The Center for Medicare/Medicaid Services states, 'Peer support services are an evidence-based mental health model of care which consists of a qualified peer support provider assisting individuals with their recovery from mental illness and substance use disorders. CMS recognizes that the experiences of peer support providers, as consumers of mental health and substance use services, can be an integral component in a State's delivery of effective treatment.' SAMHSA states 'Research has shown that peer support facilitates recovery and reduces health care costs. Peers also provide assistance that promotes a sense of belonging within their community. The ability to contribute to and enjoy one's specific community is key to recovery and well-being. Another critical component that peers provide is the development of self-efficacy and empowerment through role modeling and assisting peers with ongoing recovery through mastery of experiences and finding meaning, purpose, and social connections in their lives.'

Participation Station utilizes current SAMHSA toolkits for Consumer Operated Services to assure that the array of services offered are all evidence-based best practices. The Wellness Recovery Action Plan (WRAP) – an evidence-based practice for relapse prevention is a great example of services offered. The Fidelity Assessment Common Ingredients Tool (FACIT) is administered annually to assure fidelity with the Peer Support Evidence-Based Practice model. Additionally, the leaders at Participation Station utilize the Psychiatric Rehabilitation model from the Boston University Center of Rehabilitation and Recovery as the model for educational/recovery programming. This model is the pre-eminent source of recovery programming in the country.

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?

"A process of change through which individuals improve their health and wellness, live a self-directed life, and strive to reach their full potential." This is the definition of Recovery provided by the Substance Abuse and Mental Health Services Administration (SAMHSA) and the philosophy behind Participation Station. Our peer support program strives to walk beside individuals in their recovery journey by offering information, support and lived experience from their own recovery. Measurement of desired outcomes is completed employing the participant's own perception of their recovery. Overall program outcomes are determined using the Peer Outcomes Protocol® which is a well-researched and reliable tool for assessing peer support outcomes. This survey is done quarterly with a 100% sample of voluntary participants attending in a randomly selected week.

Attending educational or support groups, getting assistance with Social Security issues, receiving information regarding community resources, helping prepare for the GED, or calling the Warmline are each considered individual services. Participant perception surveys are collected following education and life-skills tracks, warmline calls, and system navigation services. The service is considered completed upon collection of that survey. The individual is not, however, discontinued or "graduated" from the program. Many of our participants attend regularly for a period of time, and then "check in" periodically for support or to just hang out with their friends. The philosophy of the program is that recovery is not a linear trajectory but is instead a series of experiences that help an individual live a more meaningful, fulfilling life of their choice.

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.)

This model is education based and supports and focuses on four basic human skill areas of Living, Learning, Working/Productivity, and Socialization/Support; individuals with SMI/SUD engage with Peer Support Specialists in actively learning, developing, and practicing vital, real - life skills to enhance their recovery. This approach provides a uniquely empowering springboard of self-directed opportunities for individuals to return to productive, healthy, and most importantly, meaningful lives and goals of their choosing. In data from our Peer Outcomes Protocol surveys, an overwhelming majority (78%) believed that the goals they had in traditional treatment programs were really the goals of their therapists/counselors/physicians. They identified this as a very specific reason for many failed prior attempts at recovery. Many were never asked about what they wanted or needed in their life.

Our Participants' self-determined goals have included: maintaining sobriety, getting a job, improving their relationship with their family, getting their children back, learning parenting skills, learning how to budget, learning how to deal with stress, learning more about their diagnosis, buying a car, living independently, having healthy friendships, re-establishing a Faith Community, getting a GED, and improving their mental and physical health. The most important change we see in individuals is when they acquire HOPE, PURPOSE and BELIEF in their own power to change and manage their life around their illness or addiction. The Community benefits whenever citizens are healthy contributors and co-creators of positive initiatives. Resources are saved and lives are not lost in dismal statistics and systemic recidivism.

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.**

Participation Station strives to assist participants in any area of their lives where they may be struggling, rather than just focusing on reducing symptom load. Indicators have been developed for the desired outcomes of greater self-reliance and evidence of progress toward recovery to assure the program's accountability and effectiveness. Information gathered from our indicators is summarized monthly. System navigation data is analyzed in terms of programmatic outcomes measured by number of services provided, while outcomes for the participants are measured through the Peer Outcomes Protocol surveys where we do a 100% sample of voluntary participants on a quarterly basis and a 100% sample of individuals who receive system navigation services.

All data is analyzed for any trends or patterns, any significant variation, or the need to further explore the data. Pivoting to online and telephonic services, Participation Station's Leadership Team continued to meet regularly to address scheduling and program issues. These meetings are where the team analyzes program data and makes decisions regarding the need for changes. Our data has been utilized consistently by the Leadership Team to: 1. increase the hours and number of Warmline calls during the COVID-19 pandemic (68% increase compared to pre-pandemic levels), increase the number of educational groups held daily (exceeded our FY21 goal in only 3 Quarters), doubled System Navigator availability, and increased outreach activities to the community (also exceed our goal in only 3 Quarters). The overall participant satisfaction rate continues to be above 97%.

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.

Participation Station's experienced and long-tenured staff (average tenure 8.9 years) identify as having lived experience with mental illness and /or substance use disorder; are certified Peer Support Specialist in recovery for a minimum of two years, demonstrate thorough knowledge of peer support programs; exhibit a high degree of cultural competence working with diverse groups of participants, providers, and stakeholders of mental health / substance use services with dignity, respect, and compassion.

Administrative Coordinator - Valerie Mudd - Administrative management, Community liaison, Personnel supervision, and Policy and Financial oversight.

Multicultural Action Committee Coordinator – Jennifer Giles – African American Community liaison, Veteran, NAMI Signature programs trainer, Court Appointed Special Advocates volunteer, Eastern State Hospital Peer Support Team Coordinator, Fayette Mental Health Court family services Coordinator.

Programs / Trainings Coordinators - Sarah Brumfield / Julie Joseph - Implement, coordinate and evaluate programming; elicit feedback and input from participants, providers, and stakeholders; provide oversight of staff conduct, facilitate conflict resolution, training and continuing education.

Environmental Coordinator - Bonnie Tracy - Supervises client participation in facility cleanliness and safety while providing

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.

Participation Station (PS) supports the community's comprehensive response to Wellness & Safety by providing programs and services that are evidence-based, trauma-informed, and culturally competent.

PS has both formal agreements and working relationships, sharing resources with and from existing and new community partners including:

Justice-oriented partners

Domestic Violence / Rape Crisis centers

Health, Behavioral Health and SUD providers / Hospitals / programs

The Faith Community

Homelessness and Housing organizations

Food security partners

Employment services

Government agencies

Universities / Colleges / Career Centers

PS partners with:

Carnegie Center

OWL

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? How does your proposal support or enhance the recommendations made by the Mayor's Commission on Racial Justice & Equality?

Per the 2020 Mayor's Commission on Racial Justice and Equality, NAMI Lexington/PS is compelled to embrace the broadest definition of inclusion and non-discrimination. We offer the following attestation to these existing examples: PS programming is FREE, avoiding economic burden. PS does not bill therefore avoiding insurance barriers. Services are available to any adult in Fayette County. PS serves individuals with mental illness/substance use disorders but disclosure is not required to participate.

The paramount goals are engagement, inclusion, safety and building trusting relationships. We reverently embrace our Non-discrimination Policy, "NAMI Lexington shall actively recruit, engage and serve members from every race, culture, ethnicity, age, religion, socio-economic status, sexual orientation, gender, and disability and shall not discriminate against any person or group in the requirements for inclusion, provision of service or support, or in its policies or actions." PS offers inherent cultural competence due to its very nature; providing recovery services to people with serious mental illness (SMI) and substance use disorder (SUD) from individuals who also have SMI and/or co-occurring SUD.

We strive for interpreter services when no bilingual peer is available and are handicapped accessible. NAMI Lexington/PS is in proximity to bus routes, and service providers, including Wheels. NAMI/PS locations are chosen to be prominent in areas targeted for gentrification. Funding for our MultiCultural Action Committee/(MAC), Navigators and WarmLine, would create tools and ability to reconcile racism issues, institutional bias, discrimination and barriers to building trust and increase understanding in care delivery.

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 2022. It requests the allocation of all projected funding amounts (City and non-City sources) for anticipated FY 2022 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 **NAMI Lexington**

Program Name **Participation Station**

FY 2022 (July 1, 2021-June 30, 2022) Total Program Budget

		Column A Total Program Budget [= B+C]	Column B ESR Grant Funding Request	Column C Non-ESR Program Funding [A-B]
1. Staff Salaries for Program	# of Employees:			
Full-Time (FTE)		0		
Part-Time	19	97,168	58,968	38,200
Total Salaries		97,168	58,968	38,200
3. Consultant Services	\$	2,897	724	2,173
<i>list details</i>	Accounting, payroll and payroll liabilities, tax returns, external audit, legal Services, state filing fees, document review, *ESR request is 25% of total rounded to nearest \$10			
4. Space/Facilities	\$	48,214	12,054	36,160
<i>list details</i>	865 and 869 Sparta Ct. Rent, Utilities, Janitorial service / cleaning supplies, Lawn care / Parking lot, sidewalk snow removal, Building maintenance /repairs *ESR request is 25% of total rounded to nearest \$10			
5. Operating Expenses	\$	26,700	6,675	20,025
<i>list details</i>	Office supplies, Telephone / internet, postage, printing and copying, books, subscription, reference, org. dues Travel - jail visits, participant transport to appointments / services. Staff development - Conferences, trainings, Business and D&O insurance, external software services *ESR request is 25% of total rounded to nearest \$10			
6. Scholarships / Stipends	\$	49,608		49,608
<i>list details - numbers & amounts</i>	Stipends - Peer to peer workshops 1,500 workshops annually / Support Group facilitators 500 groups annually / In Our Own Voice - 45 presentations annually / - Adult Peer Support Specialist training and certification - 5 Scholarships / year *We are not requesting support from ESR this year for this category			
7. Other	\$	0		
<i>list details</i>	ESR funding request is to support System Navigators / Warmline Peer Supporters / Multicultural Action Outreach personnel and 25% of facility and operating expenses only.			
8. TOTAL FY22 PROGRAM BUDGET	\$	224,587	78,421	146,166

Cost per Program Participant: \$ 359

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): Phill Gunning

Title: Executive Director

Date: 5/12/2021