

Request for Qualifications
and
Solicitation for Offers

for assistance with the

**Administration of the Louisiana
Main Street Recovery Program**



DATE ISSUED: Friday, June 12, 2020

DATE REVISED: Tuesday, June 16, 2020

RESPONSES ARE NOW DUE BY FRIDAY, JUNE 19, 2020 at 4:30 pm CDT

Table of Contents

Project Overview and Statement of Need	3
Authorization to Solicit Offers	4
Instructions to Respondents	4
Scope of Work Components	6
Intake of new grant applications online	6
Ability to modify saved, but not yet submitted online applications and other system interactions	7
Prospective Grant Application Review Work	8
Payment Issuance and Tracking	8
Customer Service - Call Center Operations	9
Analytics and Reporting	9
Information Security & Data Privacy Concerns	10
Information Security & Access Control	10
Data Sources (Information needed for planned system)	11
Data Privacy	11
System Security Plans	11
Critical Timelines	11
Program Marketing Plan	12
Program Success Criteria (Desired Project Outcomes)	13
Questions for Respondents	13
Additional Information Needed	14
Pricing Guidance	15
Message from the Treasurer	16
Appendix A - Enrolled Version of SB-189	17
OFFER FORM (Appendix B)	18
Appendix C - Defined Application Questions and Attestation Verbiage	19
Appendix D - Check Requisition File Format Specifications	26

Definitions of terms used in this document

RFQ/SFO - means this document and any subsequent published versions of it.

MBE - means minority owned (controlling interest), or female owned, or veteran owned

IP - means Internet Protocol

URL - means Uniform Resource Locator, or world wide web address

SSL - means Secure Sockets Layer

SFTP - means Secure File Transfer Protocol

API - means Application Program Interface

1. Project Overview and Statement of Need

The purpose and objective of this RFQ/SFO is to identify (a) prospective professionals and professional organizations who wish to be considered as potential contractors, and (b) to solicit input from them, and (c) to obtain offers from those interested and qualified experts to assist the State of Louisiana, Department of Treasury with administering a newly created grant program, as promulgated by recent law and specifically herein referred to as the MAIN STREET RECOVERY PROGRAM (herein referred to as “MSRP”). <https://www.legis.la.gov/legis/ViewDocument.aspx?d=1179175>.

This program is in direct response to the COVID-19 pandemic caused by the Coronavirus. It is targeted at Louisiana-owned small businesses that need financial help. The program will initially consist of advertising and marketing to get eligible small businesses to make online applications to obtain grant money that has been made available to the State via the Coronavirus Aid, Relief, and Economic Security Act (“CARES Act”), the amount of up to \$300 million. <https://www.congress.gov/bill/116th-congress/house-bill/748>.

We anticipate a high volume demand for services to include customer service call and email management, grant application review and award recommendation decisioning, payment issuance, and other related program services. We need help to service the anticipated demand levels.

In accordance with Senate Bill 189 of the 2020 Regular Session of the Louisiana Legislature, the Treasurer, at his discretion, and with anticipated input from his advisory committee, may choose a single contractor to administer a substantial portion of this Program (as defined herein and with details yet to be fully defined), OR multiple contractors may be selected in a “best of breed” contracting model. The primary criteria to be utilized in the selection process is who can demonstrate the highest likelihood of helping the MSRP achieve the success criterion defined herein (see **Section 8**) in the most expedited manner, with the highest quality of service methods, and with an overall competitive proposed cost.

The respondent must demonstrate their ability to adapt to continued compliance change demands with federal and state laws, rules, guidance, and official legal opinions throughout the service term of this program.

2. Authorization to Solicit Offers

~~In anticipation of the~~The enactment of Senate Bill 189 (SB 189) of the 2020 Regular Session of the Louisiana Legislature, ~~we proceed today with this RFQ/SFO as if it will become enacted only because of~~ drives the urgent nature and need to get these funds distributed without unnecessary delay. However, we must caution that ~~if this bill fails to become law,~~ or if changes in the state or federal laws impact this new law, there may not be a need for one or more of these services (described herein) and that a respondent's investment in time and necessary costs to respond to this solicitation will not be reimbursable or in any way become compensable by the State.

The Treasurer of the State of Louisiana envisions a plan to administer this program by using a combination of existing state resources within his department, those within other departments or state agencies, and with the help from private sector organizations that are so willing to participate in this project under one or more service contracts in order to achieve program success.

3. Instructions to Respondents

Respondents are required to read the enrolled or enacted version of SB 189 of the 2020 Regular Session of the Louisiana Legislature (see **Appendix A** - SB NO. 189 - enrolled version). Respondents are also required to read and understand to a high or expert degree the Federal Coronavirus Aid, Relief, and Economic Security Act ("CARES Act") and particularly Section 5001 and how it and subsequent numerous amendments and guidance bulletins that may be found in the Federal Register or elsewhere found that have been issued and thus apply or relate to defining eligible reimbursable expenses related to COVID-19, and also what defines an eligible business entity.

Respondents are expected to describe in their written submission in response to this RFQ/SFO, and potentially in person or by videoconference, how their organization would assist the Louisiana State Treasurer with fulfilling his obligations and duties in the proper disbursement of the up to \$300 million in appropriated funds only to eligible Louisiana small businesses who have eligible expenses or losses directly resulting from the COVID-19 pandemic.

Determination of the selected proposer's responsibility relating to this RFQ/SFO shall be made according to the standards set forth in LAC 34:V.2536. The State must find that the selected proposer:

- Has adequate financial resources for performance, or has the ability to obtain such resources as required during performance
- Has the necessary experience, organization, technical qualifications, skills, and facilities, or has the ability to obtain them
- Is able to comply with the proposed or required time of delivery or performance schedule
- Has a satisfactory record of integrity, judgment, and performance; and
- Is otherwise qualified and eligible to receive an award under applicable laws and regulations

Respondents should ensure their proposals contain sufficient information for the State to make its determination by presenting acceptable evidence of the above to perform the services called for in this RFQ/SFO and any resulting services contract. Your company's financial information or trade secrets should be clearly marked as "PROPRIETARY & CONFIDENTIAL" so as to assist with document redaction efforts should your proposal material be subject to L.R.S. 44:1 et seq., *the Public Records Law*. However, it would be improper to mark the entirety or substantial portions of your submitted proposal with this label. You should not mark your "Offer Form" as confidential.

All respondents must complete the "[Offer Form](#)" (referred to as [Appendix B](#)) which must list a contact person who has full authority to commit the respondent's organization to all terms and conditions and to negotiate on behalf of the responding organization. Additional information needed on that form is proposed pricing and date you would be ready to go live.

The Treasurer's staff is expected to begin evaluating responses received on or after Monday, June 15th. This is a highly time-sensitive project, therefore, we are **purposely leaving the response deadline as open-ended setting the deadline for responses to be June 19, 2020**. However, one should anticipate that the Treasurer, as required by this legislation, will be presenting a high-level plan at the Joint Legislative Committee on the Budget (herein referred to as "JLCB") meeting at the State Capitol on or about June 19th. Ideally, in his presentation to that Committee, his plan outline will show which respondents as "subject matter experts" have been responsive, selected, or have been identified through this RFQ/SFO process as top contenders and thus are or might be expected to be in contract negotiations to provide the services described herein.¹

¹ It would be prudent for respondents and potential respondents to check the Treasurer's official website or contact the office at the above established email account to obtain information on the selection process so that if a contract has been awarded already time is not being spent on a response for that work component.

Respondents are to **email** their response to this RFQ/SFO. It must be in the Adobe PDF file format and sent to MSRP@treasury.la.gov. There is a 20 Mb file attachment limitation which may necessitate your needing to send your response in multiple email messages. We ask that you avoid using file compression tools unless you are sure the State will be able to decompress your attachments.

Respondents should expect a reply confirmation email message once your offer has been received, loaded to the appropriate server location, and tested for readability. No visitor appointments will be scheduled relating to this project. No hard copies of your materials will be accepted at this time. Respondents may email questions with the expectation that those questions and the answers provided could be published to the Treasurer's website to give all respondents a chance to see them.

4. Scope of Work Components

The Treasurer's staff has identified a technology solution offered by an existing contracted software services vendor. Respondents are welcome to present an alternative solution that includes the use of their own technology and business application software, so long as it can be demonstrated to have similar capabilities including the required minimum functions described in this section and can ALSO satisfy requirements that it can scale to meet demand (IP traffic), can be quickly and properly debugged, can be enhanced in a manner that is faster than considered typical, and can also address vulnerabilities and cyber threats that many systems face today:

4.1. Intake of new grant applications online

- 4.1.1. Need to stand up a static URL physically hosted within the United States
- 4.1.2. Need for the site visitor to read written web browser presented content (which we author or approve) so as to help them ascertain if their business qualifies for a grant by reading and understanding what the eligibility requirements are as well as what information they might need to gather in advance of initiating the application process (clicking the button)
- 4.1.3. Need for a secure, highly available, easy to use web portal
- 4.1.4. Ability for a user to register and create a new user account
- 4.1.5. Ability for an authorized user to initiate an application on behalf of a Louisiana domiciled small business with certain validation points to avoid fraudulent claims being submitted (see [Appendix C - Defined Application Questions and Attestation Verbiage](#))
- 4.1.6. Need for a logical web form fill and workflow with branching and trigger points during a wizard style information capture and validation process (estimate between 100 and 200 data elements among multiple tables in a

- modern hosted secure database) with the potential for integration with at least two other systems via common API methods or web services
- 4.1.7. Need for (applicant) users to then do an on screen application review, have edit capabilities, attestation/signature, perform secure documentation uploads, then have the system send email confirmation with a token or control number issuance. Otherwise offer a “save here” option to return later capabilities

4.2. Ability to modify saved, but not yet submitted online applications and other system interactions

- 4.2.1. Provide for the user who created the online application now wishes to come back and edit those fields which are editable, complete and submit the application, check the status of a submitted application, or upload more supporting documentation relative to a specific application
- 4.2.2. Provide for typical login process, password management, and help tools for self service
- 4.2.3. Input and validation of record search using assigned token obtained from previous submission step as found in the confirmation email or by record affiliation with their user ID. Specifically disallow users to see applications not created by their ID
- 4.2.4. Upload capabilities of supporting documentation stored as binary objects with limits on file size and file types as found typically within the industry practices (like whitelist allowed file extensions)
- 4.2.5. Certain field level changes allowed, but with change auditing and logging capabilities that can be viewed from an admin level persona
- 4.2.6. Status explanation online in plain English to reduce customer service calls
- 4.2.7. One user to many applications supported
- 4.2.8. Need for approved programmatically scripted record level updates using approved methods for operational maintenance of the database

The Treasury wishes to reiterate that a technology solution has been identified prior to issuing this RFQ/SFO and there is a belief that it will be sufficient for the anticipated needs of the program. Therefore, assume that your organization could have users who would be using that system, provided at no charge to you by the Treasurer's Office, to perform the services described below, particularly in Sections 4.3 and 4.5. Alternatively, a respondent could propose a bundled solution that might have all the services needed for the project, but perhaps except those described in 4.5 in which case another party would be contracted to do the Call Center work which would require that primary service provider offering their bundled solution to allow access to their information systems as needed by the Call Center vendor.

4.3. Prospective Grant Application Review Work

- 4.3.1. Admin level access with a user persona with rights and abilities to search, select, and review applications including viewing uploaded supporting documents
- 4.3.2. Ability to work a queue of pending applications ranked by a potential preference value or by date
- 4.3.3. Ability to search for and identify duplicate applications
- 4.3.4. Ability to enter and save certain information such as notes which are to be user, date, time stamped
- 4.3.5. Ability to enter recommended award amounts to be paid and potentially a worksheet that captures line item values to result in a sum and support for making additional subsequent claim amounts on the same application record, but with logic to never exceed a set maximum benefit value
- 4.3.6. Ability to change or promote the status value of the application record
- 4.3.7. Ability to email the contact to question the application information if needed
- 4.3.8. Provide daily, weekly, monthly, and inception to date key performance metrics on volume of work performed, backlog, throughput, and other meaningful data driven reports with weekly action plans from management for improvement
- 4.3.9. Define a plan and describe your capabilities to scale your team size and their supporting resource needs, and/or work hours up or down to meet varying demand
- 4.3.10. Ability to ensure compliance with requirements of H.R. 748 "Cares Act" of the 116th Congress and SB 189 of the 2020 Regular Session of Louisiana Legislature

4.4. Payment Issuance and Tracking

- 4.4.1. Upon application award amount approval from the selected vendor, the Treasurer's office intends to be responsible for payment (check) issuance of the award to the recipient via bank issued check by the State's depository bank of record
- 4.4.2. The Treasurer's office will be responsible for escheat matters, and recognizes that it may get questions about if, when, and where a check issued was cashed or deposited. If necessary, this office will provide the required evidence or a cleared item which is obtained from the bank
- 4.4.3. Management of and servicing needs for check void, stop-payment, re-issuance, refund accounting, and related banking matters

- 4.4.4. Ability to export data from the Application Management System utilized into a Treasury Office specified file format for check generation (see [Appendix D - Check Requisition File Format Specifications](#)) and the ability to mark the record accordingly after the batch is created
Encryption of that file to prevent tampering is required by agreed upon methods. Need for control reports by the process to be emailed. (These services to be provided by systems provider)

4.5. Customer Service - Call Center Operations

- 4.5.1. Providing scripted and non-scripted Help Services to applicants and potential applicants with telephone and email questions about the program (chat bot technology may also be useful but not required)
- 4.5.2. Providing technical Help Services to applicants with portal access and use questions (via calls, online chat, emails)
- 4.5.3. Answering Application status questions from the customer (via calls and emails)
- 4.5.4. Providing for a decision appeals process (via form provided to customer)
- 4.5.5. Ability for web content change recommendations and updates to be initiated and validated by contractor (coordination of change effort by multiple parties)
- 4.5.6. Incident escalation policy or guidelines to provide supervisory level help to a caller that requests escalation
- 4.5.7. Provide daily, weekly, monthly, and inception to date call volume, hold times, duration times, and other industry standard metrics by call type.
- 4.5.8. Provide a plan for continuous improvement, quality assurance, initial and ongoing training for customer service representatives handling these customer service calls and emails.
- 4.5.9. Provide for meaningful data driven reports (metrics) with management's action plans for improvement on a weekly basis
- 4.5.10. Define a plan and describe your capabilities to scale your team size and their supporting resource needs, and/or work hours up or down to meet varying demand
- 4.5.11. Present a normal business hours solution versus a 12 hour per day or per weekday solution and give your recommendations
- 4.5.12. Give thoughts on an in-person assistance offering for business owners who make an appointment for in-person help with making their MSRP application

4.6. Analytics and Reporting

Note: A solution for this component has been identified by the Treasurer's staff and is already in place and used on another project, but it needs some relatively

minor configuration work to get it operational for this MSRP project. If a vendor's proposed application management system is going to be utilized instead of the already identified Application Management system, then that vendor system must integrate with this existing "Treasury's Public Transparency"² system (at their expense) or else have a similar business intelligence /reporting system that is effectively equivalent in features and functionality and available 24/7 to the Treasurer's designated staff for MRSP performance reporting as is required by the legislation.

- 4.6.1. Objectives are to show daily metrics on the key performance indicators of the Program so as to provide:
 - 4.6.1.1. Transparency to the public on volumes of applications and rates of review and payment decisioning, amounts awarded, paid
 - 4.6.1.2. Show who has received and what amount and when (TBD)
- 4.6.2. Requirements for Internal Reporting
 - 4.6.2.1. Distinguish applications by business address parish, request amount, awarded amount, paid amount, dates for trend analysis, MBE versus non, mean time between receipt of completed application and decision to award, etc.
 - 4.6.2.2. Spend or burn rates in comparison to applications received
 - 4.6.2.3. Ad hoc report development, save, and refresh abilities against live data

5. Information Security & Data Privacy Concerns

Respondents providing any IT solution in their offering should address the need for each of the following areas of concern to the level of specificity you feel is needed to convey your intentions and your capabilities to mitigate known risks associated with handling non-publicly available data and also with preventing misuse of these systems.

5.1. Information Security & Access Control

- 5.1.1. Source data to be collected by the Treasurer's office IT staff securely from its origins on a routine and periodic basis and logged, then encrypted and sent to the contracted destination party (system provider) via SFTP or other acceptable method for loading into system tables with confirmation after completion
- 5.1.2. Treasurer designated IT staff to have the ability to create and suspend admin level user accounts on the host application tracking system directly OR by order to the host application support team with rapid turnaround.

² <https://stories.opengov.com/latreasurer/published/5mrQu6ZH9>

- 5.1.3. Ability to generate usage reports by user from the host application for security and management purposes

5.2. Data Sources (Information needed for planned system)³

- 5.2.1. Necessary - Department of Revenue and Taxation (for FEIN, SSN, Name, Address, Parish, and Line value on 2018 and 2019 return, etc)
- 5.2.2. Likely - Workforce Commission (for, UIAN, employee count info and NAICS code)
- 5.2.3. Possible - LDI (for businesses with Business Interruption Coverage)
- 5.2.4. Very Likely - Secretary or State (for corporation status and charter #)
- 5.2.5. Possible - Dept of Education (listing of childcare providers)

5.3. Data Privacy

- 5.3.1. The less non-public information put into the system, the better
- 5.3.2. What applicants put into the system that is non-public information needs to be protected and safeguarded and erased and destroyed when it is no longer needed, but only after that information has been properly and securely archived for auditing and other purposes (likely back inside a State owned and controlled environment)

5.4. System Security Plans

- 5.4.1. Secure cloud (public or private, but U.S. hosted), SSL encryption, Database encryption, field level encryption, SFTP with encryption for batch data in motion, authorized personnel only, password management user authentication capabilities, user account monitoring and auditing, change control practices, IT best-practice governance and other quality assurance checks and controls
- 5.4.2. Probable need for third party certification to do a penetration test of the app before go live date for vulnerability assessment

6. Critical Timelines

- 6.1.1. Treasurer presents his plan of action to Joint Legislative Committee on Budget on June 19 (expected). *Ideally one or more prospective respondents have been identified, selected and contract negotiations are underway*
- 6.1.2. Treasurer must announce publicly the program 's start date by July 1 (required by the legislation). **Determination of the official program start date is highly dependent on the capabilities and commitments from the one or more selected respondents.**

³ API and web service capabilities, particularly with the La. Dept. of Revenue and Taxation, are being explored and it looks very promising that system integration with them is optimal. This is their preference over the alternative method of batch data preloading and reloading of tables with structured data.

- 6.1.3. Ideally contracts with one or more organizations have been negotiated and executed by not later than July 3rd
- 6.1.4. In the first 60 days of the program (from the actual launch date), the program must award \$40 million from the fund to qualified (MBE's) minority, veteran, and women owned businesses. **A critical need is to get MBE business owners to make application for grants and to give some degree of preference to these applications so as to achieve this requirement.** This is where the needs defined in Section 7 become critical
- 6.1.5. Applications received must be reviewed within 15 days of receipt and paid or payment generated, ordered, or issued within 5 days thereafter - for a 20 day span of time from date of application acceptance to award and pay, deny the application/grant request, or formally issue delay notice pending necessary documentation or certification from the applicant. That is our "cycle time"

7. Program Marketing Plan

- 7.1.1. Identify and select an experienced marketing and media expert to help inform the public, and specifically Louisiana business owners and to intelligently drive applicants to the website
- 7.1.2. Identify specific strategies to drive MBE owned businesses as quickly as possible
- 7.1.3. To assist the project team members in identifying ways to make the application process for the business owner⁴ as clear and easy as possible or as easy as can be for the application process experience for the end user (customer or business owner or accounting professional making their claim)
- 7.1.4. Ways to measure effectiveness of marketing techniques employed and to have an agile or flexible plan should one or more approaches prove less than effective at driving the traffic and applications submitted upward.
- 7.1.5. Describe your plan with a hypothetical budget that you feel is needed to reach the population of people we are trying to serve and how your plan would use media advertising (print, tv, radio, social media, digital, and other forms you identify) to achieve the success targets defined in **Section 8**, other targets that you suggest, or ones that are yet to be jointly defined?

⁴ Think of the business owner (or his or her agent or accounting professional filing their claim) as our customer. How do we attract them, provide them with a great experience, and leave them with a good impression of their State Treasury and this program?

8. Program Success Criteria (Desired Project Outcomes)

- 8.1. Overall success of the program is defined as having all of the funds available being sent to qualified Louisiana small businesses before the planned end of the program on December 31, 2020.
 - 8.1.1. Success Target # 1 is an on-time launch of the web portal by the Treasurer
 - 8.1.2. Success Target # 2 is 99% web-application (system) availability measured per week 24/7 as reported by external independent monitoring services to be deployed.
 - 8.1.3. Success Target # 3 is achieving a 98% or higher compliance rate for meeting the prescribed timelines for ordering the award checks to be issued and mailed.
 - 8.1.4. Success Target # 4 is to email 100% of the users who created an account and also submitted an application to later be invited to complete an online customer satisfaction survey and to have positive ratings from those who completed the survey.
 - 8.1.5. Success Target # 5 is to have developed a robust solution, using technology, data, people, and available resources to get money expeditiously into the hands of the eligible small businesses with a retrospective audit findings of less than 3% of the funds were improperly awarded, but not due to accidental, willful, or intentional deception by the applicant.
 - 8.1.6. Success Target # 6 is to achieve the mandate of sending out \$40 million in awards to minority, female, and veteran owned small businesses within 60 days of the launch of the program by using an effective marketing strategy.

9. Questions for Respondents

Please answer or complete the following questions or statements on a separate page or section in your response.

- 1. What is the legal name of your business entity?
- 2. Where is the primary business location or headquarters?
- 3. What business presence does your business have in Louisiana already?
- 4. Give a succinct history of your company and describe current ownership structure.

5. Is there minority, female, or veteran participation in the ownership of your company? If yes, please describe and include or be prepared to later document this claim.
6. Approximately how many employees do you have and where are they located?
7. For each component that you are interested in servicing, describe your qualifications to serve as a contractor to the State Treasurer's Office identifying each with the same label herein described above in Section 4 "Scope of Work Components" and/or ALSO Section 7 "Marketing Plan..."
8. Describe any previous (last 10 years) relevant work performed by your company or by the active principals of your company serving a governmental entity with similar size and scope.
9. Describe the person (include resume) who would work with the State on a daily basis on this project who has operational decision making authority. Is that person a current employee or under contract at this time?
10. Describe the size, scope, and contract start and end date of any and all contracts your organization currently has with the State of Louisiana.
11. Do you have any pending claims, actions, or lawsuits against the State of Louisiana, any other state, or any governmental body at this time? If so, please describe in detail the nature of each.
12. Answer YES or NO to the following questions please:
 - 12.1. Are you willing to negotiate your proposed fees with us in good faith?
 - 12.2. Will you be able to provide certificates of business insurance coverage for general liability, workers compensation, errors and omissions, and possibly more as required by the State (in a usual and customary course of business)?
 - 12.3. Will you accept variable compensation, subject to a negotiated not to exceed cap, based on measurable events such as application records created and stored or telephone calls received and answered? An example might be \$10 per call received and recorded or logged on behalf of this program or project.
 - 12.4. Would you be willing to provide your proposed services and get paid for those services on a percentage of the amount each month that is sent to the applicants in the form of program awards?
 - 12.5. Do you understand and agree that any and all written proposal or offers made, oral presentations made, emails sent, or other communications made to the staff of the Treasurer of the State of Louisiana will be considered part of the potential binding services contract that is being contemplated by this solicitation?

13. Additional Information Needed

You are encouraged to present your own vision, idea, and plans of how you would choose to comply with the federal and state laws that are applicable to this MSRP while

we endeavor to put money into the hands of eligible small businesses and help our economy recover as quickly and as efficiently as possible.

We are operating on a very tight timeline and understand this requires an extremely fast turnaround on your part. Please choose speed over perfection. We would prefer you to submit a proposal as quickly as possible rather than taking your time to submit the “perfect” proposal.

Please be prepared to provide us on short notice with at least two (2) business references of current or past relationships which you believe have the most applicability to this project. Expect that we will reach out to one or both.

Given what you know about the project and what you know your capabilities to be, with all given factors, do your best to describe a **realistic date** you firmly believe you will be ready for live operations with the work components you are offering to service. Provide that information to us within the [Offer Form](#) sheet that you include with your response.

14. Pricing Guidance

Describe how you would want to be paid for your services. If possible, but not required, please give more than one option **in addition to your fixed fee or not to exceed amount PER work component**. Potential optional pricing methods may include:

- Cost per event, transaction, or other measurable unit of work
- Cost per hour or day per person per role with concurrence on labor scaling needs
- A One-time setup, mobilization, or initialization fee followed by cost per hour per skillset once the program is launched.
- Cost Plus Overhead and Profit factors with a pro-forma budget to be included and not to exceed caps you set.
- Percentage of actual paid grant awards
- Some other creative, yet understandable method of your choosing
- Using one or more of the above methods, applicants should also submit a total cost, inclusive of all elements.

Know that we understand there are pricing risk factors such as uncertainty of the duration of engagement, scaling capabilities, numerous yet to be known volumes and complexity factors, and also this obvious short notice problem. All of those factors contribute to your cost and price calculations. Recognizing this, it is our intent that you be fairly compensated for your efforts and for the delivered services.

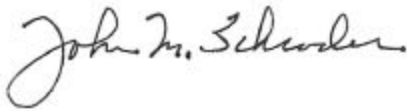
15. Message from the Treasurer

While we love the idea of saving tax-payer money while also getting and delivering the best service in order to achieve our stated success criteria, please recognize that our primary mission is to get help to the small businesses that our legislature wants to financially help as quickly as it can be done in a responsible manner. Any money we can save in administrative costs could potentially be used as grant awards - and that is the spirit and attitude we have.

We are looking for trusted partners who share our vision and who can get the job done!

We promise to do our utmost best in the process of selecting the right organizations to help us achieve our objectives. We will be fair. We thank you for considering this project and for wanting to help the thousands of small Louisiana businesses that need our help.

On behalf of the taxpayers of Louisiana, I thank you for making the time to respond to this request and solicitation and I look forward to working with your company in a partnership model that achieves great success.

A handwritten signature in dark ink, reading "John M. Schroder". The signature is fluid and cursive, with the first name "John" being the most prominent.

John M. Schroder
State Treasurer

Appendix A - Enrolled Version of SB-189

<https://www.legis.la.gov/legis/ViewDocument.aspx?d=1179175>

OFFER FORM (Appendix B)

for the Main Street Recovery Program

Respondent Name: _____

1. For **Work Components “4.1” and “4.2” relating to technology**, for 12 months of continuous and unlimited access (by the State and its contracted vendors) to the technology services we are offering as described in our submission and presentation to the State, our fixed and not to exceed fee is:

(describe)

(and our ready to go live firm date is _____)

2. For **Work Component “4.3 - Prospective Application Review Work”** - our not to exceed fees are presented along with our suggested methods:

(describe)

(and our ready to go live firm date is _____)

3. For **Work Component “4.5 - Customer Service - Call Center Operations”** - our not to exceed fees are presented along with our suggested methods:

(describe)

(and our ready to go live firm date is _____)

4. For **Work Component “4.6 - Analytics and Reporting”** for 12 months of continuous and unlimited access to the technology platform we are offering, our fixed and not to exceed fee is:

(describe)

(and our ready to go live firm date is _____)

5. For **Work Component “7 - Program Marketing Plan”**, our fees follow and are with a not to exceed cap are:

(describe)

(and our ready to go live firm date is _____)

Presented by: Signature, Name, Title, Date, Contact email and phone numbers

Appendix C - Defined Application Questions and Attestation Verbiage

Louisiana Main Street Recovery Fund	
Small Business Registration	data issues
Application Number	system assigned
Application Date	auto filled
State Tax ID #	verified against Revenue data; allow only 1 application per tax ID?
FEIN	verified against Revenue data; allow only 1 application per FEIN?
LDR Account # or SSN	verified against Revenue data
Business Type	drop down list - for profit corporation, LLC, partnership, sole proprietorship
Industry Category	drop down list of NAICS categories; verified against Revenue data
Business Name, Address and Phone Number	filled in by applicant
Authorized Chief Executive Name, Address and Phone Number	filled in by applicant
Is the business organized for profit, performing a commercially useful function, and at least 50% owned by one or more minority individuals? Y/N	may have to self certify and verify on back end
Is the business organized for profit, performing a commercially useful function, and at least 50% owned by one or more women? Y/N	may have to self certify and verify on back end
Is the business organized for profit, performing a commercially useful function, and at least 50% owned by one or more veterans? Y/N	may have to self certify and verify on back end
Eligibility Verification	data issues
Is the business a for profit corporation, a limited liability company, a partnership, or a sole proprietorship? Y/N	verified against Revenue data
Was the business domiciled in Louisiana as of 3/1/20? Y/N	may be able to verify against SOS data using Tax ID
Was the business in good standing w/SOS, if applicable? Y/N	may be able to verify against SOS data using Tax ID

Did the business suffer business interruption caused by closures or restricted operations due to social distancing measures, decreased customer demand, cleaning and disinfecting expenses, and providing PPE? Y/N	not verified at time of application
Was the business at least 50% owned by 1 or more LA residents, whether individual resident citizen or LA domestic business entities? Y/N	not verified at time of application
Did the business file Louisiana taxes for tax year 2018 or 2019, or if an eligible business formed on or after 1/1/20, intends to file Louisiana taxes for tax year 2020? Y/N	verified against Revenue data
Verification Question (e.g., what was your tax amt in tax year 2018)	verified against Revenue data
Did the business have customers or employees coming to its physical premises? Y/N	not verified at time of application
Did the business have no more than 50 full time equivalent employees as of 3/1/20? Y/N	may be able to verify against WFC data using Tax ID
Is the business not a subsidiary of a business with more than 50 full time equivalent employees, not part of a larger business enterprise with more than 50 full time equivalent employees, and not owned by a business with more than 50 full time equivalent employees? Y/N	not verified at time of application
Does the business not exist for the purpose of advancing partisan political activity and does not directly lobby federal or state officials. Y/N	not verified at time of application
Does the business not derive income from passive investments without active participation in business operations? Y/N	not verified at time of application
Did the business receive a U.S. Small Business Administration-Guaranty Paycheck Protection Program loan or a U.S. Small Business Administration Economic Injury Disaster Loan Emergency Advance? Y/N	"Y" would hold the application until after the first 21 days. Not verified at time of application.
Did the business receive and has the business been awarded reimbursement under any other federal program for the expenses that will be reimbursed by a Louisiana Main Street Recovery grant? Y/N	"Y" would hold the application until after the first 21 days. Not verified at time of application.
Did the business receive compensation from an insurance company for the interruption of business? Y/N	"Y" would hold the application until after the first 21 days. Not verified at time of application.

Louisiana Main Street Recovery Fund	
Grant Funds Request	data issues
description of expense (multiple lines)	drop down (business interruptions expenses, cleaning/disinfecting supplies, PPE, other); need guidance to applicant on what business interruption expenses are eligible and what would fall under "other"
expense amount (multiple lines)	amount by category
total amount requested	sum of individual expenses listed above; max \$15k

Louisiana Main Street Recovery Fund
Certification
<u>FEDERAL FUNDING CERTIFICATION AND AGREEMENT TO HOLD HARMLESS AND INDEMNIFY</u>
I, _____, am the authorized representative of _____, (hereinafter "Business Unit") and I certify that:
1. I have the authority, on behalf of the Business Unit, pursuant to the attached Resolution by the Business Unit,1 to request direct payments from the State of Louisiana from the allocation of funds to the Louisiana Main Street Recovery Program Fund, hereinafter referred to as the "Recovery Fund", created by the Louisiana Legislature from federal funds provided to the State of Louisiana from the Coronavirus Relief Fund created by the CARES Act (hereinafter "Act").
2. I understand that the State of Louisiana will rely on this Certification as a material representation in making direct payments to the Business Unit.
3. I acknowledge that the Business Unit will use funds provided by the State from the Recovery Fund, to reimburse those actual expenditures that-
a. Are necessary expenditures incurred due to the public health emergency with respect to the Coronavirus Disease 2019 (COVID-19) ("necessary expenditures");
b. Were not accounted for in the budget most recently approved as of March 27, 2020, for the Business Unit; and

c. Were incurred during the period beginning March 1, 2020, and ending December 30, 2020.²

4. I acknowledge that funds provided as direct payment from the State of Louisiana pursuant to this Certification for eligible expenditures incurred and paid during the period beginning March 1, 2020, and ending December 30, 2020, must be submitted to the State of Louisiana on or before January 31, 2021.

5. I acknowledge that funds provided as a direct payment from the State of Louisiana pursuant to this Certification must adhere to the requirements of the Act as further explained in the official federal guidance issued or to be issued on what constitutes an eligible expenditure. Any funds received from the Recovery Fund by the Business Unit not in strict compliance with the Act and as further explained in the associated federal guidance shall be returned to the State of Louisiana within 14 days of such finding by any executive, administrative, legislative, or judicial body.

1 Business Unit must attach to this document the Resolution which conveys legal authority to the individual signing this *Federal Funding Certification and Agreement to Hold Harmless and Indemnify*.

2 See Federal Guidance and Frequently Asked Questions for a more detailed explanation of eligible expenditures at

<https://home.treasury.gov/system/files/136/Coronavirus-Relief-Fund-Guidance-for-State-Territorial-Local-and-Tribal-Governments.pdf> and

<https://home.treasury.gov/system/files/136/Coronavirus-Relief-Fund-Frequently-Asked-Questions.pdf>

6. I acknowledge that if the Business Unit or its subrecipient(s) fail(s) to timely return the funds in accordance with sections 4 or 5 above, then the State of Louisiana shall have the right to seek judicial enforcement in the Nineteenth Judicial District Court, Parish of East Baton Rouge, for the return of such funds.

7. I acknowledge that, in order to receive funds from the State of Louisiana, the Business Unit shall submit documents sufficient to support each expenditure for which it is requesting reimbursement. These documents may include, but are not limited to, invoices and/or sales receipts. Such documentation shall be produced to the State of Louisiana at the time the Business Unit requests payment of the funds and anytime thereafter upon request by the State of Louisiana.

8. I acknowledge that the Business Unit shall retain documents sufficient to support each eligible expenditure for which it has received funds for a period of ten (10) years from final payment under this program, or December 31, 2031, whichever date is later.

9. The Business Unit is subject to the audit provisions of La. R.S. 24:513.

~~10. I acknowledge that the Business Unit has made, or will make, reasonable efforts to comply with all applicable federal, state, and/or local procurement laws and regulations and has or will use competitive procurement methods for all expenditures submitted pursuant to this agreement.~~

11. I acknowledge that Recovery Fund payments cannot be used to replace lost revenue or offset shortfalls in revenue. That is, revenue replacement is not a permissible use of Recovery Fund payments.

12. I acknowledge that Business Unit has an affirmative obligation to identify and report any duplication of benefits. Funds received pursuant to this Certification neither have nor will be used for expenditures for which the Business Unit has received or will receive any other supplemental funding, whether state, federal, or private in nature, for that same expenditure. I understand that the State of Louisiana has an obligation and the authority to recover, deobligate or offset any duplicated benefits.

13. I acknowledge that expenses reimbursed by business interruption insurance or disallowed by the Act or any guidance or regulation issued by the United States Department of the Treasury shall not be an eligible expense.

~~14. I acknowledge that the Business Unit has customers or employees coming to its physical premises.~~

~~15. I acknowledge that the Business Unit does not exist for the purpose of advancing partisan political activity and does not directly lobby federal or state officials.~~

~~16. I acknowledge that "minority business enterprise" means a small business organized for profit performing a commercially useful function which is at least fifty percent owned by one or more minority individuals, women, or veterans, who also control and operate the business. I acknowledge that if more than one person owns the enterprise, at least fifty percent of the owners must be resident citizens of the State. For the purposes of this item, "control" means exercising the power to make policy decisions and "operate" means being actively involved in the day-to-day management of the business.~~

17. I agree that the Business Unit will indemnify, save, and hold harmless, the State of Louisiana from any and all claims brought against the State for the recovery of funds disbursed by the State of Louisiana to the Business Unit or to any subrecipient(s) that are misappropriated, converted, and/or spent for any purpose other than those authorized by and in accordance with the CARES Act as determined by any executive, administrative, or judicial body of competent jurisdiction.

I certify under penalty of law that I have read the statements included in this application, including the Certifications above, and my statements contained herein are true and correct to the best of my knowledge, information and belief.

Digital Signature
By: _____
Signature: _____
Title: _____
Date: _____
Subscribed and sworn to before me this _____ day of _____, 2020:

Notary Public
My Commission expires _____

Categories of Work	Examples of Eligible Expenses	Documentation Required
Labor		
	Additonal employees to handle delivery and takeout services	Hiring data for the new employee. Time or payroll records to support hours claimed.
	Payroll Costs and Expenses	Payroll Expense Report
Materials and Supplies		
	Personal Protective Equipment (PPE)	Invoices
	Cleaning Supplies	Invoices
	Signage for business (such as social distancing, etc)	Invoices
Contract Work		
	Santization and Cleaning Services	Invoices, proof of payment, and contract

		(if applicable)
	Delivery Services	Invoices, proof of payment, and contract (if applicable)
Other Expenses		
	Payment of any short term (less than 24 months) or credit card debt incurred by the applicant to support the applicant's business during the emergency	Official bank/credit card statements (no screenshots, must have financial institution logo, account # and name of applicant)
	Rent or mortgage payments (unless otherwise waived by lessor/lender)	Lease Agreement, Mortgage Statement, proof of payment
	Utilities Payments	Utility Bills
	Business related equipment	Invoices, proof of payment
	Expenses incurred to replenish inventory or other necessary re-opening expenses	Invoices, proof of payment

Appendix D - Check Requisition File Format Specifications

MSRP CHECK FILE LAYOUT REQUIREMENTS

Version 1.0

The system management the grant applications for this program must be capable of outputting data into a CSV text file on a routine basis as required by the program director and further, the script which creates this file must also update those records which were selected to need a check with appropriate information to at least include a date and time stamp and preferably the actual output file name for auditing and tracing purposes.

The output file shall be generated by the system and automatically encrypted with an agreed upon secure method to prevent unauthorized editing. This process should also produce a control report that describes the count and sum of the amounts being paid. This control report should be automatically emailed by the procedure to a defined list of recipients for control purposes.

The contents of the output file are to be

Important: Each check template type has a standard delimited file format available. The Standard field separator is a comma for both Multi-Line Records and Single-Line Record standard formats. The Standard text delimiter is Pipe |. If you are using one of the standard formats for Multi-Lines Records, you must use the Pipe | as the text delimiter. If you are using one of the standard formats for Single-Line Records, you must use the double quote (") as the text delimiter.

Field information -- Note: The following fields do not apply to all formats. An asterisk (*) below indicates that the field is required.

*Courier Code - This will match the courier code you set up.

Characters 1 - 5 would be the Courier Code

Characters 6 - 8 would be the Special Handling Code

Note: When creating the test file while setting up the Form Code, you must use an Overnight courier code along with a Special Handling Code.

When you begin use the application in production, you can use the Courier Code you created for U.S. Postal. There is no need to put spaces for the Special

Handling Code, you would just enter the Courier Code if not using a Special Handling Code.

*Form Code - This will match the Form Code you setup (LA TREAS TO PROVIDE THIS VALUE)

*Payment Date - This will be the date printed on the check, must be current or future date. Format can be MM/DD/YYYY or MMDDYYYY

*Payment Amount - This will be the total amount of the check. Do not enter the \$ or comma, if you do not include a decimal whole dollar will be assumed

*Account Number - Account number the check will be drawn on

*Check Number - This is your check number, this must be unique

*Payee Name 1 - First Line of Payee Name

Payee Name 2 - The second Line of Payee Name (not required)

*Vendor Number - This is a required field, this will print on the Remittance section of the check in the Payment Information section

*Payee Address Line 1 - First Line of Payee Street Address

Payee Address Line 2 - Second Line of Payee Street Address

Phone - This is required if courier code is being used WITHOUT special handling. This will be printed on the courier coversheet; it will not appear on the checks

Payee Address Line 3 - Third Line of Payee Street Address

Payee Address Line 4 - Fourth Line of Payee Street Address

*Payee City - Payee City

*Payee State - 2 character State code (See rules in the Check Print Standard File Format User Guide)

*Payee Zip - Payee zip (See rules in the Check Print Standard File Format User Guide)

*Payee Country - Country code (see ISO Country Codes in the Check Print Standard File Format Guide)

Invoice Number - Invoice number; the field can be blank

Description - Description that will print on the Remittance page; the field can be blank

*Invoice Date - This is the date that will print on the Remittance page, Format MMDDYYYY or MM/DD/YYYY

*Net Amount - This field will print on the Remittance page, the amount must match the check amount. If adding multiple remittances, the sum of Net amounts (positive or negative) must match the Amount.

*Gross Amount - This will print on the Remittance page; this can be 0

*Discount Amount - This will print on the Remittance page, this can be 0

More examples will be provided to the chosen systems provider upon execution of the contract.