



# NORTHERN ARIZONA UNIVERSITY

## SUMMARY INFORMATION

**Project Title:** ITEP's Technical Assistance Program in the VW Settlement's Environmental Mitigation Trust Agreement for Indian Tribe Beneficiaries

**Technical Assistance Provider Information:** Institute for Tribal Environmental Professionals  
Office of Native American Initiatives  
Arizona Board of Regents for and on behalf of  
Northern Arizona University  
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First Year Funding Requested  
From Wilmington Trust N.A.: \$566,610

Total Project Allocation: \$2,722,396

Project Period: October 1, 2017 – September 30, 2023

**Institute for Tribal Environmental Professionals’  
Technical Assistance Program in the VW Settlement’s Environmental Mitigation  
Trust Agreement for Indian Tribe Beneficiaries  
Budget**

As per 2.1.1.2 of the Environmental Mitigation Trust Agreement for Indian Tribe Beneficiaries filed with the U.S. District Court for the Northern District of California on September 6, 2017 (Case 3:16-cv-00295-CRB) , Northern Arizona University’s Institute for Tribal Environmental Professionals (ITEP) submits the following Budget with the following required elements:

**I. A DETAILED DESCRIPTION OF THE PROPOSED SERVICES**

**Summary**

As part of one of the largest settlements in the history of the United States, the automaker Volkswagen settled violations of the Clean Air Act in 2017 through funding a multi-billion-dollar environmental mitigation trust for all U.S. States, Tribes and Territories. Wilmington Trust, N.A., as the trustee, will be distributing funds including just under \$55 million to all 567 federally-recognized Tribes. ITEP at Northern Arizona University (NAU) was selected in the trust agreement to work with Wilmington Trust, N.A. (WTNA) to assist Tribes. ITEP will assist Tribes to access the \$55 million Tribal Allocation Subaccount by establishing ITEP’s VW Settlement Technical Assistance Program (VWS-TAP). This Program will provide all 567 federally-recognized Tribes with outreach, online and in-person training as well as direct technical assistance. The term of this agreement is October 1, 2017 until September 30, 2023. If the Tribal Allocation is not fully spent by 2023, there are terms to allow for the continuation of the work until 2027 to ensure all funds are distributed to the Tribes.

**ITEP’s Scope of Work**

ITEP will provide professional and effective technical assistance to help distribute \$55 million to all 567 Tribes in compliance with the Environmental Trust Agreement and in partnership with WTNA, existing ITEP partners, the U.S. Environmental Protection Agency and U.S. Department of Justice, to ensure that all funds from the VW Settlement are fairly and effectively distributed. ITEP’s scope of work will focus on assisting Tribes to submit the required documents to the WTNA, including documents related to WTNA’s security procedures to access the trust agreement funds. In addition to doing outreach, online and in-person training about the VW Settlement for Tribes, ITEP will work with each Tribe that makes a request to offer assistance, specifically guidance in drafting, submitting and reporting back on the Environmental Trust Agreement’s D-3 and D-4 forms, including the Beneficiary Eligible Mitigation Action Certification and the Beneficiary Eligible Mitigation Action Certification to the settlement trustee, WTNA. ITEP will also provide WTNA with regular, semi-annual reports detailing the scope of work details including the number of specific Tribal contacts, website and webinar analytics; a full budget report and other specific details as requested. ITEP will also establish, implement and maintain a Tribal Advisory Council to ensure fair and effective distribution of the settlement funds to Tribe as well as address any concerns of Tribes as the settlement moves forward. A detailed plan and budget for the establishment of the Tribal Advisory Council will be submitted to WTNA once ITEP’s VWS-TAP is established.

## **Task One: Provide Technical Assistance to Tribes to access the VW Settlement's Environmental Mitigation Trust Agreement's Tribal Allocation Subaccount for Indian Tribe Beneficiaries**

ITEP's VW Settlement Technical Assistance Program (VWS-TAP) for Tribes will include the specific tasks, budget, staffing and timeline listed below to the trustee as per the terms of the Environmental Mitigation Trust Agreement. Task one will focus on providing robust technical assistance, training and support for all 567 Tribes including:

### **1. One on one technical assistance with Tribes**

- a. ITEP will respond to all requests for technical assistance from the 567 federally-recognized Tribes via phone, email, fax or mail on a regular and ongoing basis. A tribe may contact ITEP through ITEP's website, phone, email, fax, mail, via an ITEP training, or through WTNA.
- b. ITEP staff will direct selected contractors to work with Tribes on an as needed basis. Contractor work will be tracked and monitored by ITEP staff to ensure the quality of technical assistance is maintained and Tribes are satisfied with their assistance. ITEP will submit, as part of the regular reporting back to WTNA, this work will be tracked and reported back to WTNA including the number of hours provided to each Tribe, the type of technical assistance provided, a timeline of the work including hours of work provided, as well as any specific concerns that were raised.
- c. ITEP staff will respond to a Tribe's request with robust one on one technical assistance with identified Tribal leaders, staff and contractors in the process of outreach, education about the trust agreement; assistance in drafting EMA's and helping Tribes provide reports back to the WTNA. ITEP staff and/or ITEP contractors will assist Tribes assure their documentation has been reviewed and complete before submitting to WTNA. Specific tasks include:
  1. Educate the Tribe requesting technical assistance about the process to access the settlement, the timeline they must follow and what documents are needed including the Environmental Mitigation Trust Agreement Appendix D-3 and D-4 as well as the security documentation required by the WTNA including the Beneficiary Incumbency Certification Form.
  2. ITEP staff will assist WTNA with verification of the authorized officials who represent each of the 567 federally-recognized Tribes who request Tribal beneficiary status to complete the Appendix D-3 and Beneficiary Incumbency Forms.
  3. Working with Tribes to fill out and submit the Appendix D-3, the Certification for Beneficiary Status under Environmental Mitigation Trust Agreement.
  4. Working with Tribes to fill out and submit the Appendix D-4, the Beneficiary Eligible Mitigation Action Certification.
  5. Assisting Tribes in establishing their self-compliance activities related to the Tribes' Eligible Mitigation Actions.
  6. ITEP staff and/or contractors will respond to all Tribes on an ongoing basis to answer their technical questions related to all these required activities.

- d. ITEP staff will communicate with WTNA regularly to ensure that Tribal EMA's meet the standards set within the Environmental Mitigation Trust Agreement and make adjustment to outreach and training materials as needed.
- e. As part of the regular, semi-annual reporting back to WTNA, ITEP will track and report back to WTNA with a summary of how many Tribes requested help, how many hours ITEP provided in technical assistance, and how many D-3 and D-4 EMA's were submitted to WTNA that utilized ITEP's technical assistance.

## **2. Web-based Outreach and Educational materials**

- a. ITEP will develop a public-facing website with outreach materials with background information, template documents, model documents, videos and other resources that Tribes can utilize to develop and submit all required trust agreement documents.
- b. ITEP will create and access existing air quality models and calculators to help Tribes fill out mitigation plans to determine nitrogen oxide amounts that each EMA will remove from the atmosphere.
- c. As part of the regular, semi-annual reporting back to WTNA, detailed analytics on ITEP's website will be provided to WTNA including the number of unique visits, amount of time spent on the website and other details to understand how Tribes are using the website materials.

## **3. Monthly Webinars**

- a. In the first year, ITEP will host monthly webinars for all Tribes to access information on submitting EMAs and U.S. EPA's Diesel Emission Reduction Act (DERA) funded grants. The webinars will include polling question to track webinar effectiveness, evaluate webinar content and measure the success of the trainings.
- b. In the second and subsequent years, ITEP will evaluate the frequency for hosting webinars as needed.
- c. As part of the regular, semi-annual reporting back to WTNA, detailed analytics on ITEP's webinars will be provided to WTNA including the number of unique attendees, amount of time spent on the webinar and other details to understand how Tribes are utilizing ITEP webinars.

## **4. In-Person Trainings**

- a. ITEP will create modules for existing in-person trainings for Tribes to walk through their vehicle inventories, draft EMAs and prepare documentation to submit to and report back to the trustee. ITEP currently schedules an annual calendar of air quality trainings for Tribes and will incorporate modules into targeted courses each year.
- b. ITEP staff will attend targeted conferences attended by Tribal leadership and staff to offer trainings to conference attendees. The full listing of ITEP trainings can be found here: [http://www7.nau.edu/itep/main/Training/training\\_air](http://www7.nau.edu/itep/main/Training/training_air)
- c. As part of the regular, semi-annual reporting back to WTNA, detailed analytics on ITEP's In-Person Trainings will be provided to WTNA including the number of unique attendees, topics discussed, feedback provided to the trainers and other details to understand how Tribes are utilizing ITEP trainings.

## **II. A PROPOSED MANAGEMENT PLAN FOR THE PROPOSED SERVICES INCLUDING:**

- a. **A detailed budget:** Please see Appendix A attached below for the detailed budget for each year of the program. In addition to Appendix A, ITEP has provided a budget narrative:

## **Budget Narrative**

Over the expected ten years of the settlement, funding for task one will be front loaded for the first three years to provide robust training for Tribes, then reduced for the next three years based on staff reductions. The proposed budget is based on the first three-year project period in which the annual funding will be \$566,610 until September 30, 2020. At the rate of 30.9%, the indirect cost will be \$133,753 per year until 2021. The proposed annual budget for years 2021-2023 will be \$330,028 with an indirect cost of \$77,906 per year and an overall reduction in annual budgets of \$236,583. The project start date will be October 1, 2017 continuing for six years and ending September 30, 2023. As per the trust agreement, if funds remain in the Tribal Allocation Subaccount, ITEP will work with WTNA to identify remaining funds to provide for additional technical assistance for Tribes.

The total trust agreement allocation is \$2,722,396 over the six-year project period. ITEP's proposed budget totals \$2,689,914 with \$32,482 remaining for potential work after 2023. The narrative below provides a summary of the project budget by category for the first year of operation. The data provided below is a summary of multiple pages of detailed budget data prepared in support of this proposal, which is not included in this proposal because of the page limits.

According to the terms of the settlement, if any funds remain after 6 years, remaining funds will be allocated based on an evaluation of tribal needs. The budget items below detail funding for the project from October 1, 2017 until September 30, 2018.

### **SALARIES AND FRINGE BENEFITS: \$301,493**

Salaries consist of compensation for existing ITEP staff and staff positions to be filled to complete work plan tasks. Salary rates are established by Northern Arizona University's Human Resources Department and conform to industry standards for comparable positions. Staff positions will be maintained to complete the scope of work described. Fringe Benefits also known as Employee-related expenses (ERE) are rounded estimates based on the projected cost of health, dental, life, disability, FICA and Medicare, unemployment, and retirement benefits relative to the employee's salary and/or wages, FTE, and election of benefits. The employee's ERE rate is calculated by dividing his/her salary by the total cost of his/her benefit package.

### **SUPPLIES & COMMUNICATION: \$45,000**

Supplies and communication consists of materials and work needed for design, production, printing and distribution of written and on-line materials as well as all project-related communication support. Supplies consists of materials needed to support the project including office supplies, computers and other media equipment.

- Copying: \$8,000

Funds will be used to design, produce and print hard copies of documents necessary to implement the tasks involved including outreach and training materials necessary to implement the project. Copies will also be necessary to facilitate administration of the project. Cost assumes \$14 per Tribe for all 567 Tribes.

- Postage: \$4000

Funds will be used to mail hard copies to tribes and other parties related to the tasks involved including outreach and implementation of the project. Cost assumes \$7 per Tribe for all 567 Tribes.

- Media Production: \$20,000

Funds will be used to produce video and web-based products that will help implement the project and provide outreach material. Costs account for expected and averaged consultant payments necessary for over 200 hours of work at \$100 per hour.

- Telephone/fax/web conferencing: \$3000

Funds will be used to ensure robust communication throughout all aspects of the project including telephone service, web hosting, fax and conference call services. Costs assume \$250 per month for a year of services.

- Supplies: \$10,000

Funds will be used to purchase materials needed to support the project including media equipment. Costs assume purchase a computer and \$3,000 in media equipment. A desktop computer with media software and monitors will be purchased for the media specialist. A camera for producing training videos will be purchased.

#### **TECHNICAL CONSULTANTS: \$50,000**

Funds will be used to support contractual services provided to assist ITEP with technical assistance tasks necessary for the project. Consultants will be hired to work with Tribes to develop, edit and implement EMA's as well as develop necessary budgets and audit reports to WTNA. Costs account for expected and averaged consultant payments necessary for 500 hours of work at \$100 per hour.

#### **CONSULTANT TRAVEL: \$12,184**

*Funds will be used to cover contractor travel to the continental US including:*

- Airfare: \$3,300

Air transportation for at least six trips lasting four days for one staff person assuming a cost of \$825 per trip.

- Hotel: \$1,840

Lodging for one staff person for at least six trips lasting four days each assuming a rate of \$115 per night for a total of 24 nights.

- Per Diem: \$864

Daily cost of meals during six trips lasting four days assuming a daily rate of \$54 per day per person.

- Conference Fees: \$1,000

Conference Registration and/or vendor fees for one person to attend two conferences assuming a registration rate of \$500.

*Funds will be used to cover contractor travel to Alaska including:*

- Airfare: \$3,000

Air transportation for at least two trips lasting four days for one person assuming a cost of \$1,500 per trip.

- Hotel: \$1,200

Lodging for one person for at least two trips lasting four days each assuming a rate of \$150 per night for a total of 8 nights.

- Per Diem: \$480

Daily cost of meals during six trips lasting four days assuming a daily rate of \$54 per day per person.

- Conference Fees: \$500

Conference Registration and/or vendor fees for one person to attend one conferences assuming a registration rate of \$500.

**STAFF TRAVEL: \$15,180**

*Funds will be used to cover contractor travel to the continental US including:*

- Airfare: \$4,950

Air transportation for at least eight trips lasting four days for one staff person assuming a cost of \$825 per trip.

- Hotel: \$2,754

Lodging for one staff person for at least eight trips lasting four days each assuming a rate of \$115 per night for a total of 32 nights.

- Per Diem: \$1,296

Daily cost of meals during eight trips lasting four days assuming a daily rate of \$54 per day per person.

- Conference Fees: \$1,000

Conference Registration and/or vendor fees for one staff person to attend two conferences assuming a registration rate of \$500.

*Funds will be used to cover staff travel to Alaska including:*

- Airfare: \$3,000

Air transportation for at least two trips lasting four days for one staff person assuming a cost of \$1,500 per trip.

- Hotel: \$1,200

Lodging for one staff person for at least two trips lasting four days each assuming a rate of \$150 per night for a total of 8 nights.

- Per Diem: \$480

Daily cost of meals during six trips lasting four days assuming a daily rate of \$54 per day per person.

- Conference Fees: \$500

Conference Registration and/or vendor fees for one staff person to attend one conferences assuming a registration rate of \$500.

**b. An identification of all indirect costs**

- i. First year Indirect cost: \$133,753
- ii. The proposed indirect cost rate of 30.9% will be applied on the total budget amount of \$432,857.

**c. An implementation and expenditure timeline:** The following timeline details ITEP's implementation and expenditures for the first year of the VWS-TAP for October 1, 2017 – September 30, 2018. ITEP reserves the right to modify this implementation an expenditure timeline as needed.

- i. October 1 - 31, 2017
  1. Draft a proposed budget and a detailed description of the ITEP VWS-TAP in order to provide a draft to WTNA by November 1, 2017.
  2. Secure NAU budgetary documents necessary to receive and process VW Settlement funds to establish ITEP's VWS-TAP.
  3. Participate in weekly calls with WNTA representatives to begin planning the VWS-TAP.
  4. ITEP will begin tracking staff time and expenditures to be reimbursed by VW Settlement funds into ITEP's General Account. ITEP's General Account will cover costs incurred by ITEP's work on the VWS-TAP
- ii. November 1 – 30, 2017
  1. Assist Tribes to submit Appendix D-3 and D-4 EMA's by January 2<sup>nd</sup> deadline.
  2. ITEP staff time devoted to the VWS-TAP will be tracked and recorded.
  3. Participate in an in-person meeting with WNTA representatives on November 1<sup>st</sup> at Northern Arizona University to review and revise the draft budget and plan. Revisions will be made through the month until a final budget and plan can be released to the public-facing website.
  4. Conduct ITEP's first training webinar for Tribes to access the VW Settlement on November 9<sup>th</sup>.
  5. Conduct the first in-person training at the Alaska Tribal Conference on Environmental Management on November 17<sup>th</sup>.
  6. Respond to and track all email and phone contacts made by Tribes requesting information and/or requesting technical assistance.
  7. Establish and continue to publish documents on ITEP's website related to the VWS-TAP here:  
<http://www7.nau.edu/itep/main/volkswagensettlement/>
- iii. December 1 – 31, 2017
  1. Assist Tribes to submit Appendix D-3 and D-4 EMA's by January 2<sup>nd</sup> deadline.
  2. Establish ITEP accounts to house VWS-TAP funds and begin hiring process for all open staffing positions listed above.
  3. Post ITEP documents including template documents onto Intranets for Tribal Beneficiaries.
  4. Organize and host the 2<sup>nd</sup> webinar for Tribes on Dec 14<sup>th</sup> at 2pm ET.
  5. Continue to update ITEP's website on the VWS-TAP including posting ITEP's recorded webinars.
  6. Respond to and track all email and phone contacts made by Tribes requesting information and/or requesting technical assistance.



7. Develop plan to establish the VW Settlement Tribal Advisory Council (VSW-TAC) in consultation with Tribal partners including the NTAA VW Settlement Work Group and WTNA.
  8. Establish a 2018 calendar of webinars and in-person trainings.
  9. Meet with WTNA representatives to track progress.
- iv. January 1 – 30, 2018
1. Assist Tribes to submit Appendix D-3 and D-4 EMA's by January 2<sup>nd</sup> deadline.
  2. ITEP will hire all staff for the positions listed above to complete ITEP's VWS-TAP team.
  3. ITEP will distribute informational brochures announcing September 1<sup>st</sup> deadline for 2018 to all federally-recognized Tribes via mail, email and on ITEP's website and Facebook page.
  4. Respond to and track all email and phone contacts made by Tribes requesting information and/or requesting technical assistance.
  5. ITEP will produce background information, template documents, model documents, videos and other resources that Tribes can utilize to develop and submit all required trust agreement documents.
  6. ITEP will conduct a monthly webinars for Tribes on January 11<sup>th</sup> at 2pm ET. Recorded webinars and videos will be posted to ITEP's website on an ongoing basis.
  7. Conduct in-person training module at ITEP training in Flagstaff, AZ during the Introduction to Tribal Air Quality (Level 1) course, January 9-12<sup>th</sup>.
  8. Create new and refine existing training modules for existing in-person trainings for Tribes to walk through their vehicle inventories, draft EMAs and prepare documentation to submit to and report back to the trustee.
  9. Meet with WTNA representatives to track progress of VWS-TAP and finalize plans for the establishment of the VWS-TAC.
- v. February 1 – 28, 2018
1. Assist Tribes to submit Appendix D-3 and D-4 EMA's by September 1st deadline.
  2. With ITEP team in place, a more detailed plan for the remaining year and full term of the VWS-TAP will be developed in consultation with WTNA based on previous four months of operation.
  3. Respond to and track all email and phone contacts made by Tribes requesting information and/or requesting technical assistance.
  4. ITEP will conduct a monthly webinar for Tribes on February 15<sup>th</sup> at 2pm ET.
  5. Update ITEP's website with produced outreach and training material as needed.
  6. Open nomination process for the VWS-TAC.

7. Conduct in-person training module at ITEP training in Las Vegas, NV during the Air Quality Computations Course, February 6-9<sup>th</sup>.
  8. Conduct in-person training at Alaska Forum on the Environment the week of February 12<sup>th</sup> in Anchorage, AK.
  9. Meet with WTNA representatives to track process.
- vi. March 1 – 31, 2018
1. Assist Tribes to submit Appendix D-3 and D-4 EMA's by September 1st deadline.
  2. Respond to and track all email and phone contacts made by Tribes requesting information and/or requesting technical assistance.
  3. ITEP will conduct a monthly webinar for Tribes on March 8th at 2pm ET.
  4. Update ITEP's website with produced outreach and training material as needed.
  5. Conduct in-person training module at ITEP training course on Air Pollution Technology, March 13-16<sup>th</sup> in Flagstaff, AZ.
  6. Host first VWS-TAC conference call with seated members, record notes and post notes to ITEP website.
  7. Conduct in-person training as needed or when invited.
  8. Meet with WTNA representatives to track process.
- vii. April 1 – 30, 2018
1. Assist Tribes to submit Appendix D-3 and D-4 EMA's by September 1st deadline.
  2. Respond to and track all email and phone contacts made by Tribes requesting information and/or requesting technical assistance.
  3. ITEP will conduct a monthly webinar for Tribes on April 12 at 2pm ET.
  4. Update ITEP's website with produced outreach and training material as needed.
  5. Conduct in-person training module at ITEP training course on GIS for Air Quality in Las Vegas, NV on April 17-19.
  6. Host second VWS-TAC conference call with seated members, record notes and post notes to ITEP website.
  7. Conduct additional in-person training as needed or when invited.
  8. Meet with WTNA representatives to track process.
- viii. May 1 – 31, 2018
1. Assist Tribes to submit Appendix D-3 and D-4 EMA's by September 1st deadline.
  2. Respond to and track all email and phone contacts made by Tribes requesting information and/or requesting technical assistance.
  3. ITEP will conduct a monthly webinar for Tribes on May 10 at 2pm ET.
  4. Update ITEP's website with produced outreach and training material as needed.
  5. Conduct in-person training at National Tribal Forum on Air Quality (NTFAQ) the week of May 14<sup>th</sup> in Duluth, MN.

6. Host third VWS-TAC conference call (or in-person meeting at NTFAQ) with seated members, record notes and post notes to ITEP website.
  7. Conduct additional in-person training as needed or when invited.
  8. ITEP will provide all budget reports to WTNA as required by subparagraph 2.1.1.4 six months after receiving its first disbursement of trust assets. Additional reporting details will be provided in the budget report regarding ITEP's technical assistance through contractors, ITEP's website, webinars and in-person trainings.
  9. Meet with WTNA representatives to track process.
- ix. June 1 – 30, 2018
1. Assist Tribes to submit Appendix D-3 and D-4 EMA's by September 1st deadline.
  2. Respond to and track all email and phone contacts made by Tribes requesting information and/or requesting technical assistance.
  3. ITEP will conduct a monthly webinar for Tribes on June 14th at 2pm ET.
  4. Update ITEP's website with produced outreach and training material as needed.
  5. Conduct in-person training module at Air Pollution and Ecosystems course in Flagstaff, AZ on June 5-8<sup>th</sup>.
  6. Host fourth VWS-TAC conference call with seated members, record notes and post notes to ITEP website.
  7. Conduct additional in-person training as needed or when invited.
  8. Meet with WTNA representatives to track process.
- x. July 1 – 31, 2018
1. Assist Tribes to submit Appendix D-3 and D-4 EMA's by September 1st deadline.
  2. Respond to and track all email and phone contacts made by Tribes requesting information and/or requesting technical assistance.
  3. ITEP will conduct a monthly webinar for Tribes on July 12th at 2pm ET.
  4. Update ITEP's website with produced outreach and training material as needed.
  5. Host fifth VWS-TAC conference call with seated members, record notes and post notes to ITEP website.
  6. Conduct in-person training as needed or when invited.
  7. ITEP will provide all budget reports to WTNA as required by subparagraph 2.1.1.4. Additional reporting details will be provided in the budget report regarding ITEP's technical assistance through contractors, ITEP's website, webinars and in-person trainings.
  8. Meet with WTNA representatives to track process.
- xi. August 1 – 31, 2018
1. Assist Tribes to submit Appendix D-3 and D-4 EMA's by September 1st deadline.

2. Respond to and track all email and phone contacts made by Tribes requesting information and/or requesting technical assistance.
  3. ITEP will conduct a monthly webinar for Tribes on August 9th at 2pm ET.
  4. Update ITEP's website with produced outreach and training material as needed.
  5. Host sixth VWS-TAC conference call with seated members, record notes and post notes to ITEP website.
  6. Conduct in-person training as needed or when invited.
  7. Meet with WTNA representatives to track process.
- xii. September 1 – 30, 2018
1. Assist Tribes to submit Appendix D-3 and D-4 EMA's by September 1<sup>st</sup>, 2019 deadline.
  2. Respond to and track all email and phone contacts made by Tribes requesting information and/or requesting technical assistance.
  3. ITEP will conduct a monthly webinar for Tribes on September 13th at 2pm ET.
  4. Update ITEP's website with produced outreach and training material as needed.
  5. Host seventh VWS-TAC conference call with seated members, record notes and post notes to ITEP website.
  6. Conduct in-person training as needed or when invited.
  7. Meet with WTNA representatives to track process and finalize the budget and scope of work for year two of the ITEP VWS-TAP.

**III. A CERTIFICATION THAT INDIRECT COSTS COMPLY WITH THE LIMITS IN SUBPARAGRAPH 2.1.13**

- a. The proposed rate of 30.9% is based on Modified Total Direct Costs, consisting of all salaries and wages, fringe benefits, materials, supplies, services, travel and subgrants and subcontracts up to the first \$25,000 of each subgrant or subcontract (regardless of the period covered by the subgrant or subcontract). Modified total direct costs shall exclude equipment, capital expenditures, charges for patient care, student tuition remission, rental costs of off-site facilities, scholarships, and fellowships as well as the portion of each subgrant and subcontract in excess of \$25,000.

**IV. A CERTIFICATION THAT ALL VENDORS WERE OR WILL BE SELECTED IN ACCORDANCE WITH STATE OR TRIBAL PUBLIC CONTRACTING LAWS AS APPLICABLE**

- a. Northern Arizona University procurements, regardless of funding source, will be made in accordance with applicable state statutes, federal regulations, and Board of Regents and University policy. Contracting and Purchasing Services has the responsibility to ensure policy compliance. The Director of Procurement has the central responsibility for establishing procedures and guidelines that will assist users in complying with procurement policies. More information can be found at <https://nau.edu/Contracting-Purchasing-Services/Policies-Procedures/>

**V. FOR EACH PROPOSED EXPENDITURE EXCEEDING \$25,000, DETAILED COST ESTIMATES FROM SELECTED OR POTENTIAL VENDORS**

- a. At time of submission, no expenditures exceeding \$25,000 is expected for selected or potential vendors. If future expenditures exceed \$25,000 for a potential vendor, a detailed cost estimate from the vendor will be provided to WTNA.

**VI. A DETAILED DESCRIPTION OF HOW THE TECHNICAL SERVICES PROVIDER WILL OVERSEE THE PROPOSED SERVICES, INCLUDING, BUT NOT LIMITED TO:**

- a. **Identification of the specific entity responsible for reviewing and auditing expenditures of funds to ensure compliance with applicable law.**
  - i. All purchases and expenditures are approved by Principal Investigator, ITEP Director and the Program Director. ITEP will process all payments for travel-related expenses expeditiously and according to NAU protocols, whether they are direct payments to vendors or reimbursements to tribal participants. ITEP will utilize per diem and lodging rates that are established by the State of Arizona for staff travel. The federal per diem rate will be used for tribal participants. All grant funds are expended and recorded in accordance with federal and state requirements and accepted university accounting practices. All NAU financial data is maintained on the PeopleSoft financial accounting system, which performs many functions, including budgeting, general accounting, purchasing, receiving, travel, and interdepartmental billing. Annual audits are conducted by external auditors contracted by the university to ensure compliance with state and federal regulations. ITEP's Accountant will provide monthly budget reports which the Principal Investigator and Directors will thoroughly review for accuracy, reconciliation of expenditures, and status of funds.
- b. **A commitment by the technical assistance provider to maintain and make publicly available all documentation submitted in support of the funding request and all records supporting all expenditures of funds, subject to applicable laws governing the publication of confidential business information and personally identifiable information, together with an explanation of the procedures by which the technical assistance provider shall make such documentation publicly available.**
  - i. The Principal Investigator and Program Director will submit all documentation including funding requests and funding reports in compliance with subparagraph 2.1.1.4

**VII. A DETAILED PLAN FOR REPORTING IN IMPLEMENTATION THAT MEETS THE REQUIREMENTS OF SUBPARAGRAPH 2.1.1.4 SIX MONTHS AFTER RECEIVING ITS FIRST DISBURSEMENT OF TRUST ASSETS AND THEREAFTER NO LATER THAN JANUARY 30 AND JULY 30<sup>TH</sup>.**

- i. All purchases and expenditures are approved by Principal Investigator, and Program Director. ITEP will process all payments for travel-related expenses

expeditiously and according to NAU protocols, whether they are direct payments to vendors or reimbursements to tribal participants. ITEP will utilize per diem and lodging rates that are established by the State of Arizona for staff travel. The federal per diem rate will be used for tribal participants. All grant funds are expended and recorded in accordance with federal and state requirements and accepted university accounting practices. All NAU financial data is maintained on the PeopleSoft financial accounting system, which performs many functions, including budgeting, general accounting, purchasing, receiving, travel, and interdepartmental billing. Annual audits are conducted by external auditors contracted by the university to ensure compliance with state and federal regulations. ITEP's Accountant will provide monthly budget reports which the Principal Investigator and Project Directors will thoroughly review for accuracy, reconciliation of expenditures, and status of funds.

- ii.** The Principal Investigator and Program Directors will submit budget reports as required in subparagraph 2.1.1.4 through WTNA's selected online platform, Intralinks six months after receiving its first disbursement of trust assets. Thereafter, the Principal Investigator and Program Directors will submit budget reports no later than January 30 and July 30<sup>th</sup> of each year for the project period.

APPENDIX A						
Institute for Tribal Environmental Professionals' Proposed budget for ITEP's Technical Assistance Program in the VW Settlement's Environmental Mitigation Trust Agreement for Indian Tribe Beneficiaries						
October 1, 2017 -September 30, 2018, 2019 and 2020						
<b>I.</b>	<b>SALARY &amp; WAGES</b>					<b>\$ 237,907</b>
<b>II.</b>	<b>FRINGE BENEFITS</b>					<b>\$ 72,586</b>
<b>III.</b>	<b>SUPPLIES &amp; COMMUNICATIONS</b>					
	A. Copying					\$ 8,000
	B. Postage					\$ 4,000
	C. Media Production					\$ 20,000
	D. Telephone/fax/web conferencing					\$ 3,000
	E. Supplies					\$ 10,000
	<b>Total Supplies/Communication</b>					<b>\$ 45,000</b>
			Rate	Hours		
<b>IV.</b>	<b>TECHNICAL CONSULTANTS</b>		\$ 100	500		<b>\$ 50,000</b>
<b>V.</b>	<b>CONSULTANT TRAVEL (estimated 6 four-day trips for one staff)</b>					
	<b>Travel to Continental US</b>		# Events	# Days	# Persons	
	A. Airfare	\$ 825.00	4		1	\$ 3,300
	B. Hotel	\$ 115.00	4	4	1	\$ 1,840
	C. Per Diem	\$ 54.00	4	4	1	\$ 864
	D. Conference Fees	\$ 500.00	2		1	\$ 1,000
	<b>Travel to Alaska</b>					
	A. Airfare	\$ 1,500.00	2		1	\$ 3,000
	B. Hotel	\$ 150.00	2	4	1	\$ 1,200
	C. Per Diem	\$ 60.00	2	4	1	\$ 480
	D. Conference Fees	\$ 500.00	1			\$ 500
	<b>Total Consultant Travel</b>					<b>\$ 12,184</b>
<b>VI.</b>	<b>STAFF TRAVEL (estimated 8 four-day trips for one staff)</b>					
	<b>Travel to Continental US</b>		# Events	# Days	# Persons	
	A. Airfare	\$ 825.00	6		1	\$ 4,950
	B. Hotel	\$ 114.75	6	4	1	\$ 2,754
	C. Per Diem	\$ 54.00	6	4	1	\$ 1,296
	D. Conference Fees	\$ 500.00	2		1	\$ 1,000
	<b>Travel to Alaska</b>					
	A. Airfare	\$ 1,500.00	2		1	\$ 3,000
	B. Hotel	\$ 150.00	2	4	1	\$ 1,200
	C. Per Diem	\$ 60.00	2	4	1	\$ 480
	D. Conference Fees	\$ 500.00	1		1	\$ 500
	<b>Total Staff Travel</b>					<b>\$ 15,180</b>
<b>VII.</b>	<b>TOTAL DIRECT COSTS</b>					<b>\$ 432,857</b>
<b>VIII.</b>	<b>INDIRECT COSTS (30.9%)</b>					<b>\$ 133,753</b>
<b>IX.</b>	<b>TOTAL PROPOSED BUDGET</b>					<b>\$ 566,610</b>

<b>Institute for Tribal Environmental Professionals</b>						
<b>Proposed budget for ITEP's Technical Assistance Program in the VW Settlement's Environmental Mitigation Trust Agreement for Indian Tribe Beneficiaries</b>						
<b>October 1, 2020 -September 30, 2023</b>						
<b>I.</b>		<b>SALARY &amp; WAGES</b>				<b>\$ 118,378</b>
<b>II.</b>		<b>FRINGE BENEFITS</b>				<b>\$ 48,558</b>
<b>III.</b>		<b>SUPPLIES &amp; COMMUNICATIONS</b>				
	A.	Copying				\$ 8,000
	B.	Postage				\$ 4,000
	C.	Media Production				\$ 2,000
	D.	Telephone/fax/web conferencing				\$ 3,000
	E.	Supplies				\$ 5,000
		<b>Total Supplies/Communication</b>				<b>\$ 22,000</b>
				Rate	Hours	
<b>IV.</b>		<b>TECHNICAL CONSULTANTS</b>		\$ 100	350	<b>\$ 35,000</b>
<b>V.</b>		<b>CONSULTANT TRAVEL (estimated 6 four-day trips for one staff)</b>				
				# Events	# Days	# Persons
	A.	Airfare	\$ 825.00	6		1
	B.	Hotel	\$ 115.00	6	4	1
	C.	Per Diem	\$ 54.00	6	4	1
	D.	Conference Fees	\$ 500.00	2		1
		<b>Total Consultant Travel</b>				<b>\$ 10,006</b>
<b>VI.</b>		<b>STAFF TRAVEL (estimated 8 four-day trips for one staff)</b>				
		<b>Travel to Continental US</b>		# Events	# Days	# Persons
	A.	Airfare	\$ 825.00	8		1
	B.	Hotel	\$ 114.75	8	4	1
	C.	Per Diem	\$ 54.00	8	4	1
	D.	Conference Fees	\$ 500.00	2		1
		<b>Travel to Alaska</b>				
	A.	Airfare	\$ 1,500.00	2		1
	B.	Hotel	\$ 150.00	2	4	1
	C.	Per Diem	\$ 60.00	2	4	1
	D.	Conference Fees	\$ 500.00	1		
		<b>Total Staff Travel</b>				<b>\$ 18,180</b>
<b>VII.</b>		<b>TOTAL DIRECT COSTS</b>				<b>\$ 252,122</b>
<b>VIII.</b>		<b>INDIRECT COSTS (30.9%)</b>				<b>\$ 77,906</b>
<b>IX.</b>		<b>TOTAL PROPOSED BUDGET</b>				<b>\$ 330,028</b>



<b>Institute for Tribal Environmental Professionals</b>						
<b>Proposed budget for ITEP's Technical Assistance Program in the VW Settlement's Environmental Mitigation Trust Agreement for Indian Tribe Beneficiaries</b>						
<b>October 1, 2017 -September 30, 2023</b>						
	<b>BUDGET TOTALS FOR 2018-2023</b>					
	2018	2018				\$ 566,610
	2019	2019				\$ 566,610
	2020	2020				\$ 566,610
	Reduced total through staff reductions as well as Supplies and Media Production by \$236,582	2021				\$ 330,028
	Reduced total through staff reductions as well as Supplies and Media Production by \$236,582	2022				\$ 330,028
	Reduced total through staff reductions as well as Supplies and Media Production by \$236,582	2023				\$ 330,028
	<b>VW Settlement Funds Allocated for ITEP</b>	Total allocated	\$ 2,722,396		ITEP Total	\$ 2,689,914
	<b>Remaining funds for possible work after 2023</b>					\$ 32,482