

**APPENDIX D-4**  
**Beneficiary Eligible Mitigation Action Certification**

## BENEFICIARY ELIGIBLE MITIGATION ACTION CERTIFICATION

---

Beneficiary \_\_\_\_\_

Lead Agency Authorized to Act on Behalf of the Beneficiary \_\_\_\_\_  
(Any authorized person with delegation of such authority to direct the Trustee delivered to the Trustee pursuant to a Delegation of Authority and Certificate of Incumbency)

<b>Action Title:</b>	
<b>Beneficiary's Project ID:</b>	
<b>Funding Request No.</b>	(sequential)
<b>Request Type:</b> (select one or more)	<input type="checkbox"/> Reimbursement <input type="checkbox"/> Advance <input type="checkbox"/> Other (specify): _____
<b>Payment to be made to:</b> (select one or more)	<input type="checkbox"/> Beneficiary <input type="checkbox"/> Other (specify): _____
<b>Funding Request &amp; Direction (Attachment A)</b>	<input type="checkbox"/> Attached to this Certification <input type="checkbox"/> To be Provided Separately

### SUMMARY

<b>Eligible Mitigation Action</b> <input type="checkbox"/> Appendix D-2 item (specify): _____ <b>Action Type</b> <input type="checkbox"/> Item 10 - DERA Option (5.2.12) (specify and attach DERA Proposal): _____
<b>Explanation of how funding request fits into Beneficiary's Mitigation Plan (5.2.1):</b>
<b>Detailed Description of Mitigation Action Item Including Community and Air Quality Benefits (5.2.2):</b>
<b>Estimate of Anticipated NOx Reductions (5.2.3):</b>
<b>Identification of Governmental Entity Responsible for Reviewing and Auditing Expenditures of Eligible Mitigation Action Funds to Ensure Compliance with Applicable Law (5.2.7.1):</b>
<b>Describe how the Beneficiary will make documentation publicly available (5.2.7.2).</b>
<b>Describe any cost share requirement to be placed on each NOx source proposed to be mitigated (5.2.8).</b>
<b>Describe how the Beneficiary complied with subparagraph 4.2.8, related to notice to U.S. Government Agencies (5.2.9).</b>

**If applicable, describe how the mitigation action will mitigate the impacts of NOx emissions on communities that have historically borne a disproportionate share of the adverse impacts of such emissions (5.2.10).**

**ATTACHMENTS**  
**(CHECK BOX IF ATTACHED)**

- ☐ **Attachment A**      **Funding Request and Direction.**
- ☐ **Attachment B**      **Eligible Mitigation Action Management Plan Including Detailed Budget and Implementation and Expenditures Timeline (5.2.4).**
- ☐ **Attachment C**      **Detailed Plan for Reporting on Eligible Mitigation Action Implementation (5.2.11).**
- ☐ **Attachment D**      **Detailed cost estimates from selected or potential vendors for each proposed expenditure exceeding \$25,000 (5.2.6). [Attach only if project involves vendor expenditures exceeding \$25,000.]**
- ☐ **Attachment E**      **DERA Option (5.2.12). [Attach only if using DERA option.]**
- ☐ **Attachment F**      **Attachment specifying amount of requested funding to be debited against each beneficiary's allocation (5.2.13). [Attach only if this is a joint application involving multiple beneficiaries.]**

**CERTIFICATIONS**

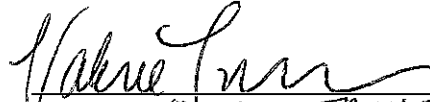
**By submitting this application, the Lead Agency makes the following certifications:**

- 1. This application is submitted on behalf of Beneficiary \_\_\_\_\_, and the person executing this certification has authority to make this certification on behalf of the Lead Agency and Beneficiary, pursuant to the Certification for Beneficiary Status filed with the Court.**
- 2. Beneficiary requests and directs that the Trustee make the payments described in this application and Attachment A to this Form.**
- 3. This application contains all information and certifications required by Paragraph 5.2 of the Trust Agreement, and the Trustee may rely on this application, Attachment A, and related certifications in making disbursements of trust funds for the aforementioned Project ID.**
- 4. Any vendors were or will be selected in accordance with a jurisdiction's public contracting law as applicable. (5.2.5)**
- 5. Beneficiary will maintain and make publicly available all documentation submitted in**

support of this funding request and all records supporting all expenditures of eligible mitigation action funds subject to applicable laws governing the publication of confidential business information and personally identifiable information. (5.2.7.2)

DATED:

6/26/25



[NAME] VALERIE TACHIR

[TITLE] DEPUTY GENERAL COUNSEL

Indiana Department of Environmental Management

[LEAD AGENCY]

for

State of Indiana

[BENEFICIARY]

## **Appendix D-4 Summary Details**

### **Eligible Mitigation Action Type:**

Category 8: Port Cargo Handling Equipment

### **Explanation of how funding request fits into Beneficiary's Mitigation Plan (5.2.1):**

Indiana will generally fund all eligible mitigation action (EMA) types included in Appendix D-2 of the national consent decree. The Mission Statement and Overall Goals are described below:

In promoting the reduction of emissions of NO<sub>x</sub>, the Indiana Volkswagen Environmental Mitigation Trust Fund Program will prioritize sustainable projects that are transformative, positively impacting the environment, enhancing the health and well-being of residents, and promoting Indiana's growing economy.

The Program will focus on technological change and advancement with resiliency and favoring use of domestic fuel, where possible.

The goals of the Indiana Volkswagen Mitigation Trust Program include:

- Improving air quality across Indiana through cost-effective NO<sub>x</sub> emission reduction strategies
- Maximizing diesel emission reductions across Indiana, while considering various categories of sensitive populations as areas of specific focus
- Providing appropriate considerations to projects that have diesel emission reductions that go beyond just NO<sub>x</sub>, including PM<sub>2.5</sub>, hydrocarbons (HC), carbon monoxide (CO), and carbon dioxide (CO<sub>2</sub>)
- Encouraging leveraging of project partner funds with VW Trust funds to further the reach of the Indiana program

### **Detailed Description of Mitigation Action Item Including Community and Air Quality Benefits (5.2.2):**

The purchase, installation, operation and maintenance of two (2) 2023 model-year, or newer, U.S. EPA Tier 4 emission compliant clean-diesel-powered forklifts that will REPLACE two (2) of the Grantee's pre-Tier 4 certified existing diesel-powered forklifts that will be used for the same purposes. The replacement equipment will be located and primarily operated in and around Crawfordsville, Indiana.

Clean-diesel-powered forklifts dramatically improve air quality and the quality-of-life conditions for operators, technicians, and citizens in the areas of operation due to notably lower tailpipe emissions in addition to less noisy engine operations.

The lifetime estimated emission reductions of pollutants according to U.S. EPA's Diesel Emission Quantifier (DEQ) include 2.330 tons of nitrogen oxides (NOx) and 0.134 tons of fine particulate matter (PM2.5).

**Estimate of Anticipated NOx Reductions (5.2.3):**

Over the lifetime of these forklifts, U.S. EPA's DEQ model estimates this project will result in a NOx reduction of 2.330 tons.

**Identification of Governmental Entity Responsible for Reviewing and Auditing Expenditures of Eligible Mitigation Action Funds to Ensure Compliance with Applicable Law (5.2.7.1):**

Indiana Department of Environmental Management

**Describe how the Beneficiary will make documentation publicly available (5.2.7.2):**

In October of 2017, IDEM published a website with specific information on the national mitigation trust as well as the Indiana program. The website included an opportunity to sign up for automated updates to make sure interested parties were always kept apprised of any changes made to the program website. This web portal will be the location for all information related to the Indiana Volkswagen Mitigation Trust Program.

**Describe any cost share requirement to be placed on each NOx source proposed to be mitigated (5.2.8):**

Indiana will use Volkswagen Mitigation Trust funds to reimburse non-government-owned fleet and equipment owners at the levels specified in Appendix D-2 of the national mitigation trust. IDEM will also use Volkswagen Mitigation Trust funds to reimburse government-owned fleets and equipment at the same level as non-government owned fleet and equipment owners, as opposed to the full cost reimbursement permitted by Appendix D-2.

Specifically, for this project, the Indiana Volkswagen Mitigation Trust Program will cover up to 25% of the total project cost while the Grantee and/or other programs covers the remaining 75%.

**Describe how the Beneficiary complied with subparagraph 4.2.8, related to notice to U.S. Government Agencies (5.2.9):**

The Indiana Department of Environmental Management notified representatives as identified in Appendix D-2 of the national consent decree via email in March of 2018.

**If applicable, describe how the mitigation action will mitigate the impacts of NOx emissions on communities that have historically borne a disproportionate share of the adverse impacts of such emissions (5.2.10):**

Not applicable to this specific project.

**THE REST OF THIS PAGE HAS BEEN INTENTIONALLY LEFT BLANK.**

### Attachment B Details

#### **Project Schedule and Milestones:**

Indiana announces Round 4 – DERA Option funding opportunity via online Request for Proposals (RFP)	October 11, 2022
Deadline for Round 4 – DERA Option program applications	December 16, 2022
Indiana notifies applicants of award decisions	March 9, 2023
Funding Agreement between Indiana and Grantee is fully executed	February 13, 2024
Grantee project implementation	February 13, 2024 to September 30, 2025
Indiana reviews programmatic, financial, and other materials for compliance with Appendix D-2 of the national consent decree	Ongoing
Indiana submits Appendix D-4 to Trustee to initiate payment to Grantee in accordance with Payee Contact and Wire Information form along with other supporting documentation	July 3, 2025
Indiana coordinates with Trustee on any questions or issues that arise related to the submitted Appendix D-4	July 3, 2025 to D-4 approval
Trustee responds to Indiana Appendix D-4	Within 60 days of submittal
Trustee disburses payment to Grantee	Within 15 days of Appendix D-4 approval



**Project Budget:**

<b>Project Description</b>	<b>Indiana VW Mitigation Trust Grant Not to Exceed Total</b>	<b>Grantee Cost Share Not Less than Total</b>	<b>Project Total</b>
Task A  The purchase, installation, operation and maintenance of one (1) 2023 model-year, or newer, U.S. EPA emission compliant all-electric-powered-material conveyer that will REPLACE one (1) of the Grantee's Pre-Tier 4 existing diesel-powered material conveyers that will be used for the same purpose. The replacement vehicle will be located and primarily operated in and around Portage, Indiana.	\$399,214.00	\$258,305.50	\$140,908.50
Percentage	35%	65%	100%

**State of Indiana Total Trust Allocation:**

1) State of Indiana's Total Trust Allocation (UPDATED 4/30/2025)	\$45,953,516.04
2) Obligated Awards from Previous D-4 Submittals	\$32,666,289.78
3) State of Indiana's Net Remaining Allocation Prior to this D-4 Submittal	\$13,287,226.26
4) Current D-4 Funding Request Total	\$140,908.50
5) State of Indiana's Remaining Allocation After this D-4 Submittal	\$13,146,317.76

**Projected Allocation Totals per Project Type:**

	<b>Total per Category</b>	<b>Annually Based on Expected Project Reimbursements</b>
<b>Total Trust</b>	\$40,935,880.59	NA
<b>To EV (15%) over 5 years (2021 to 2025)</b>	\$6,140,382.09	\$2,046,794.03
<b>To Admin (3%) over 5 years (2020 to 2025)</b>	\$1,228,076.42	\$307,019.11
<b>To EMAs (82%) over 5 years (2020 to 2025)</b>	\$33,567,422.08	\$11,189,140.69

**THE REST OF THIS PAGE HAS BEEN INTENTIONALLY LEFT BLANK.**

**Projected Trust Allocations:**

	<b>2020</b>	<b>2021</b>	<b>2022</b>	<b>2023</b>	<b>2024</b>	<b>2025 (4/30/2025+)</b>
1) Anticipated Annual Project Funding Request to be paid through the Trust	\$3,996,653.40	\$4,841,603.20	\$5,174,086.48	\$7,563,755.37	\$10,429,195.70	\$13,948,221.89
2) Anticipated Annual Cost Share (Administrative Costs)	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
3) Anticipated Total Project Funding by Year (Line 1 + Line 2)	\$3,996,653.40	\$4,841,603.20	\$5,174,086.48	\$7,563,755.37	\$10,429,195.70	\$13,948,221.89
4) Cumulative Trustee Payments Made to Date Against Cumulative Approved Beneficiary Allocation	\$3,895,454.40	\$4,710,898.20	\$5,165,086.48	\$7,494,846.85	\$10,245,580.70	\$660,995.63
5) Current Beneficiary Project Funding to be paid through the Trust (Line 1)	\$101,199.00	\$130,705.00	\$9,000.00	\$68,908.52	\$183,615.00	\$140,908.50
6) Total Funding Allocated to Beneficiary, inclusive of Current Action by Year (Line 4 + Line 5)	\$3,996,653.40	\$4,841,603.20	\$5,174,086.48	\$7,563,755.37	\$10,429,195.70	\$801,904.13
7) Beneficiary Share of Estimated Funds Remaining in Trust at Beginning of Year	\$40,935,880.59	\$36,939,227.19	\$32,097,623.99	\$26,923,537.51	\$19,359,782.14	\$13,948,221.89

8) Net Beneficiary Funds Remaining in Trust, net of cumulative Beneficiary Funding Actions (Line 7 – Line 6)	\$36,939,227.19	\$32,097,623.99	\$26,923,537.51	\$19,359,782.14	\$8,930,586.44	\$13,146,317.76
--	-----------------	-----------------	-----------------	-----------------	----------------	-----------------

THE REST OF THIS PAGE HAS BEEN INTENTIONALLY LEFT BLANK.

## **Attachment C Details**

### **Detailed Plan for Reporting on Eligible Mitigation Action Implementation (5.2.11):**

The Indiana Department of Environmental Management (IDEM) is committed to meet the reporting requirements as detailed in Subparagraph 5.3 of the Environmental Mitigation Trust Agreement for State Beneficiaries. Specifically, this subparagraph states:

“For each Eligible Mitigation Action, no later than six months after receiving its first disbursement of Trust Assets, and thereafter no later than January 30 (for the preceding six-month period of July 1 to December 31) and July 30 (for the preceding six-month period of January 1 to June 30) of each year, each Beneficiary shall submit to the Trustee a semiannual report describing the progress implementing each Eligible Mitigation Action during the six-month period leading up to the reporting date (including a summary of all costs expended on the Eligible Mitigation Action through the reporting date). Such reports shall include a complete description of the status (including actual or projected termination date), development, implementation, and any modification of each approved Eligible Mitigation Action.

Beneficiaries may group multiple Eligible Mitigation Actions and multiple sub-beneficiaries into a single report. These reports shall be signed by an official with the authority to submit the report for the Beneficiary and must contain an attestation that the information is true and correct and that the submission is made under penalty of perjury. To the extent a Beneficiary avails itself of the DERA Option described in Appendix D-2, that Beneficiary may submit its DERA Quarterly Programmatic Reports in satisfaction of its obligations under this Paragraph as to those Eligible Mitigation Actions funded through the DERA Option. The Trustee shall post each semiannual report on the State Trust’s public-facing website upon receipt.”

IDEM will meet these obligations in coordination with our project partners. Project partners are obligated to provide IDEM the necessary information for reports to the Trustee through the Funding Agreements between IDEM and each project partner. This language states:

### **“4. Implementation and Reporting Requirements**

A. The Grantee shall implement and complete the Project in accordance with **Attachment A** and the plans and specifications contained in its Funding Application. Modification of the Project shall require prior written approval from IDEM. If IDEM determines that the Grantee is not making adequate progress in implementation of the approved Project in accordance with **Attachment A**, IDEM may rescind the award.

B. The Grantee shall submit to IDEM written progress reports until the completion of the Project. These reports shall be submitted in accordance with the reporting schedule contained in **Attachment C** and shall contain such detail of progress or performance on the Project as is required under the terms of the Volkswagen Diesel Emissions Environmental Mitigation Trust. If additional documentation is

required for IDEM to meet reporting obligations under the Volkswagen Diesel Emissions Environmental Mitigation Trust, IDEM may request such documentation as necessary at any time during the term of this Agreement.”

#### **Attachment D Details**

**Detailed cost estimates from selected or potential vendors for each proposed expenditure exceeding \$25,000 (5.2.6):**

Detailed in the following pages:



Scout ✓  
Lindsey  
5/21/20



**Industrial Products Conveyors & Drives**

Branch: 100 Corporate Office

32163 NC Hwy. 49  
Richfield, NC 28137  
US

704-983-3188

**INVOICE**

INVOICE	
3052224	
Invoice Date	Page
05/19/2025 14:40:56	2 of 3
ORDER NUMBER	
1071246	

Quantities					Item ID Item Description	Pricing UOM Unit Size	Unit Price	Extended Price
Ordered	Shipped	Remaining	UOM Unit Size	Disp.				

**Order Line Notes:** CONVEYOR DESCRIPTION: One (1) each -  
BMC Heavy-Duty Portable Loadout  
Hopper/Feeder... 54" x 60' (+/-) inclined centers  
belt feeder with auxiliary 16' long (+/-) x 12'6"  
wide, 12 (+/-) cubic yard hopper with manually  
adjustable strike-off gate to be fed by front end  
loader for discharging to various conveyors at up  
to 18'-0" (+/-) height discharge (if required, TBD)  
Unit is complete and is wheel portable for site  
movement. Includes: Conveyor Drive: 150 HP  
Drive with Dual 75 hp Cleveland Size 9 shaft  
mounted gear reducers and Baldor, 365T 1800  
rpm, 230/460v, TEFC electric motors. Head  
Discharge Pulley: 24" diameter x 57" crown face  
XT60 steel drum lagged pulley, 4-15/16" #1045  
cold roll steel shaft.... ESA-P4B-TRB-4 15/16  
pillow block bearings. Center Drive Pulley: 30"  
diameter x 57" crown face XT70 steel drum  
ceramic lagged pulley, 7-1/2" #1045 cold roll steel  
shaft.... TAAPH34K515SEO/SO 5-15/16" pillow  
block bearings. Tail Pulley: 20" diameter x 57"  
crown face XT50 capless chevron wing pulley,  
4-7/16" #1045 cold roll steel shaft...  
ESA-P4B-TRB- 4-7/16 pillow block bearings and  
fully enclosed pulley safety nip guard. Take-Up  
Frames: HD ACME Threaded Take-Up Frames  
with 18" travel located at tail pulley shaft for  
proper belt tensioning. Conveyor Idlers: Superior  
CEMA D5 sealed-for-life, ball bearing steel  
troughing idlers including two (2) transition idlers  
mounted on 2-3' spacing otherwise, Impact idlers,  
carrying idlers, training and return rolls mounted  
on 8'-10' spacing (+/-). Loading area to be impact  
idlers. Conveyor Belting: 54" wide, 3-ply, 330  
P.I.W., RMA Grade II conveyor belting with  
3/16" x 1/16" covers, field vulcanized by others.  
Belt Cleaner: One (1) each - ASGCO Skalper IV  
Primary Urethane belt cleaner with EZ Torque  
tensioner. V-Plow Cleaner: One (1) each -  
ASGCO Mine Duty XD .Discharge Box:  
Removeable Discharge Box w/ inspection doors  
and liners, Loading Skirts: Receiving skirt boards  
fabricated from 3/8" plate, allowing for matched

ORIGINAL





INDUSTRIAL PRODUCTS CONVEYORS &amp; DRIVES

**Industrial Products Conveyors & Drives**

Branch: 100 Corporate Office

32163 NC Hwy. 49  
Richfield, NC 28137  
US

704-983-3188

**INVOICE**

INVOICE	
3052224	
Invoice Date	Page
05/19/2025 14:40:56	3 of 3
ORDER NUMBER	
1071246	

Quantities					Item ID Item Description	Pricing		Unit Price	Extended Price
Ordered	Shipped	Remaining	UOM Unit Size	Disp.		UOM Unit Size			
					seating loading hopper for material charging by front end loader. Includes side guarding through loading area and ASGCO canoe liners with Dura Seal rubber sealing at loading zone for a better seal. All machine guarding up to 8' height. Loading Hopper: Front end loader receiving hopper with adjustable structural supports and stiffeners to receive up to 12 (+/-) cu. Yds. Hopper construction of 1/4" thick reinforced A36 steel plate fully welded at seams. Paint: Manufacturer's standard marine environment paint system, Sherwin-Williams Macropoxy, or equal. TBD. Customer specified color (RAL #).....CONTROL DESCRIPTION,,,ITEM 2 – Controls Panel,,• NEMA 4X Stainless Steel 60" x 37" x 16" fused disconnect electrical cabinet• SEW Eurodrive Movitrac 460V Variable Frequency Drive for 150 HP• Push Buttons Start/Stop and Speed Control on door• Motor control Push Button Start/Stop for winch motor• Controls for 2 E-Stop Switches• AC unit for cooling. • AB Guardmaster safety relay for monitoring switches and devices• STO Safety for VFD • All internal wiring, fuses, Panduit, contactors, etc. for complete contained control panel. ,,,,REV 1 to include Stainless Steel Fasteners on areas that will be subject to intermittent change/unfastening, all other fastener: to remain zinc plated				

DOWNPAYMENT FOR ORDER 1071246

Total Lines: 1

<b>SUB-TOTAL:</b>	399,214.00
<b>TAX:</b>	0.00
<b>DOWNPAYMENT:</b>	-198,304.00
<b>AMOUNT DUE:</b>	<b>200,910.00</b>

US Dollars

ORIGINAL

## TRANSACTION DETAILS



### DOMESTIC WIRE

Wire Name - Industrial Products, Conveyor & Dri

\$138,812.80

Tracking ID: 3519664

Created Date: 11/12/2024

## PAYMENT DETAILS



Tracking ID  
3519664

From Account  
Great Lakes Stevedoring LLC \*\*\*\*\*0342

Batch ID  
144516

To Account  
XXXXXX564131

Created By  
Tamashina Wilson

To Account Type  
Checking

Process Date  
11/12/2024

Message to Beneficiary  
Invoice# 3048415

Originator Wire Header  
Great Lakes Stevedoring, LLC

Purpose Of Wire  
Invoice# 3048415

Description  
Invoice# 3048415

## RECIPIENT DETAILS



☒ Show masked details

Wire Name	Account	Type	Beneficiary FI ID	Amount
Industrial Products, Conveyor & Dri	XXXXXX564131	Checking	XXXXX8637	\$138,812.80

Applied to  
Inv # 3052224  
(54 X 60 Feed Hopper)

Wire Name - Industrial Products, Conveyor & Dri

Tracking ID: 3702284

\$108,661.20

Created Date: 1/29/2025

## PAYMENT DETAILS

Tracking ID  
3702284

Batch ID  
153321

Created By  
Tamashina Wilson

Process Date  
01/29/2025

Originator Wire Header  
Great Lakes Stevedoring, LLC

From Account  
Great Lakes Stevedoring LLC \*\*\*\*\*0342

To Account  
XXXXXX564131

To Account Type  
Checking

Message to Beneficiary  
Invoice# 3048211-2, 3048415-2

Purpose Of Wire  
Invoice# 3048211-2, 3048415-2

Description  
Invoice# 3048211-2, 3048415-2

## RECIPIENT DETAILS

☒ Show masked details

Wire Name	Account	Type	Beneficiary FI ID	Amount
Industrial Products, Conveyor & Dri	XXXXXX564131	Checking	XXXXX8637	\$108,661.20

\$ 49,170.00

Applied to Inv #

3051363

(54x40 Feed Hopper)

\$ 59,491.20

Applied to Inv #

3052224

(54x60 Feed Hopper)

GREAT LAKES STEVEDOR! Vendor Vendor ID Payment Number Date Check Number  
 INDUSTRIAL PRODUCTS CONVE 30INDPROC00 0008865 05/23/2025 3050377

*Feed Hopper*

Voucher Number	Invoice Number	Invoice Date	Description	Net Check Amt
0009724	3051363	04/04/2025		\$168,358.00
0009814	3052224	05/19/2025		\$200,910.00

54x40  
54x60



TOTALS:

\$369,268.00

GREAT LAKES STEVEDORING LLC  
 3806 WORSHAM AVENUE  
 LONG BEACH, CA 90808

F&MB  
 302 PINE AVENUE  
 LONG BEACH, CA 90802

May 23, 2025	3050377
DATE	CHECK NO.

Pay Three Hundred Sixty Nine Thousand Two Hundred Sixty Eight Dollars And 00 Cents

\$369,268.00

to the Order of:  
 INDUSTRIAL PRODUCTS CONVEYORS & DRIVES  
 32163 NCHWY, 49  
 RICHFIELD, NC 28137