

**OVERVIEW WITH STATEMENT OF QUALIFICATIONS**

Mid-Year 2020

**We Build Economies™**

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## Synopsis

We build economies™ that are both **resilient** and **sustainable** for governments.

**Resilient** economies have the ability to recover and even to grow from temporary but catastrophic shocks such as flood, earthquake, fire, and wind and storm driven traditional disasters, and also non-traditional disasters such as pandemics and wars.

**Sustainable** economies have the ability to continue to support a government’s programs for its constituents if the government’s top three economic activities suffer a substantial setback.

We offer fifty years of experience of working with governmental entities, both Native American Tribal governments and federal agencies, along with successful business development programs. We specialize in working with Tribal governments.

We listen to and consider the goals and needs of each Tribal government. We bring substantial experience in operating Tribal governmental programs and a whole-of-government approach in working on a one-on-one basis with Tribal governments to realize their goals for long-term prosperity. With proper involvement of the necessary Tribal stakeholders in each of three critical lines of effort – economic development, governance, and essential services – our Essential Method™ is intended to produce net cash flow to the Tribe in 120 days.

We discuss below our services provided across different aspects of successful Tribal administration, our method of working, and our experience as part and parcel of our qualifications developed over many years successfully working for Tribal governments.

Essential welcomes the opportunity to work with your government.

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## Services

### Offerings

Essential's service offerings focus on:

**Complex Projects for Economic Development.** We focus on the sourcing, financing, development, implementation and operation of complex projects for economic development for Tribes off reservation, on reservation, or both, while at the same time supporting all necessary governance and essential services items required by Tribes and outside parties for sustainable economic development.

**Implementation of Strategic Ideas and Plans.** We have a proven track record of working with Tribal governments to achieve their goals as to planning for and expanding administration, and, developing and implementing strategic plans providing for robust governance, expanding essential services, and necessary programs to support economic development for Tribes and their members.

We also provide necessary supporting services:

**Disaster.** When unexpected catastrophic events occur, we help address the emergency and disaster response for Tribal governments on a whole-of-government approach focused on the health, welfare, and importantly, the continued viability of each Tribe's economic standing. We rely on our experience in developing economies and operating governmental programs, and our Essential Method™, to allow Tribes to respond to emergencies and disasters effectively and economically.

**Administration.** We rely on our substantial experience in operating Tribal governmental, non-profit, and business programs to provide a full suite of Tribal administration functions and components on an outsourced basis to help Tribal governments complete complex projects and to reach their goals for resilient and sustainable economies.

**Funding.** We apply our extensive knowledge and experience at identifying, sourcing, and developing a variety of governmental, non-profit, and private funding sources to help Tribal governments develop programs, and obtain and administer funding, to defray some or all of the cost to implement complex projects related to economic development, governance, and essential services.

## Services (Continued)

### Tiers of Service

We offer three tiers of service:

Our **Tier 1 Service** provides **targeted technical assistance** to existing Tribal governmental structures within preset blocks of time by line of effort or project. Our team will attend meetings and provide input as requested by the governing body of the Tribe. At this level of service, we will review or develop policies, procedures, directives, or proposals, and we will provide written feedback to the Tribe and answer questions. We will also as requested conduct feasibility studies to ensure the viability of proposed projects, provide oversight to proposals and disaster recovery or economic development endeavors, and assist in the completion of approved projects.

Our **Tier 2 Service** provides an **accelerated time to development** of sustainable Tribal economies by simultaneously pursuing several different types of economic activity. This level of service provides surge capability to existing Tribal government structures as required to implement both a process for and actual development of complex projects. We focus on the sourcing, financing, development, implementation, and operation of complex projects for economic development, at the election of the Tribe off reservation, on reservation, or both, and, work in successive 90-day cycles to include all three critical lines of effort (economic development, governance, and essential services).

Our **Tier 3 Service** provides a **we do it all basis** of a full suite of integrated Tribal administration functions including (1) Council Support, (2) Government Management, (3) Tribal Member Services, (4) Financial Management, and, (5) Economic Development, including the following components: (a) Economic Development Director, (b) Feasibility Specialist, (c) Grant Writer / Administrator, (d) Financial Analyst / Advisor, (e) Project Manager, (f) Governance Manager, (g) Policy Writer and Trainer, (h) Risk Management Director, (i) Public Works Director, (j) Public Safety Director, (k) Human Resources Director, and, (l) Environmental Resources Director, as required to support complex economic development projects, and a sustainable Tribal economy.

The tier of service we provide, and our associated fees and costs, depend upon the needs of each Tribal client.

“When we are debating an issue, loyalty means giving me your honest opinion, whether you think I will like it or not. Disagreement at this stage, stimulates me. But once a decision is made, the debate ends. From that point on, loyalty means executing the decision as if it were your own.”  
General Colin Luther Powell, USA Ret.

## Method

### Three Critical Lines of Effort

Our Essential Method™ for building resilient and sustainable economies for governments addresses three critical lines of effort on an integrated basis:

The desired first line of effort is initiating **economic development** opportunities. This line of effort is focused on the long-term growth of the Tribe and on developing a resilient and sustainable economic development program. To get there, we also address the second and third lines of effort.

The second line of effort is **governance** and is conducted simultaneously with essential services development. Governance and essential services facilitate (are necessary for) sustainable economic development and financial independence.

The third line of effort is the development of **essential services**. The key to supporting economic development and sound governance, and to improving the quality of life for community members, is to develop consistent sources of electricity, clean water, and quality road networks, with suitable housing available for all Tribal members.

From our experience, failing to develop governance and essential services, even for more “developed” Tribal governments, while pursuing economic development significantly delays the development of a Tribe and makes it substantially more likely that a Tribe’s economic development projects will fail.

### Dynamic Live Plans

Our intent on each engagement is to develop with each Tribe a set of dynamic live plans on each line of effort assigned that through consistent planning and implementation evolve and increase in complexity throughout the planning period. Instead of planning towards implementation, we use our experience in building economies to implement into a plan.

### Process

The Essential Method™ incorporates the following process items as modified by our engagement agreement on a Tribe-by-Tribe basis:

From conversations and independent background research, we provide each Tribal client with initial observable strengths and weaknesses relevant to the Tribe’s identified objectives.

## Method (Continued)

### Process (Continued)

Based upon the observable strengths and weaknesses, we propose certain key actions for each of the critical lines of effort assigned (economic development, governance, and essential services) and refine the proposed key actions with input from the Tribe.

We identify what is common to each line of effort assigned to make a repeatable and scalable process. Each line of effort worked has three phases and each project assigned within each line of effort has three phases.

We work projects in each line of effort assigned at all the same time in 90-day cycles that are further broken down into 30-day periods.

Our methodology and short cycles provide definite measures of effectiveness, firm quantifiable tasks, and firm but achievable dates for the accomplishment of goals.

Our process yields identification of results consistent with our Proposal and Contracting Documents.

The Tribe keeps control over agreed projects through defined approval points at General Council (Governing Body) meetings; in between we work closely with the Tribal Council, Business Board, and Committees of the Tribe as desired by the Tribe.

### Results of the Essential Method™

Our Essential Method™ creates an upward expanding spiral of gains as to governance, increasing scope (fulfillment of more needs) of essential services, and increasing successes in economic development. Our process of phases and 90-day cycles provides identifiable opportunities for Tribal member involvement and jobs. As our work accelerates in each cycle, project timelines evolve in favor of the Tribe and are not static.

### Overriding Considerations for All Engagements

Tribal goals come first. We develop programs, policies, and plans that are Tribal Specific. It is our belief and experience that the process we employ must be in-line with Tribal goals, understandings, Culture and Tradition to ensure long-term success, resilient and sustainable economic prosperity, and growth. We carefully build and then treat all our relationships with mutual respect.

## Disasters

We bring experience in crafting, planning, implementing, and managing governmental and community responses to emergencies and major disasters. We have worked with governmental entities to mitigate, to prepare for, to respond to, and to recover from a range of major disasters including global pandemics and wars, as well as traditional disasters to include floods, fires, and wind and storm driven disasters.

We have substantial experience across all four disaster phases:

**Mitigation.** We work with governmental entities to make governments and communities less vulnerable to loss of life and mass destruction as to potential disasters including improvements in infrastructure and changes in governance.

**Preparedness.** We work with governmental entities to promote community education, training, and outreach, and pre-positioning, to improve responses to potential disasters.

**Response.** We work with governmental entities to take immediate actions in response to emergencies to save lives, prevent further property damage, and provide humanitarian relief (food, shelter, clothing, health and safety), and to take intermediate actions for cleanup, damage assessment, restoring utilities, and starting repairs.

**Recovery.** We have extensive experience in working with governmental entities and communities as to the recovery phase of major disasters and wars including strategic planning and implementation to address the long-term needs of the damaged community to include housing, employment, economic development, and infrastructure, and also disaster risk reduction to identify necessary initiatives for subsequent mitigation efforts.

We are different from other disaster response providers in that we have experience operating Tribal governmental programs and, therefore, we are positioned to provide a systemic and strategic process, incorporating the Essential Method™, to allow Tribes to respond appropriately to any disaster while focusing on the immediate, intermediate, and long term aspects of response and recovery post incident. We all hope that catastrophes will never happen; however, disasters often reveal how fragile economies are especially when built on only one or two economic sources. Long term disaster planning dictates the development of robust multi-layered, multi-functional economic development engines that use broad spectrum income opportunities.

## Administration

Taking a Tribal government to the next level to support complex economic development projects can be a challenge when it comes to finding, hiring, training, supervising, and developing the administrative personnel necessary for good governance and economic success. As necessary for our assignment, we have the experience and capability to augment on an outsourced basis all necessary Tribal Administration critical functions and components as we work hand-in-hand with each Tribe to implement its economic development, governance, and essential services plans. We also assist each Tribe in developing its governmental personnel including as desired by the Tribe the development of Tribal members to fulfill key roles in their government.

### Key Tribal Administration Functions Provided by Essential

- Council Support
- Government Management
- Tribal Member Services
- Financial Management
- Economic Development

### Additional Integrated Components of Tribal Administration Provided by Essential

- Economic Development Director
- Feasibility Specialist
- Grant Writer / Administrator
- Financial Analyst / Advisor
- Project Manager
- Governance Manager
- Policy Writer and Trainer
- Risk Management Director
- Public Works Director
- Public Safety Director
- Human Resources Director
- Environmental Resources Director
- Compliance Manager

All of Essential's services are provided on an integrated basis within a Tribe's existing structures to support the successful conceptualization, development, financing, and implementation or operation of complex economic development, governance, and essential services projects.

## Funding

We have extensive knowledge and experience at identifying, sourcing, and developing a variety of governmental, non-profit, and private funding sources for Tribal governments seeking to defray some or all of the cost to implement complex projects related to economic development, governance, essential services.

**Economic Development.** Tribes can benefit from Small Business Administration guaranteed loans, along with the Bureau of Indian Affairs guaranteed loans, to buy going concerns (profitable businesses) to provide immediate fiscal impact. We also tap into strategic partners who will provide start-up capital and operation costs.

**Governance.** For policy development and implementation, we help Tribes to work with federal agencies who provide grants and services to assist governments (not just Tribal).

**Essential Services.** For essential services (such as housing, roads, and facilities), the federal government has an affirmative responsibility to provide Tribes with essential services under the Indian Reorganization Act. Each federal agency has an affirmative responsibility to provide and assist each Tribe as a result of the United States government holding the title of the Reservation Property in trust for the benefit of the Tribe and its members. Additionally, there are nonprofit organizations that provide grants and assistance such as Habitat for Humanity and Carpenters for Christ.

As necessary for our assignment, we identify funding sources and provide the necessary effort for the benefit of the Tribe.

## Projects

We have a successful track record with a variety of projects for governmental and non-governmental entities. Here is a sample:

### Disasters

Emergency and major disaster response to and recovery from global pandemics and wars as well as numerous traditional disasters to include floods, fires, and wind and storm driven events including planning, assessment, oversight, management, cost-benefit analysis, scoping, procurement, contract negotiation and administration, grant sourcing, research, writing, submission, administration, and closeout, construction management, and, contract fulfillment for a variety of incidents including:

1993 Flood, Montezuma, Georgia	2005 Hurricane Katrina, Alabama, and Louisiana
1995 Hurricane Opal, Florida, and Georgia	2005 Hurricane Rita, Louisiana, and Texas
1999 Fires, Everglades, Florida	2005 Hurricane Wilma, Florida
2001 Fires, Everglades, Florida	2008 Hurricane Ike, Texas
2003 Fires, Everglades, Florida	2009 H1N1 "Swine Flu" Pandemic
2004 Hurricane Charlie, Florida	2019 Flooding, California
2004 Hurricane Ivan, Florida	2020 Covid-19 "Coronavirus" Pandemic

### Economic Development

Sourcing, planning, evaluation, development, design, funding, acquisition, oversight, and operation of a variety of businesses ventures, a sampling of which includes:

Agricultural including citrus, corn, and peppers	Janitorial services
Aircraft development and sales	Livestock both breeding and feedlot
Banks and credit unions	Motocross parks and related retail
Construction management	Oil and Gas Exploration
Contract fulfillment for federal government	Pharmaceutical distribution and sales
Convenience stores and fuel stations	Quick-serve restaurants
Eco Tourism including hiking and exploration	RV Parks and related amenities
Fuel distribution	Sit-down restaurants and bars
Gaming complexes	Slaughterhouses and related logistics facilities
Hotels and resorts	Tractor development and retail sales
Insurance	

Formation of HUBZone (19 businesses), qualification of Section 8a Minority Business Entities (6), formation of Native American Owned Businesses (2), and successful development, funding, and operation of those businesses in providing contract fulfillment for the federal government.

Initiation, development, evaluation, and implementation of international trade agreements and initiation, planning, development, evaluation, funding, and operation of related commercial developments.

## Projects (Continued)

### Economic Development (Continued)

Planning, evaluation, design, funding, development, acquisition, management, and operation of technology platforms and systems.

Planning, evaluation, design, funding, development, acquisition, management, and operation of fund clearing systems and processing platforms for broker-dealers.

Initiation, planning, funding, promoting, management, and implementation of large-scale concert and special event productions.

Planning, evaluation, development, design, funding, and construction of mixed-use residential, retail, and commercial developments.

Planning, development, procurement, and management of economic program focused on creation of complete stream of commerce to revitalize poultry industry, feed and seed development, introduction of greenhouses and drip irrigation, and feedlot program, which led to the creation of 15,000 jobs.

### Essential Services

Planning, development, design, procurement, and construction of water and wastewater treatment facilities, including acquisition and installation of 400 micro water purification plants.

Planning, development, design, construction, and implementation of solar generation facilities and related electrical network for 40,000 people.

Planning, development, oversight of procurement process, and oversight of construction or revitalization of 60 schools for levels K-12.

Planning, development, design, oversight of procurement process, and oversight of construction for residential home developments.

Planning, development, design, oversight of procurement, management of construction, and implementation of power program providing multiple heavy fuel oil generators for industrial park with over 1 million square feet of usable space (ranging from 25,000 to 250,000 square feet per building, with average building size being 75,000 square feet) with off-load switching to evening and nighttime capacity for surrounding residential areas of approximately 40,000 homes.

Planning, development, design, oversight of procurement process, and management of construction of regional three lane roadway system providing access to market for regional agricultural industry.

## Projects (Continued)

### Essential Services (Continued)

Planning, development, procurement, and management of repair and upgrade of national railway as to capacity and control, and, modernization and improvement of related marine port facilities.

Planning, development, design, procurement, construction, and management of national warehousing system including inventory system and modernization of outdated supply control systems.

Development and implementation of revitalization program for international airport including terminals, air traffic control, and baggage handling, increasing patron throughput to include compliance with air travel standards and restrictions.

Participation on joint State Department/Department of Defense/USAID/United Nations planning group to develop long term sustainable strategic and operational plans and immediate action plans, to address mechanisms to stabilize and to improve functions of the Iraqi national government including security and the stabilization and expansion of all essential government programs ranging from sewage to water to electricity to transportation to waste management to education.

### Funding

Identification, research, writing, submission, administration, and closeout of funding under a variety of federal programs including:

#### Roads

Tribal Transportation Program  
Rural Development Grants  
Indian Community Development Block Grants

#### Water

Clean Water Indian Set Aside Program  
Indian Environmental General Assistance Program  
Tribal Public Water Systems Supervision Support  
Rural Development Grants  
Indian Community Development Block Grants

#### Energy

Indian Energy & Economic Development  
Solar Energy Technologies Office  
Energy Efficiency & Conservation Block Grants  
Water Power Technologies Office

#### Housing

Tribally Designated Entity Grants  
Indian Housing Block Grants  
Indian Community Development Block Grants  
Rural Innovation Fund  
Resident Opportunity / Self-Sufficiency Grants  
Family Self-Sufficiency Grants

## Resources

### About our Team

Our **team** includes principals and supporting staff. We have physical offices in Plantation, Florida, and Newport Beach, California, and work locally across the United States.

Our **work backgrounds** include experience in agency and governmental relations, tribal administration, emergency and disaster response, public relations and communications, civil information management, public administration, law enforcement, foreign humanitarian assistance, applied sciences, finance, strategic planning, nation assistance, oil and gas exploration, population control, public accounting, support to civil administration, tax policy, tax compliance, tax controversy, insurance and financial services, technology, construction, and real estate development.

Our **agency experience** includes working with or before a variety of federal agencies including the United States Department of Agriculture, Department of Defense, Department of Energy, Environmental Protection Agency, Department of the Interior, Bureau of Indian Affairs, National Indian Gaming Commission, Department of Health and Human Services, the Indian Health Service, Department of Housing and Urban Development, Department of Homeland Security, Federal Emergency Management Agency, Army Corps of Engineers, Department of Justice, Department of Transportation, Department of the Treasury, Internal Revenue Service, and a variety of state and local governmental agencies including offices of state governors and finance, county boards of supervisors, state taxing authorities and county tax assessors.

Our **educational backgrounds** include degrees at the Bachelor of Science, Bachelor of Arts, and, Master's levels.

We have **written or published** several papers, articles, and books including numerous white papers on a variety of topics including audits of pre-development and construction costs for tribal development projects, tax and regulatory compliance for tribal governments, economic development options for landless federally-recognized tribes, section 20 issues, and jurisdictional and scope of gaming issues under the Indian Gaming Regulatory Act, an article entitled *Future of Natural Gas Prices*, an article entitled *Tax Aspects of Oil and Gas Limited Partnerships*, an article entitled *Another Leaf Falls Silently from the Sovereignty Tree – Effects of Currently Proposed Regulations*, a book entitled *Regulation under the Indian Gaming Regulatory Act – Classification of Bingo Games*, and, a book entitled *Compendium of Tribal-State Gaming Compacts*.

We have **taught and presented** on Tribal economic development, Tribal taxation, Tribal jurisdiction and regulatory authority, procurement processes, history of the Indian Gaming Regulatory Act, developments in Class II gaming and game classification, roles and responsibilities of Tribal gaming commissions including jurisdictional boundaries established by game classification, minimum internal control standards, technical game standards, and, financial management responsibilities and the audit function.

## Principals

Essential has grown over a 20-year working relationship between our principals.

### Timmy W. Cox I

#### Overview

Twenty-one years working with Tribal governments throughout the United States on economic development, policy development and implementation, staff development, and, governmental relationships.

#### Summary

Timmy W. Cox I, Esq., brings an extensive combination of business, government, and legal experience. Tim successfully owned and operated a disabled veteran company providing contract fulfillment and construction management services on federally awarded contracts in excess of 350 million dollars. He served as the Chief Operations Officer and Director for a Tribal government having 4,000 members, 9,000 employees, 5 reservations, 24 departments, over 100 profit centers, through which annual net revenue was increased over a three year period from 160 million dollars to over 350 million dollars and tribal member benefits were improved by implementing a full-time insurance plan to supplement the shortcomings of the Indian Health Service. He is a former army officer (LTC USAR Ret.) having served in progressively complex roles cumulating to the serving as Battalion Commander of a Civil Affairs Battalion. He completed three combat tours in Iraq. He has received numerous citations and awards to include the Bronze Star medal, Purple Heart citation, and Meritorious Service medal. He also has a law enforcement background having served six years as a police officer and as a police instructor/trainer for two years.

#### Focus

Revenue generation and efficiency in Tribal governance, and, protection of sovereign immunity by critical analysis of agreements entered into between Tribes and local, state, and federal agencies.

#### Expertise

Native American Indian law, strategic planning and budgeting processes; economic evaluation of economic development projects, business development and operations, governmental contracting, contract negotiation and development, land use and development; construction management, employment practices, human resources management, and, best practices analysis.

#### Education

Bachelor of Science in Public Relations  
Master's in Business Administration  
Juris Doctorate  
Candidate for PhD in International Crime and Justice

## Principals (Continued)

### Stephen B. Otto

<b>Overview</b>	Twenty-nine years working with Tribal governments throughout the United States both as an adviser and as an attorney on governance, economic development, taxation, regulatory compliance, conflict resolution, and, governmental relationships.
<b>Summary</b>	Stephen B. Otto, Esq., brings an extensive and varied combination of legal, governmental, and business experience having supervised, worked on, and completed a variety of projects and assignments for tribal governments, businesses, and non-profit organizations. Steve has held an executive position in strategic planning at the chairman’s level in an international oil and gas company and he has served as a member of the board of directors for a variety of organizations and companies ranging from Tribal casino and resort facilities, to for-profit commercial enterprises, and to non-profit and foundation entities. He practiced law with a top international law firm. He has written, published, taught, and testified on a variety of subjects. For over thirty-five years, Steve’s family has worked one project at a time, and multiple projects at a time, with Tribal governments and communities to advance tribal sovereignty and independence through effective governance, tax and revenue generation, economic development and trade relationships, governmental relationships and cooperation, and conflict resolution with outside entities.
<b>Focus</b>	Efficiency in the generation and uses of governmental revenues, and, jurisdictional issues affecting tribal sovereignty in economic development, taxation, and related matters.
<b>Expertise</b>	Native American Indian law and history, jurisdictional issues, strategic planning and budgeting processes, economic evaluation of economic development projects, business and team development, contract negotiation and development, land use and development, construction management, technology development and procurement, employment practices, conflict resolution, and, tax policy, planning, administration, and controversy.
<b>Education</b>	Bachelor of Science in Geology, with minor concentrations in Finance and Accounting Juris Doctorate

*Please note:*

*The information contained in these materials does not constitute a solicitation for business but is provided in response to a request for information about the Essential Group NA LLC. The terms of any relationship with the Essential Group NA LLC will be only as expressly set forth in the terms of our written engagement or other agreement with any expressly contracted parties. To the extent the information contained in these materials is suggestive or analogous to any situation, the information provided in these materials is intended to be general and advisory in nature and it shall not be considered business or legal advice.*

**Thank You for Taking a Look at our Qualifications**

**We Look Forward to Hearing from You**

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